



**Code of Practice on the Selection of Staff for the Research Excellence Framework  
2014**

*Approved by Academic Board 20 June 2012  
Revised 15 October 2012*

## **CONTENTS**

### **INTRODUCTION**

- 1 Development of the Code of Practice
- 2 Dissemination of the Code of Practice
- 3 Selection Principles
- 4 Selection Procedures
- 5 Roles and Responsibilities
- 6 Equality Training
- 7 Feedback and Appeals

### **ANNEXES**

- A Timetable
- B Membership and terms of reference of the Academic Board
- C Membership and terms of reference of the Research Committee
- D Membership and terms of reference of the Equality and Diversity Committee
- E Membership and terms of reference of the REF Selection Panel
- F Membership and terms of reference of the REF Equality and Diversity Group
- G Membership and terms of reference of the Appeals Panel
- H Membership and terms of reference of the Senior Management Team
- I Terms of reference of External Advisors

## **INTRODUCTION**

All institutions submitting to the Research Excellence Framework 2014 (REF) are required to develop, document and apply a Code of Practice on the selection of staff for inclusion in their REF submissions. The purpose of the Code is to ensure that the selection of staff is fair and transparent; to aid institutions in including all eligible staff producing excellent research in their submissions; and to promote equality, comply with legislation and avoid discrimination.

This Code describes the ways in which the University's REF submission will be prepared. It sets out the principles and processes that will be used; the roles, responsibilities, operating criteria and terms of reference of the individuals and committees who will be involved; the training they will receive; the methods of communication and dissemination that will be used; and the steps that will be taken to ensure equality and transparency in all aspects and stages of the preparation of the submission.

The Code is based on four main principles: transparency, consistency, accountability and inclusivity.

### **Transparency**

The Code outlines the procedures that will be used to identify designated staff and establish committees responsible for the selection of staff for the REF submission. It also describes the process that will be used for the selection of staff for inclusion in the University's REF submission and the ways in which the Code will be disseminated and communicated.

### **Consistency**

The Code outlines the principles that will be applied to all aspects and stages of the process at all levels within the institution.

### **Accountability**

The Code outlines the roles, responsibilities, operating criteria and terms of reference of the individuals and bodies involved in selecting staff for the REF submission along with details of training that will be provided and levels of understanding that will be required. It describes the rationales of these roles, how they fit into the institutional management framework, and the ways in which communication and record keeping will be organised.

### **Inclusivity**

The Code outlines the processes that will be used to ensure the identification of all eligible staff who have produced excellent research for potential submission to REF.

It includes information concerning the disclosure of individual staff circumstances alongside steps that will be taken to ensure the implementation of equality for fixed-term, part-time, daily and hourly paid staff. It also describes the procedures that will be put in place for the provision of feedback and for managing complaints and appeals.

The Code should be read alongside the following documents, copies of which can be found on the University intranet:

Single Equality Scheme and Action Plan  
Data Protection Policy  
Research & Consultancy Strategy  
Research Governance and Standards Policy  
REF Disclosure of Individual Staff Circumstances Pro-Forma and Guidance Notes  
Research and Consultancy Review and Guidance Notes  
Self-Assessment of Research Outputs Pro-Forma and Guidance Notes  
REF Nomination of Research Outputs Pro-Forma and Guidance Notes  
Human Resources Strategy  
Staff Handbook on Employment  
Staff Handbook on Quality Management & Enhancement

The Code has been prepared in consultation with the REF Assessment Framework and Guidance on Submissions (and Addendum), REF Panel Criteria and Working Methods and REF Equality Briefing for Panels alongside guidance from the UK Equality Challenge Unit (ECU) on the development of Codes of Practice on the selection of staff for REF submissions. Copies of these documents can be obtained from the REF and ECU websites.

## **1 Development of the Code of Practice**

The designation of staff and establishment of committees with responsibilities for selecting staff for inclusion in the REF submission is described in this Code. The Code has been developed through a consultation process involving the Research Committee, the Equality and Diversity Committee, the Academic Board and the Senior Management Team. These Committees have received equality briefings and considered equality impact assessments of the Code at key stages in its development. An overview of the development process is included in Annex A.

## **2 Dissemination of the Code of Practice**

A copy of the draft Code will be uploaded to the University intranet in July 2012, and a copy of the final Code will be uploaded in October 2012 (subject to approval). In September 2012 all academic staff, including those on fixed-term, part-time, daily and/or hourly paid contracts of employment, will be notified in writing of the publication of the Code and the URL at which this can be accessed. Briefing sessions on the Code will be held from October to December 2012 for all academic

staff, including those on fixed-term, part-time, daily and/or hourly paid contracts. The briefing sessions will provide opportunities for academic staff to raise any questions they may have about the Code. The Assistant Principal (Quality and Research) and/or Research Coordinator will contact staff unable to access the University's email and intranet systems or who are absent from work to draw their attention to the Code and briefing sessions. If necessary the Code will be disseminated by post to the home addresses of academic staff absent from work during this period with copies of presentations associated with briefing sessions. The Code will be made available on the University website in October 2012 subject to approval.

### **3 Selection Principles**

The University values the contribution of its entire staff to the propagation of a vibrant academic culture through teaching, research, scholarly activity, professional practice and consultancy. A decision not to include the research profile of a member of staff in the University's REF submission will not be seen as a reflection of the value placed on that particular member of staff.

As a specialist Higher Education Institution, the University anticipates making a single submission to REF Unit of Assessment 34 Art and Design: History, Practice and Theory. From 2008 the University has focused on developing research in the areas of Moving Image and Sound; and Art, Design and Media Interpretation and Curation, building on strengths recognised in the former Research Assessment Exercise. The institution anticipates preparing a REF submission that will foreground excellent work achieved in these areas during the REF period alongside related developments in cognate areas of research.

#### **3.1 Selection Criteria**

In order to establish a minimum quality profile associated with its REF submission, the University will include in its submission eligible members of staff who are deemed to have an appropriate research profile according to the eligibility and assessment criteria, and indicators of excellence associated with the REF.

A selection process will be used to determine the research profiles of eligible individual members of staff that will be included in the University's REF submission. Three assessment criteria will be used throughout the selection process and will be applied equally and fairly to all members of staff involved in all stages of the preparation of the submission.

To be included in the University's REF submission staff should:

- i. Satisfactorily meet the eligibility criteria for Category A or C staff as defined in the REF Assessment Framework and Guidance on Submissions (and Addendum).

- ii. Satisfactorily return a research profile containing four or more research outputs that have been generated during the REF assessment and publication periods, each of which meet the REF criteria for research. A lesser number of outputs may be returned if satisfactorily supported by the appropriate criteria defined in the REF Assessment Framework and Guidance on Submissions (and Addendum) and/or the REF Panel Criteria and Working Methods.
- iii. Satisfactorily return a research profile, which is dependably considered to meet the University's quality threshold and to contribute convincingly to the REF submission. The University will notify all eligible staff of the quality threshold that will be used in the development of the submission in September 2012.

The selection process will involve a range of staff selected from the University's substantive academic and managerial staff. All staff involved in the development of the REF submission will receive specific equality training at relevant points during the preparation of the submission and will be expected to adhere to the University's Single Equality Scheme and Data Protection Policy at all times.

### 3.2 Individual staff circumstances

Individuals may be returned with fewer than four research outputs without penalty in the assessment, where their circumstances have significantly constrained their ability to produce four research outputs or to work productively throughout the assessment period. The University will use the REF guidance associated with clearly defined and complex circumstances to determine the number of research outputs that may be reduced without penalty.

### 3.3 Clearly defined circumstances

For clearly defined circumstances the University will use REF panel criteria statement tariffs to determine the number of research outputs that may be reduced without penalty in the assessment, depending on the duration of the circumstances (or combination thereof).

For the purposes of REF clearly defined staff circumstances include the following:

- a. Qualifying as an early career researcher. These are individuals of any age who meet the eligibility criteria for Category A or C staff on the 31 October 2013, and who started their careers as independent researchers on or after 1 August 2009, as defined in the REF Assessment Framework and Guidance on Submissions (and Addendum) and REF Panel Criteria and Working Methods.
- b. Part-time working, secondments or career breaks.
- c. Qualifying periods of maternity, paternity or adoption leave. Maternity leave may involve related constraints on an individual's ability to conduct research in addition to the defined period of maternity leave itself. These cases can be

returned as 'complex' as described in the REF Assessment Framework and Guidance on Submission (and Addendum) and REF Panel Criteria and Working Methods.

- d. Other circumstances that apply in UOAs 1-6, as defined at paragraph 86 of the REF Assessment Framework and Guidance on Submission (and Addendum) relating to junior clinical academics and clinical health or veterinary professionals.

### 3.4 Complex Circumstances

For more complex circumstances the University will make a judgment on the appropriate reduction in the number of research outputs to be submitted. The judgment will be based on the nature and timing of the circumstances, the effects of these on the individual's contracted working hours or ability to fulfill their contracted working hours, and any other effects on the individual's ability to work productively during the REF assessment period. All information provided should be based on verifiable evidence.

For the purposes of REF complex staff circumstances include the following:

- a. Disability as defined in REF Guidance on Submissions Part 4, Table 2 under 'Disability'.
- b. Ill health or injury.
- c. Mental health conditions.
- d. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further research outputs in addition to – the allowances made in paragraph 75 of the REF Addendum: Assessment Framework and Guidance on Submissions.
- e. Other caring responsibilities (such as caring for an elderly or disabled family member).
- f. Gender reassignment.
- g. Other circumstances relating to the protected characteristics listed in paragraph 190 of the REF Assessment Framework and Guidance on Submissions or relating to activities protected by employment legislation.

Where individuals have had a combination of clearly defined and/or complex circumstances these will be considered according to the criteria outlined in the REF Assessment Framework and Guidance on Submissions (and Addendum) and the REF Panel Criteria and Working Methods.

## 4 Selection Procedures

This Code has been developed to ensure that all staff involved in the preparation of the REF submission will be treated fairly and equally in respect of the University's Single Equality Scheme, Data Protection Policy and the Equality Act 2010.

The University is committed to an approach to equal opportunities that encourages, supports and values diversity. The University will actively work towards offering equality of opportunity to all students and staff regardless of age, disability, gender, marital status, political opinion, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

All staff meeting the eligibility and assessment criteria will be encouraged to participate in the preparation of the REF submission, and to provide information to contribute to the development of the Research Outputs, Research Impact and Research Environment sections of the submission.

The processes described in this section of the Code outline the aspects and stages of the selection process and provide guidance on ways in which these will be used, carried out, documented and communicated. The extensive use of committees, panels and groups, who will receive equality training for the purpose of preparing the REF submission, is designed to ensure the equal treatment of all staff involved in the preparation of the submission.

#### 4.1 Disclosure of individual staff circumstances

All staff who are potentially eligible for selection will be required to complete a form about their individual circumstances. Staff will be asked to indicate any reasons as to why they may have less than four research outputs in respect of the criteria defined in the REF Assessment Framework and Guidance on Submissions (and Addendum) and/or REF Panel Criteria and Working Methods.

The University will use the Equality Challenge Unit (ECU) REF template for describing individual staff circumstances, a copy of which is available from the ECU website.

To enable staff to disclose circumstances in confidence this process will be managed by the Academic Registrar. The University will formally monitor the process for identifying individuals whose circumstances might need special consideration. The monitoring process will be conducted confidentially.

In making recommendations regarding the selection of eligible staff for inclusion in the University's REF submission all members of staff will be expected to be aware of their responsibilities to adhere to the Equality Act 2010 and the University's Single Equality Scheme and Action Plan, and to take full account of any of the clearly defined and/or complex circumstances that may have affected an individual's ability to produce four research outputs in the assessment period.

Information associated with this section of the REF submission will only be used for the purposes of preparing and submitting the REF submission and will not be published at any time. The University will ensure that the information provided in this



section of the submission is managed in compliance with the Data Protection Act 1998 and all other legal obligations.

A REF Equality and Diversity Group will be convened to review the individual circumstances of eligible academic staff. The group will be responsible for assessing individual staff circumstances and for making recommendations about appropriate reductions in the number of research outputs to be submitted. The group will treat all disclosures of individual staff circumstances and its responsibilities confidentially. The roles and responsibilities of the group are outlined in section 5.1 of this Code.

#### 4.2 Research and consultancy profiles (substantive academic staff)

Substantive academic staff are required to provide information about their research, scholarly activity, professional practice and consultancy through the University's Research and Consultancy Review process. Information collected through the reviews is used to update the University's records of academic staff research and consultancy activities; to inform the implementation of the University's Research & Consultancy Strategy; and to inform the development of the University's REF submission.

Academic staff will be supported in nominating research outputs and their impacts recorded in Research and Consultancy Reviews for potential inclusion in the University's REF submission according to REF assessment criteria and level definitions. The Assistant Principal (Quality and Research) / Dean of Media, Dean of Arts and Design, and Research Coordinator will hold individual meetings with all substantive academic staff to discuss the nomination of research outputs and their impacts in January and February 2013. All substantive academic staff will be asked to return an individual research profile consisting of their four most significant research outputs and impacts by the end of February 2013.

A REF Selection Panel will be convened to review the individual research profiles (research outputs and their impacts) of eligible academic staff. The panel will be responsible for assessing the dependable quality and accuracy of individual research profiles according to REF Assessment Criteria and Level Indicators. The roles and responsibilities of the panel are outlined in section 5.2 of this Code. All academic staff will be individually notified of the outcomes of the selection process by 29 April 2013.

#### 4.3 Self-assessment of research outputs (fixed-term, part-time, daily and hourly paid staff)

All fixed-term, part-time and daily or hourly paid members of staff who meet the REF eligibility criteria for category A or C staff will be asked to complete a self-assessment of their research listing all of the research outputs they have produced and impacts to which they have contributed during the assessment period, and to

nominate a research profile consisting of their four most significant outputs using REF assessment criteria and level definitions by 28 February 2013. These profiles will be considered using the same criteria as those pertaining to substantive academic staff, while at the same time reflecting relevant guidelines concerning the required number of research outputs.

The REF Selection Panel will review the individual research profiles (research outputs and their impacts) of both substantive and fixed-term, part-time, daily and hourly paid academic staff. The panel will be responsible for assessing the dependable quality and accuracy of individual research profiles according to REF Assessment Criteria and Level Indicators. The roles and responsibilities of the panel are outlined in section 5.2 of this Code. All academic staff will be individually notified of the outcomes of the selection process by 29 April 2013.

#### 4.4 Impact Case Studies

Information provided through research and consultancy reviews (substantive staff) and self-assessments of research outputs (fixed-term, part-time and daily or hourly paid staff) will be used to inform the development of impact case studies for the University's REF submission. Impact case studies will be prepared by relevant members of academic staff and the Research Coordinator and will be informed by the recommendations of the REF Selection Panel. Impact case studies will be considered by the Research Committee and the Equality and Diversity Committee, and approved by the Senior Management Team and the Academic Board.

### 5 Roles and Responsibilities

#### 5.1 REF Equality and Diversity Group

A REF Equality and Diversity Group will be convened to review the individual circumstances of eligible academic staff. The group will be constituted for the purposes of the REF and will report to the REF Selection Panel and the Research Committee.

The group will be responsible for assessing individual staff circumstances and for making recommendations about appropriate reductions in the number of research outputs to be submitted. The Equality and Diversity Group will assess:

- i. The information provided about individual staff circumstances and their effect on an individual's ability to conduct research during the REF assessment period.
- ii. The extent to which an individual's circumstances should be described as being clearly defined and/or complex; and any appropriate reductions in the number of research outputs to be submitted.

- iii. The dependability of the evidence of the individual circumstances including any corroborating evidence.

The Group will make recommendations to the REF Selection Panel about appropriate reductions in the number of research outputs to be submitted. The membership and terms of reference of the REF Equality and Diversity Group are provided in Annex F.

## 5.2 REF Selection Panel

A REF Selection Panel will be convened to review the individual research profiles (research outputs and their impacts) of eligible academic staff. The panel will be constituted for the purposes of the REF and will report to the Research Committee.

The panel will be responsible for assessing the dependable quality and accuracy of individual research profiles according to REF Assessment Criteria and Level Indicators. The Selection Panel will assess:

- i. The extent to which individual research profiles meet the selection criteria for inclusion within the University's REF submission.
- ii. The accuracy of information contained within individual research profiles according to the REF assessment criteria and level definitions.
- iii. The dependability of the evidence of the research output and impacts including any corroborating evidence.

All personal and/or sensitive information and/or information declared to be confidential in nature will be removed from individual research profiles before these documents are made available to panel members. The membership and terms of reference of the REF Selection Panel are provided in Annex E.

## 5.3 Research Committee

The Research Committee leads the implementation of relevant sections of the University's Research & Consultancy Strategy, including those concerned with the REF. The committee reports to the Academic Board. The Committee will be responsible for considering the preliminary Code of Practice in December 2011 and the draft Code of Practice and equality impact assessment in April 2012.

The Research Committee will also be responsible for considering the accuracy and reliability of information contained in draft and final REF submissions in April and September 2013 respectively. These documents will include individual research profiles, impact case studies, recommendations made by the REF Selection Panel and the REF Equality and Diversity Group, equality impact assessments, and other data to be included in the REF submission.

The Research Committee will consider the extent to which draft and final REF submission documents meet the selection criteria associated with the University's REF submission. The Research Committee will also review the accuracy of information contained in draft and final submission documents according to the REF assessment criteria and level definitions.

The Research Committee will receive equality briefings at meetings to be held in April 2012 (Code of Practice and equality impact assessment) and April 2013 (draft submission and equality impact assessment). The membership and terms of reference of the Research Committee are provided in Annex C.

#### 5.4 Equality and Diversity Committee

The Equality and Diversity Committee is responsible for monitoring the implementation of the University's Single Equality Scheme and Action Plan. The committee reports to the Academic Board. For the purpose of REF the committee will also communicate its decisions to the Research Committee, the REF Selection Panel and the REF Equality and Diversity Group. The committee will be responsible for considering the draft Code of Practice and equality impact assessment in May 2012.

The committee will be responsible for reviewing the equality of the process used to develop the REF submission and associated equality impact assessments in May 2013. These documents will include individual research profiles, impact case studies, recommendations made by the REF Selection Panel and REF Equality and Diversity Group, equality impact assessments, and other data to be included in the REF submission.

The Equality and Diversity Committee will consider the extent to which draft and final REF submission documents meet legal and institutional requirements for equality and diversity. The Equality and Diversity Committee will receive equality briefings at meetings to be held in May 2012 (Code of Practice and equality impact assessment) and May 2013 (equality review). The membership and terms of reference of the Equality and Diversity Committee are provided in Annex D.

#### 5.5 Senior Management Team

The Senior Management Team will review the draft and final REF submissions in June 2012, June 2013 and August 2013. These documents will include individual research profiles, impact case studies, recommendations made by the REF Selection Panel and REF Equality and Diversity Group, equality impact assessments, and other data to be included in the REF submission. The Team will receive equality briefings at these meetings. The membership and terms of reference of the Senior Management Team are provided in Annex H.

## 5.6 Academic Board

The Academic Board will be responsible for approving the Code of Practice and equality impact assessment in June 2012 and the draft and final REF submissions in June and October 2013 respectively. These documents will include individual research profiles, impact case studies, recommendations made by the REF Selection Panel and REF Equality and Diversity Group, equality impact assessments, and other data to be included in the REF submission. The membership and terms of reference of the Academic Board are provided in Annex B.

## 5.7 External Advisors

The University will seek the expert advice of at least one external advisor in relation to the preparation of draft and final submission documents and equality impact assessments. The recommendations of external advisors will be used to inform the University's decisions of the research profiles of eligible members of staff to be included in the REF submission. The terms of reference of External Advisors are provided in Annex I.

## 6 Equality Training

All staff involved in the preparation of the REF submission will be required to undertake equality training appropriate to their role in the development process. Alongside briefing events for academic staff, committees and groups, specific equality training tailored to the development of the REF submission will be provided at key points during the preparation of the submission.

### 6.1 Equality briefing events:

April 2012	Equality briefing for the Research Committee
May 2012	Equality briefing for the Equality & Diversity Committee
June 2012	Equality briefing for the Senior Management Team
September to December 2012	Equality briefings for academic staff

The equality briefing events will include generic overviews of equality issues pertinent to the development of the REF submission. The events will introduce the roles and responsibilities of specific individuals, committees and groups and their contributions to the development process. Following these events participants will be expected to have gained a broad overview of equality issues associated with the preparation of the REF submission including their responsibilities to adhere to the Equality Act 2010. Participants will also be expected to have gained a broad understanding of their role in ensuring the equal treatment of all staff involved in the preparation of the submission.

### 6.2 Equality training events:

January 2013	Equality training for the REF Selection Panel, REF Equality and Diversity Group, and Appeals Panel focusing on REF case studies prepared by the Equality Challenge Unit.
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The equality training events will include specific overviews of equality issues pertinent to the development of the REF submission. The events will introduce participants to a range of potential equality issues that may arise during the development of the REF submission and articulate their responsibilities to adhere to the Equality Act 2010. Following these events participants will be expected to have gained a specific overview of equality issues, and their identification, associated with the preparation of the REF submission.

## **7 Feedback and appeals**

- 7.1 Feedback to academic staff will be handled on a timely basis by staff involved in the communication of selection decisions. The Assistant Principal (Quality and Research) / Dean of Media, Dean of Arts and Design, and Research Coordinator will offer guidance to academic staff on the development of their research profiles. The Assistant Principal (Quality and Research) / Dean of Media, Dean of Arts and Design and/or Research Coordinator will contact staff unable to access the University's email or who are absent from work to ensure that they have an opportunity to discuss the development of their research profiles and that they are notified of the outcomes of the selection process that relate to them individually. All academic staff will be individually notified of the outcomes of the selection process by 29 April 2013.
- 7.2 Any member of staff is entitled to ask that the decisions that have been taken about them be reconsidered. They may do so on the grounds that they do not believe that the decision-making criteria defined in this document or in the REF Assessment Framework and Guidance on Submissions (and Addendum) or REF Panel Criteria and Working Methods, which apply to them individually, have been followed properly or if they believe that they have been otherwise discriminated against. No appeals will be considered against the recommendations of the REF Equality and Diversity Group or the REF Selection Panel.
- 7.3 An independent Appeals Panel will be constituted in the event of one or more appeals being received. The Appeals Panel will be responsible for considering appeals received from academic staff, for deciding the outcome of appeals and to make recommendations on any actions to be taken. For the purposes of the REF the panel will report to the Research Committee.

Appeals must be submitted in writing to the Assistant Registrar (Academic Support) by 5pm on Friday 10 May 2013. Appeals should state in full the grounds on which reconsideration is requested. An Appeals Panel will be convened to consider any requests for reconsideration that have been received.

7.4 All appeals will have been heard and the decisions of the Appeals Panel reached and communicated to individual members of staff concerned on or before 5pm on Friday 24 May 2013. The Assistant Principal (Quality and Research) and/or Research Coordinator will contact staff unable to access the University's email or who are absent from work to ensure that they are notified of the outcomes of any appeals that relate to them individually. Decisions of the Appeals Panel are final and will not be subject to further appeal.

## Annex A

### Timetable

November 2011	Preparation of the preliminary Code.
9 December 2011	Preliminary Code considered by the Research Committee.
January to April 2012	Preparation of the draft Code.
April 2012	Preparation of an equality impact assessment of the draft Code.
24 April 2012	Draft Code and equality impact assessment considered by the Research Committee. The Committee will receive an equality briefing at this meeting.
11 May 2012	Draft Code and equality impact assessment considered by the Equality & Diversity Committee. The Committee will receive an equality briefing at this meeting.
May 2012	Preparation of the final Code.
11 June 2012	Final Code and equality impact assessment to be considered by the Senior Management Team. The Team will receive an equality briefing at this meeting.
20 June 2012	Final Code and equality impact assessment to be approved by the Academic Board.
July 2012	Final Code to be uploaded to the University intranet.
31 July 2012	Final Code to be submitted to HEFCE.
September 2012	Written communication provided to academic staff outlining the process to be used for the development of the REF submission.
September 2012	Written communication provided to academic staff outlining the University's use of quality thresholds.
September 2012	REF Staff Development: NUCA Code of Practice and equality briefings.
12 October 2012	Notification received from HEFCE that the Code meets REF requirements, or to request a resubmission of the Code.
October 2012	Approved Code to be uploaded to the University intranet and circulated electronically to academic staff.
October 2012	Approved Code to be uploaded to the University website (subject to approval).
October 2012	REF Staff Development: NUCA Code of Practice and equality briefings.
9 November 2012	Code to be re-submitted to HEFCE (if required).
December 2012	REF Staff Development: NUCA Code of Practice and equality briefings.
December 2012	Requests for updated Research and Consultancy Reviews (from substantive staff) and self-assessment of research outputs (from fixed-term, part-time and daily or hourly paid staff).
December 2012	Disclosure of individual staff circumstances letter circulated to all eligible academic staff (substantive, fixed-term, part-time and daily or



	hourly paid staff).
December 2012	Deadline for completion of the REF survey of submission intentions.
4 January 2013	Notification received from HEFCE that the revised Code meets REF requirements, or to request a second resubmission of the Code (if applicable).
11 January 2013	Deadline for updated Research and Consultancy Reviews.
11 January 2013	Code to be re-submitted to HEFCE (if required).
January to February 2013	Assistant Principal (Quality and Research) / Dean of Media, Dean of Arts and Design, and Research Coordinator to hold individual meetings with substantive academic staff to discuss the development of individual research profiles and research output nominations.
January 2013	REF Selection Panel, REF Equality and Diversity Group, and REF Appeals Panel equality briefings including consideration of ECU case study materials.
25 January 2013	Notification received from HEFCE that the Code meets REF requirements (if applicable).
28 February 2013	Deadline for receipt of research output nominations and details of individual staff circumstances from substantive, part-time, fixed term, daily and hourly paid staff.
March 2013	Meeting(s) of REF Equality and Diversity Group and REF Selection Panel and development of recommendations.
March 2013	Development of equality impact assessment of the recommendations of the REF Equality and Diversity Group and REF Selection Panel.
24 April 2013	Decisions of REF Equality and Diversity Group and REF Selection Panel and related equality impact assessment considered by the Research Committee. The Committee will receive an equality briefing at this meeting.
29 April 2013	All staff individually notified of the outcomes of the selection process and start of appeals process.
10 May 2013	Deadline for receipt of Appeals.
15 May 2013	Review of the equality of the process used to develop draft and final REF submissions and associated equality impact assessments by the Equality and Diversity Committee. The Committee will receive an equality briefing at this meeting.
17 May 2013	Meeting of the Appeals Panel (if required). Staff notified of the decisions of the Appeals Panel (if required).
24 May 2013	Conclusion of the appeals process.
17 June 2013	Draft REF submission and equality impact assessment to be considered by the Senior Management Team. The Team will receive an equality briefing at this meeting.
19 June 2013	Draft REF submission and equality impact assessment to be considered by the Academic Board.
July 2013	External review of draft REF submission.
31 July 2013	End of assessment period (for research impacts, research environment and data about research income and research doctoral

	degrees awarded).
July to August 2013	Data entry.
19 August 2013	Final REF submission and equality impact assessment to be reviewed by the Senior Management Team. The Team will receive an equality briefing at this meeting.
September 2013	Final REF submission and equality impact assessment to be considered by the Research Committee (extraordinary meeting).
31 October 2013	Census date for staff eligible for selection.
29 November 2013	Closing date for REF submissions.
31 December 2013	End of publication period (cut-off point for publications of research outputs, and for outputs underpinning impact case studies).
5 March 2014	Final REF submission and equality impact assessment to be considered by the Academic Board.
December 2014	Publication of outcomes.
Spring 2015	Publication of submissions, panel overview reports and sub-profiles.

## Guide

Code of Practice on the Selection of Staff for the Research Excellence Framework 2014
Staff selection process
Staff development and training
Submission development process
Assessment periods and publication of outcomes

## Annex B

### **Terms of Reference of the Academic Board**

To approve and implement the University's Strategic Plan

To determine the University's academic policies and procedures

To ensure that the University's academic standards are maintained and enhanced

To co-ordinate the design, approval, monitoring and review of academic programmes of study

To ensure compliance with procedures for student progression, the award of qualifications, and for nominations for honorary Doctorates

To commission and approve the sub-strategies of the Corporate Plan

To approve External Examiner nominations

To define the University's policies for marketing, admissions and recruitment

To advise on any other matters which the Principal may refer to the Board

The Board will establish such committees as it considers necessary to enable it to carry out its responsibilities provided that each establishment is approved by the Principal and the Board of Governors. So far as is practicable the Academic Board will delegate specified functions to its Sub-Committees and Boards.

### **Membership**

Principal (Chair)

Deputy Principal

Assistant Principal (Quality and Research) / Dean of Media

Assistant Principal (Student Experience)

Academic Registrar

Dean of Arts and Design

Director of Human Resources

Director of Marketing

Head of Finance

3 elected members of academic staff

3 elected members of support staff

Students' Union President

The Personal Assistant to the Assistant Principal (Quality and Research) / Dean of Media will act as convening secretary to the Board

## Annex C

### **Terms of Reference of the Research Committee**

The Committee's work will relate to the University's definitions of research and consultancy in the Research and Consultancy Strategy 2009-14, p.7-8.

To promote and encourage research, scholarship and professional practice throughout the University

To monitor the development of the research environment, the development of funding applications to support research activity, and the standard and volume of research activity within the University

To monitor and evaluate staff Research and Consultancy Reviews, and to advise Deans of Faculties about the development of research, scholarship and professional practice within the Faculties

To lead the implementation of relevant sections of the Research and Consultancy Strategy, including those concerned with the Research Excellence Framework (REF), ensuring that developments reflect the aims and targets of the Strategic Plan

To develop and promote the University's research profile locally, regionally, nationally and internationally

To report to the Academic Board

### **Membership**

Assistant Principal (Quality and Research) and Dean of Media (Chair)

Assistant Principal (Student Experience)

Dean of Arts and Design

Research Coordinator

2 members of academic staff from the Faculty of Media (to include one Course Leader)

3 members of academic staff from the Faculty of Arts and Design (to include one Course Leader)

(NB academic staff members to include one who also teaches at MA level)

The Research Administrator will act as convening secretary to the Committee

## Annex D

### **Terms of Reference of the Equality and Diversity Committee**

To monitor the implementation of the University policies relating to equality and diversity, ensuring that these reflect the aims and targets of the Corporate Plan

To work towards ensuring equality of opportunity for all staff and students

To increase awareness of equality and diversity issues throughout the University

To promote equality of regard throughout management, staffing, curriculum and teaching in the University

To encourage recruitment, admissions and employment procedures which demonstrate adequate representation of different social and cultural groupings

To recommend provision of support and advice to staff and students regarding unwelcome comment or actions relating to age, race, disability, gender, marital status, sexual orientation, nationality and faith

To promote attitudes discouraging hurtful or discriminating behaviour to include the use of stereotyping and the exercise of prejudice of any kind

To recommend strategies relating to access opportunities and student support

To monitor relevant external developments, consider their implications for the University , and make recommendations for refinements to University policy and practice to Academic Board sub-committees and/or the Strategic Management Group

To report to the Academic Board

For the purposes of REF to report to the Research Committee, the REF Selection Panel and the REF Equality and Diversity Group

### **Membership**

Librarian (Chair)

Director of Human Resources

2 members of academic staff

1 member of support staff

Estates Manager

Students' Union President

A member of the Senior Management Team Secretariat will act as convening secretary to the Committee

## Annex E

### **Terms of Reference of the REF Selection Panel**

To assess individual staff research profiles against the selection criteria for inclusion within the University's REF submission

To assess the accuracy of information contained within individual staff research profiles against the REF assessment criteria and level definitions

To assess the dependability of the evidence of staff research output and impacts, including any corroborating evidence against the REF assessment criteria and panel statements

To agree panel judgments about the quality, accuracy and evidence of individual staff research profiles, outputs and impacts.

To report to the Research Committee

### **Membership**

Senior Research Professor

Assistant Principal (Quality and Research) / Dean of Media (Chair)

Dean of Arts and Design

Research Coordinator

Research Development Manager

Professor of Animation Education

Senior Lecturer Fine Art

The Research Administrator will act as convening secretary to the Panel

## Annex F

### **Terms of Reference of the REF Equality and Diversity Group**

To assess information provided about individual staff circumstances and their effect on an individual's ability to conduct research during the REF assessment period

To assess the extent to which an individual's circumstances should be described as being clearly defined and/or complex

To assess the dependability of the evidence of the individual circumstances including any corroborating evidence

To make recommendations about appropriate reductions in the number of outputs to be submitted

To report to the REF Selection Panel and the Research Committee

### **Membership**

Academic Registrar (Chair)

Assistant Principal (Student Experience)

Director of Human Resources

Librarian

The Research Administrator will act as convening secretary to the Group

## Annex G

### **Terms of Reference of the Appeals Panel**

To meet as appropriate to consider appeals made by academic staff against decisions made through the REF selection procedures outlined in the University's Code of Practice on the Selection of Staff for the Research Excellence Framework 2014

To hear representations from the appellant or their representative in consideration of the appeal

To decide on the outcome of the appeal and to make recommendations on any action to be taken

### **Membership**

Assistant Registrar (Academic Support) (Chair)

2 academic staff members of Academic Board (neither of whom shall be involved or closely connected to the appellant)

A member of the Academic Support Office will attend in an advisory capacity to the Committee

The Chair may co-opt an external independent member to the committee. The Chair exercises discretion when considering whether an external member of the Committee is required.

A member of the Senior Management Team Secretariat will act as convening secretary to the Committee



## Annex H

### **Terms of Reference of the Senior Management Team**

To advise the Strategic Management Group on matters relating to strategic and corporate planning

To advise the Strategic Management Group on policies and developments relating to staff employment

To discuss national policy, legislative changes and initiatives relating to the Higher Education sector and consider the implications for the University

To consider and resolve issues affecting the operation of the University

To approve guidelines and procedures to support the delivery of policy

To advise the Principal or Strategic Management Group on such matters that may be referred to the Team

To receive reports from the Assistant Principal (Student Experience) of meetings of the Course Leaders Group

### **Membership**

Principal (Chair)

Deputy Principal

Assistant Principal (Quality and Research) / Dean of Media

Assistant Principal (Student Experience)

Dean of Arts and Design

Academic Registrar

Director of Human Resources

Director of Marketing

Head of Finance

Business Director

## Annex I

### **Terms of Reference of External Advisors**

External Advisors are appointed by the University for the purposes of REF to assess the quality of research undertaken within the institution and to make recommendations to the University regarding the optimisation of its REF submission.

External Advisors on aspects of strategic or operational development work to a brief provided by, and submit a formal report with recommendations to, the Academic Board.

External Advisors may be practitioners in the creative and cultural sectors, staff from peer institutions, or others who are deemed appropriate by the Academic Board.

The appointment of advisers and consultants is the sole responsibility of the Academic Board.

External Advisors should have detailed specialist knowledge of the disciplines associated with the Unit of Assessment to which they may make recommendations regarding the optimisation of the University's REF submission.

External Advisors should have significant experience of previous Research Assessment Exercises and up to date knowledge of issues that are likely to affect the REF.

External advisers will be invited to attend a briefing session with the Assistant Principal (Quality and Research) / Dean of Media.

External Advisors will make written reports to the Principal.

When forming recommendations to the University for the purpose of the REF External Advisors should refer, where appropriate, to the REF assessment criteria and level definitions.