

Code of Practice for the Research Excellence Framework 2021

Cardiff University

Part 1: Introduction

1.1 Codes should address the following:

- How the code relates to broader institutional policies / strategies that promote and support E&D.
- An update of actions taken since REF 2014.
- How the institution is addressing the principles of Transparency, Consistency, Accountability, and Inclusivity in demonstrating fairness (see paragraph 37).
- Reference to these principles should also be made, as appropriate, in completing the sections below.
- How the code is being communicated to staff across the institution (including to those on leave of absence), through various mechanisms and channels, including the staff intranet

Relationship to the broader Institutional policies / strategies that promote research and support equality and diversity

Cardiff University's strategic goals, including our aspiration to be a world-leading research-excellent university, are outlined in The Way Forward 2018-2023 (<https://www.cardiff.ac.uk/thewayforward>). This approach was developed via extensive consultation with our staff, and is underpinned by a set of core values, including our commitment to equality, diversity and inclusion (EDI).

We have a long-standing history of promoting EDI, recognised via an Athena SWAN Institutional Bronze award held continuously since 2009. In 2019, we were the highest placed University on the Stonewall top employers list (at 11th place), additionally recognised as a Stonewall Global Diversity Champion and Top Trans Employer. We are members of Advance HE's Race Equality Charter, and our Race Equality Project Officer represents the Welsh HE sector on Advance HE's Higher Education Race Action Group (HERAG) and has implemented a number of positive race equality initiatives throughout the University. Our University EDI committee is central to our EDI governance structure. It includes membership from staff and students, the University Executive Board, trade unions, and staff equality networks (e.g., Disability, Enfys (LGBT+), Carers and Working Families, BAME+, Rhwydwaith). The Pro Vice-Chancellor Research, Innovation and Enterprise (PVCRI) is a member of the EDI committee. This ensures that our research strategy, and how it is implemented to enhance the research opportunities for all staff at the University, strongly reflects the University's EDI priorities.

In July 2018, we appointed a University Dean for EDI, who works with Colleges and thematic PVCs to ensure that EDI is an embedded and highly visible part of our activities. The University Dean for EDI supports the PVCRI in the development of our REF 2021 approach. They are a member of the REF EDI Group responsible for developing our REF 2021 Code of Practice and Chair of the REF Individual Circumstances Group.

Principles guiding our REF preparations

The following principles govern the University's approach to REF 2021:

Inclusivity:

Our REF submission will:

- Showcase the achievements of our diverse community
- Apply an inclusive, but excellence-focussed approach
- Demonstrate the success of our researchers at all stages of their academic career
- Recognise contributions from all members of research teams
- Be informed by, and delivered, according to our Equality Impact Assessments

Excellence

We will focus on research excellence evidenced by:

- High-quality research outcomes, including those generated by interdisciplinary teams and global collaboration
- Delivery of change / benefit to members of society, facilitated by collaboration with a range of diverse external stakeholders
- Investment in a research environment designed to allow all our staff, across different career stages, to fulfil their research potential

Transparency

As part of the delivery of our REF process, we will ensure:

- Effective, responsive and clear consultation and communication with our staff, via a range of different approaches
- Focussed and up-to-date EDI training to those involved in support, reviewing and decision-making roles
- Development and implementation of accessible, consistent and robust governance, guidelines and reporting processes
- Decisions taken on relevant, justifiable criteria, fairly and consistently applied, with opportunities for appeal

Accountability and Consistency

We will work collectively and consistently during the REF period to:

- Ensure accountable and representative leadership across teams involved in developing our REF 2021 submission
- Deliver robust data systems and audit processes, facilitating consistent practice and application of those processes across the Institution
- Ensure decisions across the Institution are taken in accordance with the framework set out in this Code of Practice

Update of actions since REF 2014

After REF 2014, the University undertook a detailed analysis of the Institution's research performance, via a Research Forward Task and Finish Group. This group focussed on research income, research capacity, impact generation, outputs and open access and postgraduate researchers. The group identified a set of ambitions and actions for the ongoing development of our research strategy aligned to the University's overall The Way Forward strategy. We also considered the outcomes of the REF 2014 Equality Impact Assessment, ensuring that recommendations were fed into the Research Forward programme, and used to inform the Equality Impact Assessments to be carried out during preparations for our REF 2021 submission (see relevant parts in Sections 3 and 4 below).

Between 2016-2018, the University has augmented this approach via an annual Rolling REF exercise to understand its preparedness for REF 2021. This process involves two distinct sets of activities, one related to outputs and the other to impact. Internal assessments are carried out by staff and each activity is delivered transparently, inclusively and consistently across the University in line with the principles of this Code of Practice. All staff at the University are required to undergo the University's mandatory online EDI training. The timelines for assessment activities are communicated to all staff at the Institution, with Schools providing staff with feedback regarding the outcomes of these activities. The broad outcomes from these assessments are discussed at the University Director of Research Network, with College Deans of Research and Innovation giving talks and further feedback sessions to staff in Schools, as required. The assessments undertaken to date have been as follows:

Outputs: For outputs, on three occasions (in February 2016, October 2017 and October 2018), we asked Schools to consider the outputs produced by staff since REF 2014, providing a REF likely assessment based on a quality review informed by REF 2014 output criteria. This process focussed on outputs from staff holding teaching and research, as well as research only, contracts (the latter those individuals where independent working was specified within the contract offered by the University). Internal peer review was undertaken in Schools by staff with knowledge / experience of REF and / or output assessment (e.g., Directors of Research). Data was collated at School / College level and reported to the REF Committee / University Executive Board / Senate / Council. Pro Vice-Chancellors for the Colleges held meetings with Heads of School to discuss the data and how to support staff to develop outputs for REF 2021. A further meeting was held between the Vice-Chancellor and PVC Colleges, bringing together data across the University and ensuring consistent approaches across Colleges.

Impact: Since REF 2014, the University has encouraged, supported and mentored staff who are engaging in the development of impact case studies (e.g., via the provision of workload points, support for staff to help them develop impact, access to impact accelerator funding and peer-to-peer support and networking). In 2016, as part of the Rolling REF process which also looked at outputs, Schools were asked to identify any potential impact case studies for REF 2021. Impact knowledgeable staff in each College undertook a light touch review of these cases with the aim of providing support and advice for case authors in how they could further develop the impact. Impact leads across the University then supported the case authors in delivering these plans as required after the review, with Schools providing tailored support as required. In 2018, a more detailed evaluation of REF 2021 impact case studies was undertaken via panel review, involving both internal and external reviewers. The latter involved users of impact, as well as individuals who had previously taken part in REF 2014 reviewing. As in 2016, copies of the reviews and consolidated feedback were provided for our staff working on impact to help them identify gaps / needs with their impact; the University also indicated

whether the case had potential to be submitted to REF 2021. The latter was designed to allow the University to prioritise resources and workloads to support case authors in working with external stakeholders to generate impact.

Communications with staff

Consultation and communication with staff will be integral to the development and delivery of our REF 2021 submission, and we provide in Appendix A our Communications Plan for the REF Code of Practice. Communication with staff during the REF period prior to submission will involve the following approaches, used at different points in the REF timeline depending upon communication and consultation needs:

- All staff email (e.g., brief REF updates, **sent to all staff**)
- *Blas* – the Cardiff University staff newsletter (e.g., brief REF updates, **sent to all staff**)
- REF intranet page (e.g., detailed updates around progress / timelines / membership of the REF groups and support teams, as well as surveys for consultation around approaches, **publicised and accessible to all staff, including those on secondment or leaves of absence**)
- College Boards (e.g., brief / detailed REF updates, **involves all Heads of Schools and senior professional services, such as HR, Finance and Communications**)
- University Directors of Research Network (e.g., brief / detailed REF updates, **reaches all Directors of Research / University Research Institute Directors / senior research professional support staff**)
- School Senior Management Teams / Research Committees (e.g., brief / detailed REF updates, **involves senior academic and professional management and research leaders within Schools**)
- Townhalls and face-to-face meetings, with staff and student networks and trade unions (all aspects of the REF plans, **accessible to all staff**)
- Online consultation responses and email updates (e.g., all aspects of the REF plans, **accessible to all staff**)
- Emails (e.g., brief REF updates for staff, including noting update of REF information and current status as we implement our Code of Practice, **subsets or all staff as required**)
- Letters and physical copy of the Cardiff University REF Code of Practice sent to home address via Head of School / Human Resources, **for staff on leave of absence, secondments or affected by long-term ill-health**).

Feedback from staff after consultation, and feedback to staff around decision-making

Aligned to our Code of Practice principles, we are committed to transparent consultation and feedback to staff around decision-making aligned to the REF 2021 submission. The key feedback stages, and what information has, or will be, provided to staff, is outlined in Appendix H. Code of Practice consultations with a range of staff allowed us to broadly consult on all aspects of REF 2021 decision-making. A key part of that consultation focussed on the changes to REF 2021 output submission from REF 2014, and how that enhanced the University's ability to flexibly accommodate part-time working, individual circumstances and early career researchers. We also discussed with staff that this change to the rules meant variation in the number of outputs with which staff would be submitted to REF, and that our decisions about this would not impact negatively on careers. We outlined to staff in a separate 'Changes to the Code of Practice' document how our consultations led to changes to the final Code of Practice, demonstrating how our research community contributed to

the final agreed processes within the Code of Practice. A summary of these changes can be found in Appendix J.

Part 2: identifying staff with significant responsibility for research Part 2 need only be completed where the institution will not be submitting 100% of Category A eligible staff in one or more Unit of Assessment.

As discussed below, we intend to submit 100% of all Category A eligible staff employed by Cardiff on the REF census date. We will include the outputs of former staff aligned to the funding bodies' guidance that outputs from former staff can be included in the REF submission (REF 2019/01 *Guidance on submissions*, paragraphs 211-216).

Part 3: Determining research independence.

3.1 Policies and procedures (see paragraph 38).

- Criteria used for determining staff who meet the definition of an independent researcher, including information about how the criteria are being applied.
- How decisions are being made and communicated to staff, including timescale.
- Codes of practice should describe stages of approval (diagrams, schematics & timelines might be included as an aid).

Criteria for judging independence

As noted within our REF principles, we are committed to highlighting the achievements of our diverse community and applying an inclusive, excellence-focussed approach to our REF 2021 submission. This extends to inclusion of our more junior researchers, who have transitioned to working independently. To establish which members of staff fit the criteria for independence, we will apply the following process based on the criteria for independence outlined in the funding bodies' REF 2021 guidance (see Appendix B for flow diagram process):

Step 1 (identification of teaching and research staff eligibility)

As part of their contract, all teaching and research staff at Cardiff University are expected to undertake research and have time included within their workload allocation to support significant research activity. All staff on this contract are independent, based on the appointment requirements of the teaching and research contract at Cardiff University. Consequently, 100% of teaching and research contract staff at Cardiff University are eligible for REF 2021.

Step 2 (identification of research only staff working independently):

Based on the funding bodies' guidance, we will identify research staff working independently for inclusion in REF 2021 as follows:

(a) Staff lists will be provided to Schools: this staff list will include all research-only staff employed at Grade 6 and above.

Job criteria for staff employed at Grade 5 at Cardiff University indicates that these staff members are employed to work on a project led by another researcher (e.g., a non-independent research assistant role, see REF 2019/01 *Guidance on submissions*, paragraph 130).

(b) Using the staff lists, Schools will indicate whether their research-only member of staff fulfils a set of independence criteria, provided for Institutions as part of the funding bodies' guidance (REF 2019/01 *Guidance on submissions*, paragraph 132 and REF2019/02 *Panel criteria and working methods*, paragraphs 187-189). This assessment will be undertaken by Directors of Research and Heads of Schools, with input from the Unit of Assessment (UoA) Leads as required. The process to identify research only staff working independently will be undertaken separately to the consideration of staff outputs.

The criteria provided in the list for Schools to endorse (via provision of a Yes or No dropdown box) will be as follows:

1. The staff member is undertaking self-directed research as opposed to carrying out research as part of another individual's research programme;
2. The staff member is a principal investigator on an externally funded research project;
3. The staff member is leading a research group or a substantial or specialised work package;
4. The staff member holds an independently won, competitively awarded fellowship where research independence is a requirement (with information to be provided to the School regarding illustrative fellowships which are considered to fit this criterion, as provided by the funding bodies).

For Schools with staff likely to be submitted to REF panels C and D, Schools will also be asked to endorse the following criteria, considered additional potential indicators of independence by the funding bodies for the disciplines within those panels:

5. The staff member is a co-investigator on an externally funded research programme with responsibility for delivery of a discrete and substantial work-package within that research programme;
6. The staff member provides significant input into the design, conduct and interpretation of the research.

To be considered to be working independently, we expect Schools to endorse *Criterion 1* that staff members, across all disciplines within the University, are undertaking self-directed research as opposed to carrying out research as part of another individual's research programme. We would also normally expect endorsement of at least one of *Criteria 2-4* (Panels A and B) and at least one of *Criteria 2-6* (Panels C and D), taking into account disciplinary differences between panels as suggested by the funding bodies. This approach is consistent with the funding bodies' guidance (see REF2019/01

Guidance on Submissions, paragraph 132) that single indicators from their list may not individually demonstrate independence, and that multiple indicators may need to be considered.

Step 3: Check and evidencing

The completed spreadsheets from Schools will undergo a further level of consideration involving Cardiff University's four Main Panel REF links (REF knowledgeable individuals appointed to support the PVCr to deliver the REF 2021 submission, with combined experience of research leadership and independence decision-making in the context of early research careers). The REF links will meet with each Director of Research and Head of School in their associated College to go through the list, discuss the evidence considered to make the decisions and confirm the outcomes of the decisions, ensuring a robust, consistent and evidenced approach across Schools and Colleges.

Ongoing assessment of independence (using the outlined process) will be undertaken as we develop our REF submission, in order to ensure that we can account for new recruits to the University, as well as staff whose independence status may change during the REF period, changing their eligibility for REF. We will do a first check around independence status in summer 2019, followed by two further checks prior to the final REF submission.

Step 4: REF Independence Group sign-off

Our proposed list of independent research-only staff will be provided for the REF Independence Group every time we undertake an assessment (which will comprise individuals with substantial external experience of reviewing and assessing transition to independence fellowships, as well as the REF links for consistency with earlier stages of the process). This group will be chaired by the PVCr and will be responsible for ratifying School decisions and ensuring a consistent approach has been applied across the University. They will also undertake, and consider the outcomes of, an EDI analysis aligned with our REF principle around inclusivity (supported by the University Dean for Equality, Diversity and Inclusion). Where further information /discussion is required, this will be followed up with Schools until the panel is confident in the decision. These decisions will be initially be considered tentative – based on information available at the time the assessment was undertaken and given that staff can move from independent to non-independent roles at the University during the REF period, such as at the end of fellowships where they may move to research associate position on a grant being directed by another member of staff. Final decisions will be taken in 2020, once we know what roles staff are holding on the census date and ensuring that decisions around independence are taken with respect to role at the REF census date.

The final list of staff considered to be working independently will be signed-off by the REF Independence Group, with a summary of the outcomes of this decision reported to the REF EDI Group, and in turn the REF Committee for final ratification.

Step 5: Independence outcome communications to staff

Our process for considering independence of R-only staff has been discussed via Code of Practice consultations; these discussions will be continued during the development of our REF submission to ensure full understanding of our process, and timelines for tentative and final decisions around independence. We will ensure that staff understand that decisions are based on the role they hold at

the REF census date, and that our assessment of independence could change between assessments if the staff member's employment circumstances change.

Tentative and final decisions will be communicated to staff via e-mail outlining the process by which independence was established, and the outcomes of the assessment undertaken in their case. Specifically, the emails will advise:

1. **Confirmed:** The staff member is currently considered to be working independently, undertaking self-directed research, and is tentatively considered eligible for REF 2021. This decision will be finalised closer to the REF submission to accommodate any moves of contract in the University which could affect the independence status of staff.
2. **Not confirmed:** The staff member is not currently considered to be working independently via the delivery of self-directed research and is, therefore, not currently eligible for REF 2021. This decision will be finalised closer to the REF submission to accommodate any moves of contract in the University which could affect the independence status of staff.

This email will come from the PVCRC, after endorsement of decision-making from the REF EDI Group / REF Committee (the latter also includes the Pro Vice-Chancellors for each College, ensuring input from senior leaders in each College).

For both tentative and final decisions, staff will be provided with an opportunity for a face-to-face meeting with members of the REF Independence Group, including a member of Human Resources, if they wish to discuss the outcome further. Staff members will be able to appeal the decision with a focus on the provision of evidence of independence aligned to the criteria as set out in the University's Code of Practice and based on the funding bodies' REF guidance.

Step 6: Appeals

The appeals process for decisions around independence is set out in Section 3.3 below and involves consideration by the REF Appeals Panel chaired by the Deputy Vice-Chancellor who is the University Executive Board lead for EDI at Cardiff University.

Communications and Timelines

Aligned to our principle around responsive and clear consultation and communication of our REF approach, we will engage with staff on our planned processes to establishing independence in a number of different ways, including via the different communication approaches / timelines noted in Part 1, and specifically via the all staff consultation on the Code of Practice.

Additionally, we will undertake discussions with the Cardiff University Research Staff Association (CURSA), which represents our research only (R-only) staff and is in an excellent position to facilitate discussion with R-only staff and help us understand REF from their perspective. Our REF EDI Group has a CURSA representative for research-only staff, ensuring early engagement in the plans for assessment of independence and ongoing input as we implement our planned approach to establishing independence. These approaches are designed to ensure we can apply the funding bodies' independence criteria in a fair, transparent and equitable way for our staff.

Once our Code of Practice is complete, having been agreed by our research community and REF governance groups, we will provide Schools with the relevant spreadsheets for them to start the process outlined above.

3.2 Staff, committees and training (see paragraphs 41 to 45). (Where such staff and committees are the same as those outlined in Part 2, institutions can cross-refer to that section)

- Procedures for identifying designated staff and committees / panels responsible for determining research independence (distinguishing between those with advisory and those with decision making roles).
- Information provided should include role descriptions for individuals and terms of reference for committees / panels, modes of operation, and record-keeping procedures, as well as information about where these roles / committees / panels fit into the wider institutional management structure.
- Details of training provided to individuals and committees involved in identifying staff, the timescale for delivery, and content (including how it has been tailored to REF).

REF Governance structure

Our REF Governance structure is shown in Appendix C. We also include the Terms of Reference for these core Committees and Groups in Appendix D, as well as the membership of each group. Cardiff University has robust appointment processes for membership of all committees and groups; specific information about appointment procedures for each of our REF Groups is provided in Appendix D. Our REF Groups focus on membership based on relevant expertise (e.g., REF or significant external reviewing expertise), while ensuring representation from across our diverse research community, including from typically under-represented groups, as well as early career researchers (where relevant). They are also designed to ensure input from core groups where REF decision-making is particularly impactful (e.g. our Cardiff University Research Staff Association in the context of decision-making around independence).

We note below the different entities involved in our REF governance structure, and the key role played by that committee or group. All individuals involved in these REF groups will be provided with EDI training (as specified below for each group) allowing them to undertake their REF role with reference to our core principles of showcasing the achievements of our diverse community by taking an inclusive, excellence-focussed, consistent approach to our REF submission. The training schedules for REF groups is shown in Appendix I).

University-level REF Groups

- University Executive Board** (Chair - Vice Chancellor): Overall oversight for our REF 2021 approach [record-keeping: minutes; receives regular REF update progress summary]. Decision-making role (all aspects of the REF submission).
- REF Committee** (Chair - Pro Vice-Chancellor Research, Innovation and Enterprise): Responsible for the strategic and operational delivery of REF 2021 [record-keeping: minutes] Decision-making role (all aspects of the REF submission, reporting to UEB).
- REF EDI Group** (Chair – Dean of Research & Innovation for the College of Arts, Humanities and Social Sciences): Responsible for the development and delivery of the REF 2021 Code of

Practice, Equality Impact Assessments and analysis of data by protected characteristics (and implementation of any actions required to address potential inadvertent discrimination) [record-keeping: actions]. Decision-making role (all aspects of the REF submission, reporting to REF Committee).

- iv. **REF Independence Group** (Chair – Pro Vice-Chancellor Research, Innovation and Enterprise): Responsible for selection of staff based on independence criteria [record-keeping: minutes without confidential information, provided for the REF EDI Group and REF Committee]. Decision-making role (research independence, reporting to REF EDI Group).*
- v. **REF Individual Circumstances Group** (Chair – University Dean for Equality, Diversity and Inclusion): Responsible for assessment and decision-making around the impact of personal circumstances [Note, information detailing individual circumstances will be restricted to as few people as possible to ensure that information is handled sensitively and in line with the Data Protection Act 2018] [record-keeping: minutes without confidential information, provided for the REF EDI Group and REF Committee]. Decision-making role (consideration of individual circumstances, aligned to output selection).
- vi. **REF Appeals Panel** (Chair – Deputy Vice Chancellor): Responsible for considering appeals from staff around independence, early career and personal circumstances decisions [record-keeping: minutes without confidential information provided for the REF EDI Group and REF Committee]. Decision-making role (consideration of independence, early career researcher status and individual circumstances, aligned to output selection).

*Directors of Research and Heads of School will also receive training for decision-makers, given their role in the research independence process.

College and School REF Groups

- vii. **College Boards**, including:
Pro Vice-Chancellor College and Heads of School. Responsible for oversight of REF delivery at College level, and within Schools. [Record-keeping: minutes].
- viii. **College REF Strategy Groups**, including:
UoA Leads [Record-keeping: actions]. Responsible for oversight of REF delivery at College level, and specifically within UoAs.
- ix. **REF Output Assessment Groups** (Chairs – Directors of Research and / or UoA Leads): Responsible for management of internal reviewing of outputs, impact case studies and development of environment templates, as well as implementing any requirements for external reviewing. [Record-keeping: panel diversity & expertise, output reviewing allocations, reviewer information, scores and provision of datasheets to REF Data Modelling Group & members of REF Committee].
- x. **REF Operations Group** (Chair – REF Manager): Responsible for supporting the REF Committee in the operational elements of the University's REF submission. [Record-keeping: actions, provided for REF Committee].

- xi. **REF Data Systems and Modelling Group** (Chair – College Dean for Research and Innovation): Responsible for undertaking modelling of all REF 2021 data based on Code of Practice specifications. [Record-keeping: actions, provided for REF Operations Group, REF EDI Group and REF Committee].

We will also use the **University Directors of Research Network** (Chair – Pro Vice-Chancellor Research, Innovation and Enterprise) as a discussion forum for development of our University REF 2021 approach and sharing of best practice across the University [record-keeping: actions].

EDI Training

A tailored, and auditable, approach to EDI training will be implemented for our REF submission, based on advice from the REF EDI Group and the University's Assurance team. The level of EDI training undertaken by any individual involved in REF is dependent upon their role: specifically, whether they are involved in (a) a **support** role, (b) undertaking a **reviewing** (outputs) role or and / or (c) acting as a key **decision-maker** involved in application of the Code of Practice criteria for the REF submission.

EDI training will be as follows:

Supporting: All individuals involved in the delivery of our REF submission, whether professional services staff collating and supporting data collection or analysis of REF outcomes, academic staff involved in reviewing outputs or impact case studies and those involved in more significant REF decision making will be required to have up-to-date online **University EDI, and unconscious bias, training**.

Reviewing: Cardiff University staff involved in reviewing outputs will be additionally trained on **potential equality impacts in the context of REF via the delivery of a 2-hour tailored internal workshop** supported by the Assurance team at the University. This workshop will cover protected characteristics, unconscious bias, intersectionality and promote our core principles of inclusivity and diversity. Examples using confidential and exemplar REF processes and data will be used to understand equality impacts, and illustrate how discrimination and bias can arise in the context of REF.

Decision-making: Individuals viewed as key REF decision-makers (see above) will undertake online training and attend the internal Cardiff workshop but additionally be required to undertake further **training facilitated by an external EDI Expert** on inclusive leadership and decision-making, ensuring inclusion forms an intrinsic part of Cardiff University's delivery of our REF submission.

Our approach aims to ensure distinct forms of equality relevant REF training providing our decision-making staff with a breadth of understanding of how EDI should be embedded, considered and facilitated in our REF 2021 submission.

3.3 Appeals (see paragraphs 68 to 71). (Where the process follows that outlined in Part 2, institutions can cross-refer to that section)

- How the appeals process has been communicated to staff.
- Details of the process, including how cases are submitted, eligible grounds for appeal.
- Details of those involved in hearing any appeals (demonstrating their independence from earlier decision processes), timescales and how decisions are being communicated to staff.

Communications on process for appeals

We will make clear to our staff, via the REF intranet page, as well as REF communications via email, the Cardiff *Blas* newsletter and discussion forums (such as townhalls and the University Director of Research Network), that there is a mechanism for them to appeal REF decisions. When formally informed about the outcome of independence decisions, we will also ensure that staff are provided with information regarding how to appeal that decision. This ensures staff are aware of the process for appeal both prior to decisions, and directly when informed of the decision outcome.

Appeals process

Staff will be given the opportunity to appeal decisions taken around decisions associated with research independence eligibility (note, the same approach will be taken to allow appeals for individual circumstances, see relevant section in Part 4). Staff can appeal the decision about independence on the grounds that due process has not been followed, or on the basis of a defect in the application of the Cardiff University REF Code of Practice.

For all appeals, notice of the intention to appeal must be made in writing to the Deputy Vice-Chancellor (as Chair of the Appeals panel) within fifteen working days of the member of staff receiving the initial outcome of the meeting of the REF Individual Circumstances Group / REF Independence Group, providing details of the grounds for the appeal. Information about the process for independence appeals is outlined here; the process (which is similar) for appeal of personal circumstances is outlined in Part 4.

Independence appeal

Step 1: Written appeal

As outlined in Part 3, Cardiff will use the funding bodies guidance to identify independent researchers. Should a staff member wish to appeal the decision about research independence, they will have the opportunity to discuss this with a member of the REF Independence Group. The staff member will be expected to present evidence that either due process has not been followed in considering their independence, or to demonstrate how they meet the definition of research independence as set out in the Cardiff REF Code of Practice. Specifically, they will need to evidence that they are undertaking self-directed research, involving clear intellectual ownership of a programme of research and associated outputs, and normally endorsement of at least one of the other key criteria associated with independence (as outlined in Part 3.2). Evidence will need to be prepared electronically together with a written statement of no more than 250 words outlining why the individual considers themselves to meet the criteria for independence.

Step 2: Panel consideration and final decision

Appeals will be considered by the REF Appeals Panel, comprising three senior individuals not involved in prior REF decision-making around independence, but also early career status and individual circumstances (given that the Appeals Panel will cover all three of these areas). This group will be chaired by the Deputy Vice-Chancellor, who is the University Lead for Equality, Diversity and Inclusion, and include the Director of HR and the Pro Vice-Chancellor for Student Experience and

Academic Standards (the latter sits on the University EDI Committee and has considerable experience in this area). Appeals will be submitted via a confidential process meeting the requirements of data protection legislation.

Outcomes of appeals will be communicated formally via email as soon as possible after the decision, but at the latest within a month of the decision. The staff member will also be offered the chance to meet with a member of the Appeals panel for further feedback if they wish.

Equality impact assessment. How an equality impact assessment has been used to inform the identification of staff and make final decisions.

Led by the University Dean for Equality, Diversity and Inclusion, the University will conduct Equality Impact Assessments (EIAs) on the REF 2021 Code of Practice and outlined procedures. This will include consideration of the spread of outputs across current and former staff (where former staff are included in our submission), in relation to protected characteristics. It will also include our processes for selection of staff (e.g. identification of independence) and allocation of outputs, including (for current staff) consideration of circumstances which have affected the ability of staff to research productively. EIAs will be undertaken throughout the submission process (see timeline in Appendix E) and will cover our planned Mock REFs as well as the final REF submission, and the processes for independence and individual circumstances. This approach ensures that the results of EIAs can be used to inform and refine processes as we develop our REF 2021 submission.

EIAs will enable Cardiff University to identify any inadvertent, adverse impacts, within our REF 2021 processes in relation to any of the protected characteristics outlined in the Equality Act 2010. The REF EDI group have conducted an initial EIA prior to submission of our Code of Practice (see Appendix E).

The EIAs will enable the REF EDI Group to address three fundamental questions:

1. Is there any direct discrimination?
2. Is there any potential for indirect discrimination?
3. What are the potential adverse impacts on those with protected characteristics and how will they be addressed?

If evidence of discrimination in our processes is evident, the REF EDI group will develop and implement a SMART action plan linked to required outcomes with a designated lead and associated timescale. The Code of Practice will be modified accordingly. Our EIAs will be reviewed as we develop and implement our REF approach, in particular following the University's Mock REF planned for Autumn 2019.

Where data on staff protected characteristics are available they will be used to reliably test for potential impacts of EDI in (a) our decisions around inclusion or exclusion of staff based on the independence criteria, (b) reductions associated with early career researcher status, (c) our process for allocating outputs with multiple authors, and the spread of those based on EDI characteristics, (d) overall output productivity and (e) our process for considering the impact of personal circumstances. The outcomes of these analyses will be reported to the REF EDI Group, and considered in alignment with the EIA.

The University will publish a full report of its EIA after the REF submission has been made, including any actions we took to overcome any processes that might have inadvertently led to discrimination or failed to advance equality and inclusion aligned to our core values and REF principles. The data used in published EIA reports will not identify individuals and will comply with Data Protection requirements.

Part 4: Selection of outputs

4.1 Policies and procedures (see paragraph 38).

- Details of procedures that have been developed to ensure the fair and transparent selection of outputs
- Information should be provided about the procedure development process and the rationale for adopted methods.
- Codes of practice should describe stages of approval (diagrams, schematics & timelines might be included as an aid).

Cardiff is committed to showcasing outputs from all members of its diverse research community. In selecting outputs for the submission, we will focus on research excellence and inclusivity, ensuring that all members of research teams can make their contribution to our REF submission. We will include the outputs of former staff as per the funding bodies' REF 2019/01 *Guidance on submissions*, paragraphs 211-216.

As noted in Part 1, since 2016, we have been undertaking transparent and accountable assessment of outputs and impact in alignment with the principles included our Code of Practice. This has been done in full consultation with our staff. This has included consideration of former staff outputs, aligned to the funding bodies' guidance that outputs from former staff can be included in the REF submission if the institution chooses to do so.

The sections below outline our planned preparations for the full submission, which requires selection of outputs, selection of staff (based on eligibility criteria, such as independence, see Part 3) and consideration of personal circumstances which might have impacted on research productivity during the REF period prior to submission (see Part 4.3). We also note our approach to UoA modelling. All these approaches have been informed by consultation (via different methods) with our staff throughout the process of developing our REF 2021 submission.

These approaches have also been developed in consultation with the REF EDI Group, aligned to our Code of Practice, as well as via discussion with the REF Committee which includes representation from the College Deans of Research and Innovation, Human Resources, Department of Strategic Planning and Governance, as well as the Pro Vice-Chancellors for the three Colleges at Cardiff University.

Procedures to ensure fair and transparent selection of outputs

In 2019/20, as our REF 2021 submission is being developed, the following processes will be applied to ensure selection of an equitable and transparent set of research outputs. Aligned to our Code of Practice principles, our focus will be on submitting outputs of the highest research quality while showcasing the contributions of all members of our research community.

This will be achieved by following the steps below (see flow diagram in Appendix F):

Step 1: Outputs will be pulled from our online research repository (ORCA) – where they are deposited by our staff at acceptance – and provided for Directors of Research / UoA Leads and their Output Assessment Groups. As noted in Part 3.2, EDI and REF-tailored Equality Impact training is given to all individuals undertaking reviewing of REF outputs. All Output Assessment Groups are also required to demonstrate that they are diverse in their representation and have the necessary disciplinary expertise to review outputs within their UoA. Information about these reviewing teams is provided for staff on our REF intranet.

Stage of approval and consultation: University Directors of Research Network, REF EDI Group and REF Committee

Step 2: These outputs will be internally reviewed based on REF 2021 output criteria, aligned to the University's minimum reviewing expectations document (provided for all Schools). This will be undertaken by School and / or UoA Output Assessment Groups, depending upon where we are in our REF submission development. The potential UoAs in which staff members can be submitted will be identified by asking Directors of Research and Heads of Schools to indicate where outputs may best sit within UoAs; this information will be used in our data modelling to consider what outputs would best be submitted to which UoAs. With regards to reviewing of outputs, where there is a divergence of opinion amongst reviewers, additional internal and/or external reviewing will be undertaken by another member of the Output Assessment Group or by a member of a different School / UoA Output Assessment Group, as required. External reviewing (from REF-experienced panellists / reviewers) will be used where there is a lack of disciplinary expertise within a School to ensure robust output reviewing and / or where there is a need for calibration around internal scores. These assessment approaches will be undertaken in a fully transparent way, with current members of staff informed about the outcome of our output assessments. Similarly, where external reviewing is required, to calibrate or decide between outputs, again staff will be informed about this need and the outcome of these assessments.

Information will be provided for staff, via townhalls, presentations and the intranet, regarding the REF 2021 submission requirements, and how that influences University decision-making regarding allocation of number of outputs across REF-eligible staff. We will explain that not all REF eligible outputs from a staff member may be submitted, due to the restriction in the number of outputs per Unit, and that consequently the number of outputs finally submitted to REF is not a robust marker of output productivity over the whole of a REF period. As such, data on which outputs are finally submitted to REF will not be used in performance management of staff. Rather, the full range of an individual's contribution to research will be reviewed through the University's yearly performance development review process which allows a fuller assessment of an individual's overall productivity and formally recognises any excellent research not submitted to REF for reasons beyond the individual's control. We will further ensure that staff know that information about the number of outputs included from a staff member will not be made public by the funding bodies.

Stage of approval: Schools / Colleges (in terms of additional reviewing requirements); overall approach REF Committee

Step 3: The scores for the outputs, and the potential UoA allocations, will be provided for our REF Data Modelling Group where we will apply an approach to output selection which focusses on research excellence, while also considering authorship contributions, staff status (e.g., currently employed / former member of staff), part-timing working (whether 0.2 FTE, 0.2-0.29 FTE and above) and output open access compliance. This modelling will also take into account situations where voluntarily declared individual circumstances would reduce our expectations of the number of outputs from a staff member (see Section 4.3), ensuring a direct link between our work on individual circumstances and output contributions. The data modelling work will be undertaken in iterative steps, involving ongoing discussion with Directors of Research / UoA leads as required.

Stage of approval: REF Committee

Step 4: The different data modelling options will be equality impact assessed to ensure that we mitigate any risk of detrimental impact on any particular groups within our submission (e.g., those with protected characteristics or early career researchers). Consultation around the outcome of different modelling options will be held with Heads of Schools, Directors of Research, UoA leads, REF EDI Group and the REF Committee to ensure broad consultation around the different approaches we can take to selection of outputs and the alignment of the final submission to the core values outlined in our Code of Practice.

Stage of approval: REF EDI Group and REF Committee (informed by iterative discussion with Schools / UoA Leads)

Step 5: When we have identified our confirmed output selection via that consultation, we will communicate with staff about the outcome of this data modelling, including the composition of the UoAs and output distribution / quality; this will be via our REF communications routes (see Part 1) and include opportunities for them to feedback accordingly.

Stage of approval: REF EDI Group, REF Committee and University Executive Board

Step 6: Final decisions for the REF 2021 submission will be agreed. We will communicate with staff regarding outputs to which they have had an authorial contribution.

Stage of approval: REF Committee and University Executive Board

4.2 Staff, committees and training (see paragraphs 41 to 45). (Where such staff and committees are the same as those outlined in Parts 2 or 3, institutions can cross-refer to that section)

- Procedures for identifying designated staff and committees / panels responsible for selecting outputs (distinguishing between those with advisory and those with decision making roles).
- Information provided should include role descriptions for individuals and terms of reference for committees / panels, modes of operation, and record-keeping procedures, as well as information about where these roles / committees / panels fit into the wider institutional management structure.
- Details of training provided to individuals and committees involved in the output selection process, the timescale for delivery, and content (including how it has been tailored to REF).

As outlined in Part 3.2

4.3 Disclosure of circumstances (see paragraphs 46 to 52).

- Procedures for considering staff whose circumstances have affected their ability to research productively throughout the period in relation to the unit's total output requirement.
- Procedures for considering the effect of circumstances that have had an exceptional effect on the ability of an individual staff member to research productively throughout the period so that they do not have the required minimum of one output.
- For both of the above cases, procedures for staff to disclose circumstances in a confidential manner.

Consideration of individual circumstances in informing expectations of staff outputs

As noted in the funding bodies' REF 2019/01 *Guidance on submissions* (Part 3, Section 1, paras 151-201, the University has flexibility to return staff in the REF submission with fewer outputs than other members of staff if they have circumstances which have impacted on their potential productivity over the REF submission (e.g., early career researcher, personal circumstances and part-time working).

Specifically, voluntarily declared individual circumstances, which we have verified as likely to have impacted on the staff member's output generation, can lead to amended **expectations** at the University regarding the number of outputs a member of staff is expected to contribute to our REF submission. A reduction in the expected requirements for a member of staff based on consideration of these circumstances does not, however, affect the overall Unit output total, unless a zero output **reduction** is agreed by the funding bodies (see section below regarding situations in which a zero output submission might be granted).

Compound effect of individual circumstances on Unit reductions

For Units where there are multiple staff members with individual circumstances which are likely to disproportionately affect the output pool and where there might not be a sizeable number of staff to off-set these compound impacts on output productivity, a **reduction** can be applied for at the Unit level, reducing the total number of outputs required by a Unit. Further information about how the University will assess whether this has occurred, and how we will request a Unit reduction, is provided below.

Types of individual circumstances which can inform decision-making around staff expectations and potential Unit reductions

Individual circumstances that can be considered for staff, based on the funding bodies' guidelines, are as follows. These will form the basis for consideration of alterations in output expectations for staff at Cardiff, and for any potential requests for a reduction to the Unit overall output requirement.

1. Qualifying as an early career researcher (on the basis set out in the funding bodies' Guidance paragraph 166). Early career researchers are defined as members of staff who meet the definition of Category A eligible staff on the census date, meet the criteria for independence (see Part 3) and who started their careers as independent researchers on or after 1 August 2016. Staff will not be considered to have met the definition of an ECR if they meet the exclusion criteria as set out in the funding bodies' Guidance (paragraph 147), as follows:

- Acted as an independent researcher while at a previous employer – whether another HEI, business or other organisation in the UK or elsewhere – before 1 August 2016, with a contract of 0.2 FTE or greater.

- Acted as an independent researcher before 1 August 2016 and have since had a career outside of research or an extended break from their research career, before returning to research work.
- Research assistants who would not normally meet the definition of an independent researcher, as set out in paragraph 129.

Expectations for early career researchers will be applied, based on the funding bodies' guidance, as follows:

Table 1: 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 up to:
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

2. Absence from work due to secondments or career breaks in which the individual did not undertake academic research (on the basis set out in the funding bodies' paragraphs 167 to 168 and outlined in the table below):

Table 2: 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 up to:
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

3. Qualifying periods of family-related leave (on the basis set out in the funding bodies' paragraphs 169 to 172), specifically a reduction in the total output pool by 0.5 for each discrete period of:

- 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.
- Additional paternity or adoption leave, or shared parental leave lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

4. Specific circumstances that apply in UoAs 1–6 for Category A submitted staff who are junior clinical academics, as defined in the funding bodies' guidance, paragraph 162. Specifically, the number of outputs may be reduced by up to 1, without penalty in the assessment, for Category A submitted staff who are 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.

5. Circumstances equivalent to absence, that require a judgement about the appropriate reduction in outputs, are:

- Disability (a person is considered to be disabled if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities', see guidance in the REF document, 2019/03 *Guidance on codes of practice*).
- Ill health, injury, or mental health conditions.
- Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances noted above.
- Other caring responsibilities (such as caring for an elderly or disabled family member).
- Gender reassignment.
- Other circumstances relating to the protected characteristics listed in REF 2019/03, Table 1, *Draft Guidance on codes of practice*, or relating to activities protected by employment legislation.

Removal of the minimum 'one' output

With respect to the removal of the minimum 'one' output, the funding bodies' guidance notes that all Category A submitted staff must be returned with a minimum of one output attributed to them in the submission, including staff with individual circumstances. Where an individual's circumstances have had an exceptional effect on their ability to work productively throughout the period 1 January 2014 to 31 July 2020, so that the individual has not been able to produce an eligible output, a request may be made for the minimum of one requirement to be removed, thereby reducing the total number of outputs required by the unit by one.

Such requests may be made for an individual researcher when any of the following circumstances apply within the period 1 January 2014 to 31 July 2020:

(a) an overall period of 46 months or more absence from research, due to one or more of the circumstances set out at points 1-4 above

(b) circumstances equivalent to 46 months or more absence from research, where circumstances set out at point 5 above apply (such as mental health issues, caring responsibility, long-term health conditions) or

(c) two or more qualifying periods of family-related leave, as described in point 3 above.

Multiple factors

Where an individual has experienced multiple factors, this can be taken into consideration and accumulated to a maximum reduction of 1.5 outputs. When combining circumstances, only one circumstance will be accounted for in any period of time during which different circumstances took place simultaneously.

Part-time working

Part-time working is considered within the calculation for the overall number of outputs required per unit. Reduction requests on the basis of part-time working therefore should only be made under exceptional circumstances; the funding bodies' guidance notes, 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. Cardiff expectations will take account of part-time working patterns in our REF 2021 by expecting that staff working part-time may be submitted to REF with fewer outputs than those working close to, or, full-time. Expectations will be graded depending upon the degree of part-time working, taking into account the potential cumulative impact of levels of part-time working on research productivity.

Cardiff procedures to consider circumstances affecting staff

To apply for a reduction in the University's expectations around the number of outputs a member of staff returns in a submission based on the personal circumstances outlined above, the University is required to first undertake an assessment of the request and make a judgement regarding the impact of the circumstances. This process will be based on voluntary declaration of the circumstances noted above by the staff member, ensuring that staff at the University do not have to declare individual circumstances if they do not wish to do so. Processes for declarations will be run centrally to ensure that staff do not feel under undue pressure to declare individual circumstances.

For a reduction to zero outputs for an individual researcher, or for a reduction in the total number of Unit outputs due to a large number of individuals with personal circumstances influencing a small Unit, the University must make a submission to the funding bodies (required between Autumn 2019 and March 2020). These requests are assessed and then agreed (or not) by the funding bodies' REF Equality and Diversity Advisory Panel (EDAP), who provide us with the outcome of their decision.

To enable this process at Cardiff, the following steps will be followed (a flowchart is provided at Appendix K):

Step 1: Consideration of individual circumstances

The REF Individual Circumstances Group (led by the University Dean for Equality, Diversity and Inclusion and including representation from Human Resources) will invite staff to voluntarily declare any individual circumstances that the staff member believes has affected their ability to produce

research during the REF period. There will be no pressure on staff to declare these circumstances to the University, if they do not wish to do so. The Individual Circumstances group will evaluate requests from individuals for reductions based on submitted evidence of the potential impact of these circumstances. Evidence to support the impact of circumstances must be based on verifiable evidence (although, for the avoidance of doubt, the REF typically will accept individuals' self-descriptions of their circumstances).

Evidence may include information currently stored within our core Human Resources (e.g., contract start date to evaluate early career status, noted periods of statutory maternity or paternity leave and disclosure of protected characteristics, such as disability, or periods of ill health). Sometimes, however, staff have not disclosed highly personal circumstances and support will be provided to staff who now wish to disclose information and evidence the impact of personal circumstances working with HR teams across the University. All requests will be submitted via a confidential online reporting system, meeting data protection legislation requirements for the handling of highly sensitive information.

The REF Individual Circumstances Group will make a judgement about the effect of the circumstances based on the funding bodies' guidelines, and whether this would likely alter expectations of the productivity of the staff member, informed by the funding bodies' guidance. Where insufficient information is available to take a decision, further discussion will be held with the individual to help identify whether appropriate evidence can be obtained to submit a request for a reduction in outputs.

Decision outcomes from discussion of cases considered by the REF Individual Circumstances Group will be as follows, and include a brief rationale of the reasons for the decision outcome:

For early career researchers:

1. **Confirmed - reduction in the expected number of outputs a staff member should submit to REF (to a minimum of 1 output):** The application for early career status is confirmed and the University will apply the reduction to the expected number of outputs for the staff member in its data modelling, based on the guidance provided by funding bodies. This situation does not alter the total number of outputs to be submitted by the Unit.
2. **Confirmed - reduction of the minimum of 1 output to 0:** The application for early career status is confirmed and a request will be submitted to the funding bodies to allow submission of the member of staff with zero outputs. One output can be removed from the submitting unit's required total number of outputs in this situation. If the funding bodies agree the reduction, it does not bind the University to application of the reduction in the final submission.
3. **Not confirmed:** The provided information has been considered and the staff member is not considered to fit the remit for an early career researcher, and accordingly no reduction in University expectations can be applied.

For personal individual circumstances:

1. **Confirmed - reduction in the expected number of outputs a staff member should submit to REF:** The application for individual personal circumstances is confirmed and the University will apply the reduction to the expected number of outputs for the staff member in its data modelling, based on the guidance provided by the funding bodies. This situation does not alter the total number of outputs to be submitted by the Unit.
2. **Confirmed - reduction of the minimum of 1 output to 0:** The application for individual extenuating circumstances is confirmed and a request will be submitted to the funding bodies to allow submission of the member of staff with zero outputs. One output can be removed from the submitting unit's required total number of outputs in this situation. If the funding bodies agree the reduction, it does not bind the University to application of the reduction in the final submission.
3. **Not confirmed:** All relevant circumstances have been disclosed and it has not been possible to evidence that an individual's ability to produce REF outputs has been constrained during the assessment period. A reduced expectation will not be applied for the staff member, and nor will there be an application to the funding bodies to reduce the output from 1 to 0.

All submissions to the REF Individual Circumstances Group will be submitted using an encrypted IT system and be handled sensitively and confidentially by the Group. Reasons for reductions for highly personal circumstances will be restricted to the REF Individual Circumstances Group.

Reflection of unit reductions in individuals' output expectations

As noted in the funding bodies' guidance (REF 2019/01, *Guidance on submissions* paragraph 164), any reductions agreed by the funding bodies for individual circumstances will be reflected in the Institutional expectations around the output contribution from those individuals in the overall Unit data modelling. This ensures that reductions associated with circumstances which can affect productivity benefit the individuals who have experienced those circumstances. This will be achieved by data modelling approaches which note an expected output reduction for a member of staff, based on whether they have an agreed reduction in their output expectations and the magnitude of that agreed reduction. Our Equality Impact Assessment of output allocation will include consideration of this issue and ensure that we have processes in place to check for appropriate reductions in outputs aligned to the funding bodies' agreements.

Step 2: Submission of request for reduction in Unit outputs to the funding bodies' REF team

Submissions to the funding bodies for reductions will be undertaken by a member of the Cardiff REF team who is experienced with the handling of highly confidential and sensitive data. This individual will also be a supporting member of the REF Individual Circumstances Group, which ensures they fully understand the discussions and evidence supporting the request for a reduction related to individual circumstances. They will submit all individual circumstances reductions, ensuring a consistent approach to our engagement with the funding bodies.

Staff will be informed via confidential email by the University REF team of the result of the outcome from our application for a reduction to the funding bodies. The impact of this reduction on the Unit will be kept as confidential as possible, restricted to the Individual Circumstances Group, those

individuals involved in data modelling and only those senior decision-makers that are required to know the overall Unit output total. This approach is designed to protect the staff member via minimising any unnecessary dissemination of information related to the contributions we expect staff to make to our REF submission.

Cumulative effect of individual circumstances

Where the cumulative effect of individual circumstances at a Unit level has disproportionately affected the size of the available output pool, the University will be able to apply for a reduction to the total number of outputs required for the final Unit submission. Where this Unit-level reduction is approved by the funding bodies, it will be calculated by summing the reductions in expectations for individual circumstances in the submitting Unit, based on the figures in the tables provided above, and rounding to the nearest whole number.

To implement this process, the University will undertake the following steps:

Step 1: Following voluntary disclosure of individual circumstances as set out above, and agreement (or not) that those have had an impact on the ability of the individual to produce REF outputs during the REF period, the Individual Circumstances Group will assess whether there has been a detrimental, and disproportionate effect, of the cumulative impact of individual circumstances of staff on the submitting Unit.

Measures which can be used to consider whether there has been a disproportionate effect include, but are not limited, to:

- Where the number of outputs we have available for selection is close to the number of outputs required for the submission;
- Where outputs from staff in specific categories have been disproportionately affected (e.g. highly productive researchers in the REF 2014 period);
- Where the circumstances disproportionately affect staff in one of the submitting Unit's disciplinary areas, resulting in a reduction of available outputs to represent the strength of research in that area;
- Where the available output pool is not representative of staff at all career stages, or of the diversity of the staff body;
- Where disciplinary publishing norms make it likely that individuals in the Unit will have generated a smaller number of outputs across the publication period.

Step 2: In considering those measures, and where the Individual Circumstances Group believe reduction is justified, a request will be made to the funding bodies for a reduction to the total number of outputs required for the submitting Unit, noting that any decision by the funding bodies is not binding and may not be applied in the final submission.

Timeline for consideration of circumstances

A request for staff to voluntarily declare any individual circumstances they believe may have impacted on their ability to research productively will be made in the summer of 2019. This will be followed by a further request for information in late 2019, providing two occasions on which staff can request a reduction in their REF individual output expectations.

Meetings of the REF Individual Circumstances Group will be held aligned to this timeline allowing regular consideration of individual circumstances, as well as time for staff members to disclose and / or collate any evidence underpinning their request for a reduction in the number of outputs. The timeline is also designed to provide time for further information / discussion to be held with a staff member, if insufficient information is not provided initially by staff.

Communications

Our approach to considering individual circumstances will be highlighted via our regular REF communications, including in our *Blas* newsletter (which goes to all staff) and discussion forums (such as townhall meetings, University Director of Research Network meetings and talks on REF in Schools). The IT submission system will be made available on our REF intranet, and we will make it clear to staff how to access this and how to obtain support and advice (as required) about whether to make a submission, and what types of information should be provided to support the submission.

Appeals process

We will communicate to staff that there is a mechanism for them to appeal decisions on our REF intranet pages, as well as via our communications with them about the process of considering reductions.

In addition, when staff are formally informed about the outcome of decisions regarding (a) early career researcher status and (b) reductions arising from personal circumstances, staff will be provided with information regarding how to appeal our decision, if they wish. They will also be given an opportunity for a face-to-face meeting with members of the REF Individual Circumstances Group, including a member of Human Resources, if they wish to discuss the outcome further. This ensures staff are aware of the process for appeal prior to decisions, and directly when informed of the decision outcome. Staff can appeal the decision on the grounds that due process has not been followed, or on the basis of a defect in the application of the Cardiff University REF Code of Practice.

For all appeals, notice of the intention to appeal must be made in writing to the Deputy Vice-Chancellor (as Chair of the Appeals panel) within fifteen working days of the feedback of the outcome of the meeting of the REF Individual Circumstances Group. The notice of intention to appeal needs to provide details of the grounds for the appeal.

Step 1: Written appeal

Should a staff member wish to appeal the decision about the potential impact of personal circumstances on their research productivity, they will be expected to present evidence that either due process has not been followed, or to demonstrate how their personal circumstances meet the definitions as set out in the Cardiff REF Code of Practice (aligned to the funding bodies' guidance). They will need to provide electronic evidence, together with a written statement of no more than 250 words, outlining why they believe their personal circumstances have impacted on their research productivity.

With respect to appeals regarding early career researcher status, the member of staff will be expected to demonstrate either that due process has not been followed, or that they fit the criteria

for an early career researcher, as outlined in the Cardiff Code of Practice (aligned to the funding bodies' guidance). They will need to provide evidence of appointment dates, together with a written statement of no more than 250 words, outlining why they believe they fit the remit of an early career researcher.

Step 2: Panel consideration and decision-making

Appeals will be considered by the REF Appeals Panel, comprising three individuals not involved in any other aspect of REF decision-making aligned to early career researcher status, independence or personal circumstances. This group will be chaired by the Deputy Vice-Chancellor, who is the University Lead for Equality, Diversity and Inclusion, and include the Director of HR and the Pro Vice-Chancellor for Student Experience and Academic Standards (the latter also sits on the University EDI Committee and has considerable experience in this area). Appeals will need to be submitted via a confidential online system which meets data protection legislation requirements.

Outcomes of appeals will be communicated formally via the University REF team as soon as possible after the decision, but at the latest within a month of the decision; the staff member will also be offered the chance to meet with a member of the Appeals panel for further feedback if they wish.

4.4 Equality impact assessment (see paragraphs 55 to 67).

- Carry out an equality impact assessment on the spread of outputs across staff (in relation to their protected characteristics)

As noted above, and led by the University Dean for Equality, Diversity and Inclusion, the University will conduct EIAs on the REF 2021 Code of Practice and outlined procedures. This will include consideration of the spread of outputs across current and former staff (where former staff are included in our submission), in relation to protected characteristics. It will also include our processes for selection of staff (e.g. identification of independence) and allocation of outputs, including (for current staff) consideration of circumstances which have affected the ability of staff to research productively. EIAs will be undertaken throughout the submission process (see timeline in Appendix E) and will cover our planned Mock REFs as well as the final REF submission, and the processes for independence and individual circumstances. This approach ensures that the results of EIAs can be used to inform and refine processes as we develop our REF 2021 submission.

Aligned to the principles within our Code of Practice, we wish to ensure that all members of our diverse research community are submitted to REF with outputs which allow us to highlight their contribution to our research outcomes. As we undertake and refine different data modelling scenarios, we will work with the REF EDI Group to consider the impact of protected characteristics outlined in the Equality Act 2010, undertaking EIAs which allow us to identify any inadvertent, adverse impacts of particular data modelling approaches.

The EIA will consider the range and balance of processes that are being used to evaluate the relative quality of the outputs in the pool, for example, the use of citation data or other bibliometric measures, and peer review processes where consistent with the guidance for that UoA. It is worth noting here that Cardiff adheres to the principles of the San Francisco Declaration on Research Assessment and therefore reviewing focusses on the scientific content of outputs and not on the quality of the journals/outlets the outputs are published in. Cardiff also has a minimum expectations

for output reviewing guidance document which ensures consistent processes, including for staff engagement, across the University.

Established templates and guidance are available through the University Assurance team (see Appendix E for our template), enabling the REF EDI Group to ask three fundamental questions of our data modelling approaches:

1. Is there any direct discrimination?
2. Is there any potential for indirect discrimination?
3. What are the potential adverse impacts on those with protected characteristics and how will they be addressed?

If evidence of discrimination in our data modelling is present, the REF EDI group will develop and implement a SMART action plan linked to required outcomes with a designated lead and associated timescale. The Code of Practice will be modified accordingly.

We have conducted an EIA on the Code of Practice. The EIA recommended that the Code of Practice was amended to recognise the importance of a diversity in the membership of our REF groups. The Code of Practice was correspondingly amended both within the Accountability and Consistency principle (p2) and within the section on REF Governance Structure (p9).

The University will publish a full report of its EIA after the REF submission has been made, including any actions we took to overcome any processes that might have inadvertently led to discrimination or failed to advance equality and inclusion aligned to our core values and REF principles. The data used in published EIA reports will not identify individuals and will comply with Data Protection requirements.

Part 5: Appendices

Appendix A Code of Practice communications plan
Appendix B Research independence flow chart
Appendix C REF Governance structure
Appendix D Terms of Reference for Committees and Groups
Appendix E Equality Impact Assessment template
Appendix F Selection of outputs flow chart
Appendix G Appeals flow chart
Appendix H Accountability, consultation and feedback
Appendix I Equality, diversity and inclusion training plan
Appendix J Summary of changes to the Code of Practice following staff consultation
Appendix K Individual circumstances flow chart

APPENDIX A CODE OF PRACTICE COMMUNICATIONS PLAN

The Cardiff REF Code of Practice will be made widely available in both English and Welsh. It will be made electronically available on the University's REF intranet site, which is accessible to all staff. It can also be downloaded by staff to create a print version from that site. Accessible versions for staff can be provided on request to the University REF team (via REF2021@Cardiff.ac.uk) and / or support provided to allow full access to the Code of Practice for all staff members.

During the consultation on the Code of Practice we used the following means of general communication to ensure staff were aware of the consultation:

- All staff email (at the beginning of the consultation period)
- Cardiff University REF intranet website (available throughout the consultation period)
- BLAS (at the beginning of the consultation period)
- Yammer (social online network, throughout the consultation period)
- University Director of Research Network (at the beginning of the consultation period)
- REF information meetings (throughout the consultation period)

The first stage of the consultation launched in December 2018 and closed on 1st March 2019. The second stage was open from 20th March to 12th April 2019.

Specific consultation and communication channels are detailed below:

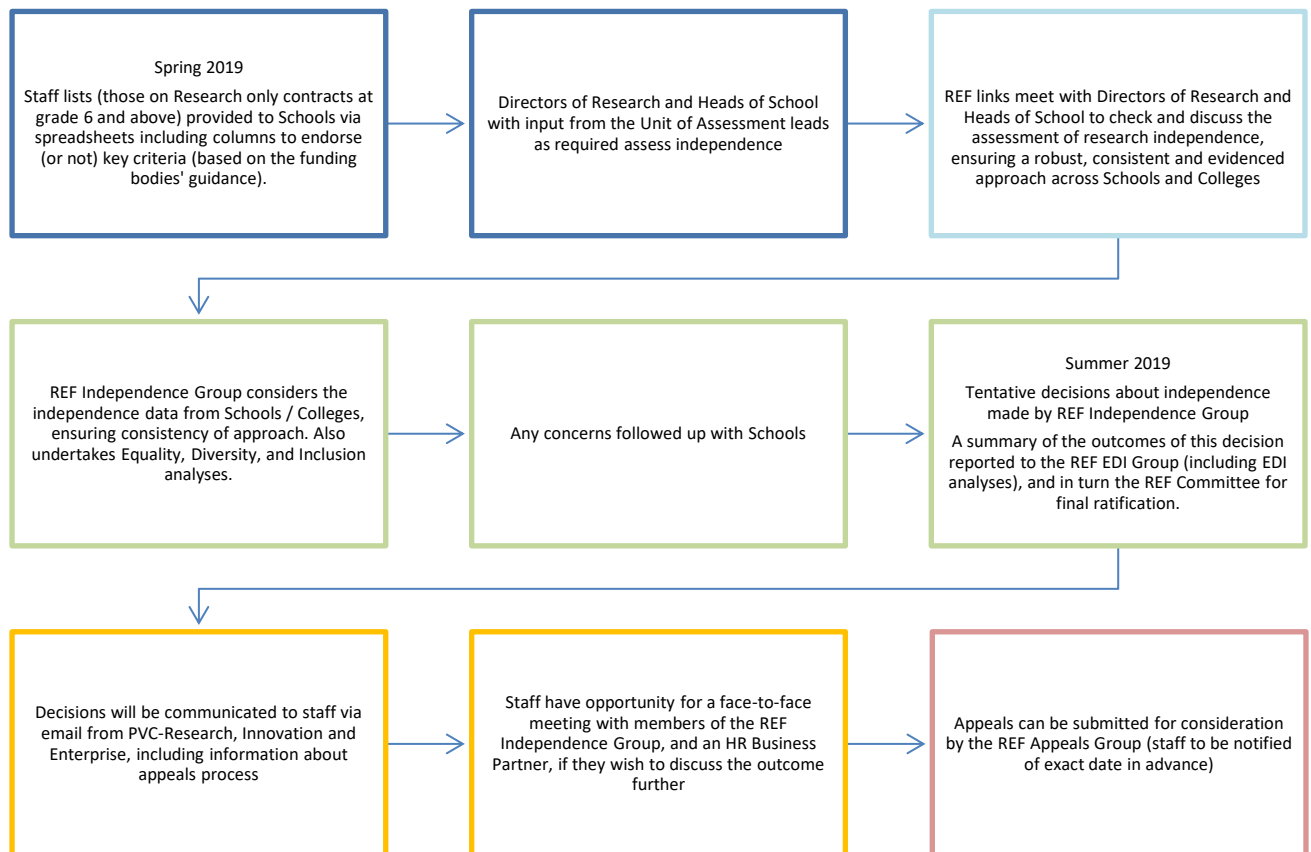
Audience	How?	Responsibility	Timing?
REF Equality Diversity and Inclusion (EDI) Group	Agenda item Physical copy for all members Collation of feedback from consultation Consideration of Equality Impact Assessments Revisions of Code of Practice, as required	Pro Vice-Chancellor Research, Innovation and Enterprise REF Manager	October 2018 January 2019 March 2019 April 2019 May 2019
REF Committee	Agenda item Physical copy for all members Revisions of Code of Practice, as required	Pro Vice-Chancellor Research, Innovation and Enterprise REF Manager	November 2018 January 2019 March 2019

			May 2019
University Executive Board	Agenda item Physical copy for all members Revisions of Code of Practice, as required	Pro Vice-Chancellor Research, Innovation and Enterprise	November 2018 May 2019
Senate	Agenda item Physical copy for all members Revisions of Code of Practice, as required	Pro Vice-Chancellor Research, Innovation and Enterprise	February 2019
College Boards (including all Heads of Schools)	Agenda item Briefing from Pro Vice-Chancellors Physical copy for all members Revisions of Code of Practice, as required	Pro Vice-Chancellor Colleges	December 2018 March 2019
Directors of Research and UoA Leads	Agenda item on University Director of Research Network meeting and College Directors of Research Committees Briefing from PVC Research, Innovation and Enterprise and College Deans for Research and Innovation Email	Pro Vice-Chancellor Research, Innovation and Enterprise College Deans of Research and Innovation	November 2018 January 2019 March 2019 May 2019
School Managers and Research Administrators	Agenda item via operational boards or invited meetings Briefing from PVC Research, Innovation and Enterprise Email	Pro Vice-Chancellor Research Innovation and Enterprise REF Manager	December 2018 March 2019 May 2019
Academic Staff (Teaching and research, Research only, Grade 6 and above)	Email Access to REF intranet site, including a copy of the Code of Practice and a mechanism for providing consultation responses Briefings from Pro Vice-Chancellor Research, Innovation and Enterprise, PVC Colleges and Heads of Schools, as required Briefings and reports to staff networks, including Cardiff University Research Staff Association and EDI staff networks	Vice-Chancellor and / or Pro Vice-Chancellor Research, Innovation and Enterprise Heads of School	From November 2018 at regular intervals, and as required until May 2019
Academic Staff who are currently absent (e.g. on family leave/ study leave or	Letter	Head of School School / College Human Resources	February 2019 March 2019

secondments / career breaks / long term illness)	Copy of declaration form for individual circumstances		June 2019
Unions	Meeting with Union representatives JCNF (Joint Consultative and Negotiation Forum)	Pro Vice-Chancellor Research, Innovation and Enterprise Human Resources representative REF EDI Group representative	December 2018 June 2019 February 2019

APPENDIX B PROCESS FOR DETERMINING RESEARCH INDEPENDENCE

Tentative decisions



The same process will be re-run at least twice prior to final REF submission. Staff will be notified of timescales, including for appeals, in advance.

Key

Dark blue box – identification of potentially independent research only staff

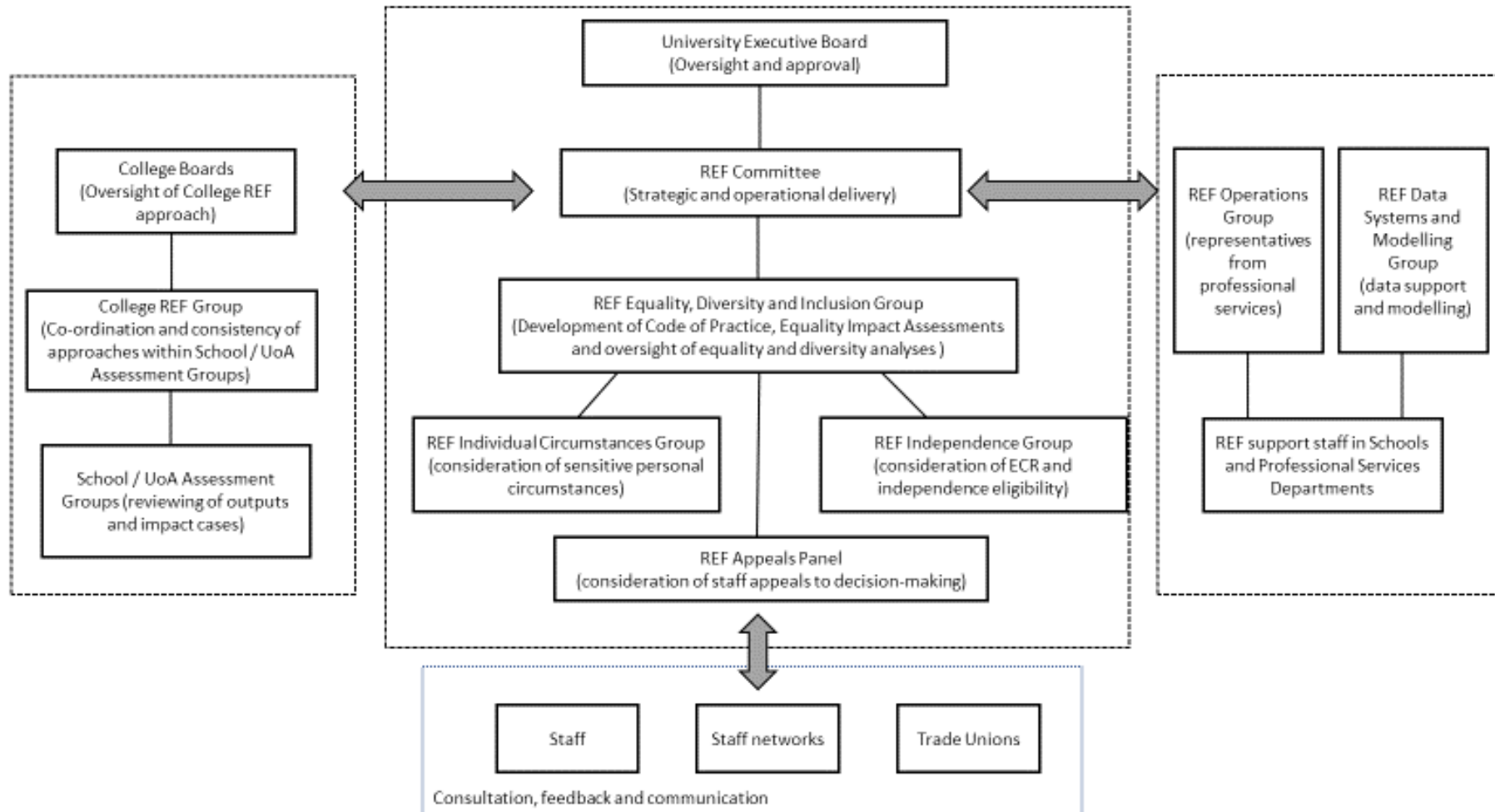
Light blue box – check and evidencing

Green box – REF Independence Group sign-off

Orange box – Independence outcome communications with staff

Red box – Appeals (see Appendix G)

APPENDIX C REF GOVERNANCE STRUCTURE



APPENDIX D TERMS OF REFERENCE FOR COMMITTEES AND GROUPS

- i. **University Executive Board**
- ii. **REF Committee**
- iii. **REF Equality, Diversity and Inclusion (EDI) Group**
- iv. **REF Independence Group**
- v. **REF Individual Circumstances Group**
- vi. **REF Appeals Panel**
- vii. **College Boards**
- viii. **College REF Strategy Groups**
- ix. **REF School/UOA Output Assessment Groups**
- x. **REF Operations Group**
- xi. **REF Data Systems and Modelling Group**

- i. **University Executive Board**

Membership

Vice-Chancellor (Chair)

Deputy Vice-Chancellor

Pro Vice-Chancellor, Student Experience and Academic Standards

Pro Vice-Chancellor, International and Europe

Pro Vice-Chancellor, Research, Innovation and Enterprise

Pro Vice-Chancellor, College of Arts, Humanities and Social Sciences

Pro Vice-Chancellor, College of Biomedical & Life Sciences

Pro Vice-Chancellor, College of Physical Sciences and Engineering

Chief Operating Officer

Chief Financial Officer

Director of Communications and Marketing

Director of Development and Alumni

Director of Human Resources

Supported by: PA to the Vice-Chancellor and Vice-Chancellor's Office Business Manager

Terms of Reference (those specific to REF): The University Executive Board has overall oversight of our REF 2021 approach. It receives regular REF update progress summaries from the PVC-R and the REF Committee, and agrees all major decision-making associated with REF.

Membership has been selected against following criterion:

- Senior management role from relevant departments / thematic PVC areas

Responsibilities

Decision making (all aspects of the REF submission). In its oversight role, the University Executive Board will ratify decisions made by the REF Committee around all aspects of our REF submission.

Accountable to

Council

Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training.

Members of the University Executive Board will receive training for decision-makers as set out in Section 3.2 of the Code of Practice.

Record-keeping procedures

Minutes.

ii. REF Committee

Membership

Pro Vice-Chancellor, Research, Innovation and Enterprise (Chair)
College Pro Vice-Chancellor (Arts, Humanities and Social Sciences)
College Pro Vice-Chancellor (Biomedical and Life Sciences)
College Pro Vice-Chancellor (Physical Sciences and Engineering)
College Dean of Research, Innovation and Enterprise (Arts, Humanities and Social Sciences)
College Dean of Research, Innovation and Enterprise (Biomedical and Life Sciences)
College Dean of Research, Innovation and Enterprise (Physical Sciences and Engineering)
University Dean for Research Environment and Culture
University Dean for Equality, Diversity and Inclusion
Director of Research, Innovation and Enterprise Services
Director of Human Resources
Director of Communication
Director of Department of Strategic Planning and Governance
REF link (Biomedical and Life Sciences, Main Panel A)
REF link (Physical and Engineering Sciences, Main Panel B)
REF link (Arts, Humanities and Social Sciences, Main Panel C)
REF link (Arts, Humanities and Social Sciences, Main Panel D)

In attendance: REF Manager, Vice-Chancellor's Office; Research Communications Manager, Department of Communications and Marketing.

Supported by: Senior Planning Advisor, Department of Strategic Planning and Governance.

Membership has been selected against one of the following criteria:

- Experience of leadership in a research role and ensuring breadth across the main disciplinary areas;

- Senior management role from relevant departments

Terms of reference

- To carry forward preparations ahead of the REF submission deadline acting on behalf of the Vice Chancellor and the University Executive Board;
- To identify investment and resource requirements for a strong REF 2021 return;
- To support the establishment of a research culture in which staff at all career stages are intellectually challenged and stimulated and achievement is supported and recognised;
- To oversee the preparation of a Code of Practice for the selection of staff and outputs;
- To identify and communicate quality thresholds on research performance in order to maximise both the volume of eligible staff and quality of research in each submission;
- To specify a systematic process for collecting, analysing and reviewing data required for REF 2021, e.g., outputs, impact and environment;
- To collate and interpret intelligence gathered on the likely format and operation of REF in good time.

Responsibilities

Decision-making (all aspects of the REF submission). The REF Committee is responsible for strategic delivery, and all decision-making, related to our REF submission.

Accountable to

University Executive Board

Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training.

Members of the REF Committee will receive training for decision-makers as set out in Section 3.2 of the Code of Practice.

Record-keeping procedures

Minutes, with brief summary provided for UEB.

iii. REF Equality, Diversity and Inclusion (EDI) Group

Membership

Dean of Research for the College of Arts, Humanities and Social Sciences (Chair)

Dean of Research for the College of Physical Sciences and Engineering

Dean of Research for the College of Biomedical and Life Sciences

University Dean for Research Environment and Culture

University Dean for Equality, Diversity and Inclusion

Professor of Law

Chair of Cardiff University Research Staff Association

HR, Head of Leadership and Staff Development

REF Manager

Business Manager to the Deputy Vice-Chancellor

Department of Strategic Planning and Governance Senior Assurance Advisor
Department of Strategic Planning and Governance Senior Planning Advisor
Co-opted member, when attendance is relevant:
Department of Strategic Planning and Governance, Head of Performance and Risk

Membership has been selected against one of the following criteria:

- Chair of REF Committee
- Leadership and/or experience of EDI in academic community
- Role/experience in a relevant directorate

Terms of Reference

The REF EDI Group supports the University in its preparations for REF 2021. The EDI Group is accountable for the recommendations it makes to the REF Committee about the EDI aspects of the University's preparations for, and submission of, its REF 2021 return. The REF Committee are accountable for EDI decisions, which will be ratified by UEB.

Remit

- Develop and recommend to REF Committee a Cardiff University REF Code of Practice which will enable a fair and transparent process for identifying REF-eligible staff and selecting outputs and impact case studies for submission;
- Ensure that the REF Code of Practice is based on the principles of inclusivity, excellence, transparency, and accountability and consistency;
- As part of the REF Code of Practice, develop and advise on the management of individual circumstances, including the process for consideration of these circumstances. Establish the REF Individual Circumstances Group to manage this process. The REF Individual Circumstances Group will report to the REF 2021 EDI Group.
- Consult with and inform staff on the development of the Code of Practice.
- Provide advice and support to the REF Committee, the REF Operations Group, and academic Colleges and Schools in meeting the EDI requirements of REF 2021, including the EDI requirements of the Environment statements;
- Lead on the development and implementation of appropriate training, ensuring that all those involved in REF decision-making and advisory roles have received appropriate training.
- Liaise with the University Equality, Diversity and Inclusion Committee as required, to ensure experienced advice and input where necessary

Responsibilities

Decision-making (all aspects of the REF submission). The REF EDI Group is responsible for ensuring application of the principles of the Code of Practice, including receiving the outcomes of decisions of the REF Independence and the REF Individual Circumstances Groups. The REF EDI Group will also undertake and report on equality impact assessments to ensure our processes have not unfairly disadvantaged members of groups with protected characteristics. The Group's role, along with the REF Committee, is to ratify the decisions made by the REF Independence Group and the REF Individual Circumstances Group.

Accountable to
REF Committee

Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training.

Members of the REF EDI Group will receive training for decision-makers as set out in Section 3.2 of the Code of Practice.

Record-keeping procedures

Minutes including actions. Actions provided for REF Committee.

iv. REF Independence Group

Membership

Pro Vice-Chancellor, Research, Innovation and Enterprise (Chair)
Academic representative and REF Committee Link (College of Arts, Humanities and Social Sciences)
Academic representative and REF Committee Link (College of Biomedical and Life Sciences)
Academic representative and REF Committee Link (College of Physical Sciences and Engineering)
Academic representative (College of Arts, Humanities and Social Sciences)
Academic representative (College of Physical Sciences and Engineering)
Organisational and Staff Development Manager for Research, HR

Supported by: Senior Planning Advisor, Department of Strategic Planning and Governance.

Membership has been selected against one of the following criteria:

- Substantial experience of reviewing and assessing transition to independence fellowships.
- Role/experience in a relevant directorate

Terms of reference

Cardiff University is committed to supporting and promoting early careers researchers. The REF Independence Group has been appointed by the University's REF EDI Group as a central group to manage the University's process for decision-making around application of the independence criteria for REF 2021.

Remit

- The REF Independence Group will ensure the identified process for identifying staff who fit the independence criteria for REF 2021 is consistently understood and applied across the University.
- The Group will receive data around independence and ensure this has been applied according to the Code of Practice.
- The group will ratify decisions about which staff are independent, based on application of the Code of Practice criteria.
- The group will undertake, and consider the outcomes of, an EDI analysis aligned with our REF principle around inclusivity (supported by the University Dean for Equality, Diversity and Inclusion, and reported to the REF EDI Group).

Responsibilities

Decision-making (research independence).

Accountable to

REF EDI Group

Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training.

Members of the REF Independence Group will receive training for decision-makers as set out in Section 3.2 of the Code of Practice.

Record-keeping procedures

Minutes without confidential information. A summary of the outcomes of research independence decisions will be reported to the REF EDI Group (including EDI analyses), and in turn the REF Committee for final ratification.

v. REF Individual Circumstances Group

Membership

University Dean for Equality, Diversity and Inclusion (Chair)
Dean for Research and Innovation
Head of Organisation and Staff Development
HR Business Partner (College of Arts, Humanities and Social Sciences)
HR Business Partner (College of Biomedical and Life Sciences)
HR Business Partner (College of Physical Sciences and Engineering)

Supported by: Senior Planning Advisor, Department of Strategic Planning and Governance, and co-opted EDI support as necessary.

Membership has been selected against one of the following criteria:

- University leadership role in respect of equality, diversity and inclusion
- Role/experience in a relevant directorate

Terms of reference

Cardiff University is committed to supporting and promoting equality, diversity and inclusion in the career pathways of our research staff. The REF Individual Circumstances Group has been appointed by the University's REF EDI Group as a central group to manage the University's process for handling staff declarations of individual circumstances, which are considered to have constrained an individual's ability to research productively during the assessment period.

Remit

- To ensure that an appropriate template is developed and circulated to all eligible staff to encourage staff to disclose relevant information in a timely and appropriate way.
- To receive all staff declarations and to ensure that this information is handled sensitively and is processed, recorded, and maintained in an appropriate manner in line with Data Protection Legislation.

- To review the staff declarations to identify those presenting clearly defined and/or circumstances requiring a judgement. For clearly defined circumstances, to apply the agreed tariffs. For circumstances requiring a judgement, to make a judgement on the appropriate reduction, using the REF *Guidance on submissions*.
- To ensure that individual circumstances are appropriately recorded and submitted to the funding bodies and handled in line with Data Protection Regulations.

Responsibilities

Decision-making (individual circumstances).

Modelling of impact on unit-reduction requests (individual circumstances).

Accountable to

REF EDI Group

Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training.

Members of the REF Individual Circumstances Group will receive training for decision-makers as set out in Section 3.2 of the Code of Practice.

Record-keeping procedures

Minutes without confidential information, provided for the REF EDI Group and REF Committee.

vi. REF Appeals Panel

Membership

Deputy Vice Chancellor and University Lead for Equality, Diversity and Inclusion (Chair)

Director of HR

Pro Vice-Chancellor for Student Experience and Academic Standards

Supported by: Senior Planning Advisor, Department of Strategic Planning and Governance, and co-opted EDI support as necessary.

Membership has been selected against the following criteria:

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

Terms of reference

The REF Appeals Panel has been appointed by the Vice-Chancellor as a small, experienced central group to consider and determine appeals from staff wishing to challenge a decision about REF research independence eligibility or individual circumstances decisions either on the grounds that due process has not been followed, or that there has been a defect in the application of the Cardiff University REF Code of Practice. Members of the group hold senior institutional roles and will not have been involved in any other aspect of REF 2021, beyond their role on the University Executive Board.

Remit

- To receive and consider all appeal requests and to ensure that this information is handled sensitively and is processed, recorded, and maintained in accordance with Data Protection legislation.
- The Panel shall convene as and when necessary to ensure that appeals are heard promptly.
- Following consideration of the evidence submitted/presented by the appellant in support of the appeal, to decide to uphold or reject the case that due process has not been followed or that there has been a defect in the application of the Code of Practice.
- Via the Deputy Vice-Chancellor (as Chair of the REF Appeals Panel) to communicate its decision in writing to the appellant setting out the reasons for its decision.
- To provide a summary report to the University's REF Committee.

Responsibilities

Decision-making (research independence and individual circumstances).

Accountable to

REF EDI Group

Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training.

Members of the REF Appeals Panel will receive training for decision-makers as set out in Section 3.2 of the Code of Practice.

Record-keeping procedures

Minutes without confidential information provided for the REF Committee.

vii. College Boards

- a) Arts, Humanities and Social Sciences**
- b) Biomedical and Life Sciences**
- c) Physical Sciences and Engineering**

Membership

a) Arts, Humanities and Social Sciences College Board

Pro Vice-Chancellor

Dean and Head of School, Cardiff Business School

Interim Head of School, English, Communication and Philosophy

Head of School, Geography and Planning

Head of School, History, Archaeology and Religion

Head of School, Journalism, Media and Culture

Head of School, Law and Politics

Head of School, Modern Languages

Head of School, Music

Head of School, Social Sciences

Head of School, Welsh
Dean of Research and Innovation
Dean for Education and Students
Dean of Postgraduate Research Studies
College Registrar

b) Biomedical and Life Sciences College Board

College Pro Vice-Chancellor (Chair)
Head of School, Biosciences
Head of School, Dentistry
Head of School, Healthcare
Head of School, Medicine
Head of School, Optometry and Vision Sciences
Head of School, Pharmacy and Pharmaceutical Sciences
Head of School, Psychology
Dean of Research and Innovation
Dean of Clinical Innovation
Dean of Undergraduate Studies
Dean of PGT Studies
Dean of International
College Registrar
Head of Finance
HR Business Partner
Head of Communications
Strategic Development Manager

c) Physical Sciences and Engineering College Board

College Pro Vice-Chancellor (Chair)
Head of School, Architecture
Head of School, Chemistry
Head of School, Computer Science
Head of School, Earth and Ocean Sciences
Head of School, Engineering
Head of School, Maths
Head of School, Physics
Dean of Education and Students
Dean of International
Dean of Research
Dean of PGR
College Registrar
Associate Registrar
Head of Communication
HR Business Partner

Membership has been selected against the following criteria:

- Role of Pro-Vice Chancellor, College
- Role of Head of School
- Role of Head of School
- Management role from relevant professional service areas

Terms of reference (those specific to REF)

College Boards will have strategic oversight of REF developments in their Colleges, working with Heads of Schools to ensure delivery of core components of the Cardiff REF 2021 Code of Practice across Colleges, including application of transparent communication and consistent processes.

Responsibilities

Supporting role.

Accountable to

REF Committee

Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training.

Members of College Boards will receive supporting training as set out in Section 3.2 of the Code of Practice. Some members may also be outputs reviewers who will receive reviewing training, and some members may be REF decision makers (for research independence or as members of other groups e.g. REF Committee) who will receive decision-making training.

Record-keeping procedures

Minutes.

viii. College REF Strategy Groups**Membership****a) Arts, Humanities and Social Sciences (AHSS)**

Dean of Research and Innovation (Chair)

Research

Cardiff Business School

English, Communication and Philosophy

Geography and Planning

History, Archaeology and Religion

Journalism, Media and Culture

Law and Politics

Law and Politics (support)

Law and Politics

Modern Languages
Music
Social Sciences
Welsh

Impact

Cardiff Business School
English, Communication and Philosophy
Geography and Planning
History, Archaeology and Religion
Journalism, Media and Culture
Law and Politics
Law and Politics
Modern Languages
Music
Social Sciences
Welsh

Other

Main Panel C REF Link
Main Panel D REF Link
College Research Manager
HR Business Partner

b) Biomedical and Life Sciences (BLS)

Pharmacy and Pharmaceutical Sciences and Dean of Research and Innovation (Chair)

Research

Biosciences and Main Panel A REF Link
Biosciences
Medicine
Medicine

Impact

Dentistry
Medicine
Medicine
Psychology

Other

HR Business Partner
College Research Manager

c) Physical Sciences and Engineering

Dean of Research and Innovation (Chair)

Research

Architecture

Chemistry

Computer Science

Earth and Ocean Sciences

Engineering

Maths

Physics

Impact

Architecture

Chemistry

Computer Science

Earth and Ocean Sciences

Engineering

Maths

Physics

Other

Main Panel B REF link

HR Business Partner

College Research Manager

Terms of reference (those that are specific to REF)

Via UoA leads, College REF Strategy Groups will coordinate the development of UoA submissions within their main disciplinary area of expertise.

Responsibilities

Reviewing

Accountable to

College Boards

Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training.

Members of College REF Strategy Groups will receive supporting training as set out in Section 3.2 of the Code of Practice. Some members may be outputs reviewers who will receive reviewing training, and some members may be REF decision makers (for research independence or as members of other groups e.g. REF Committee) who will receive decision-making training.

Record-keeping procedures

Actions.

ix. REF School/UOA Assessment Groups

Membership

Chair: Directors of Research, UoA Leads and other members of staff from Schools, as required based on disciplinary assessment needs.

Membership determined as required depending upon reviewing and assessment requirements.

Terms of reference

Each School/UOA Assessment Group will be responsible for management of internal reviewing of outputs, impact and development of environment templates at School or UoA level, as well as implementing any requirements for external reviewing.

Responsibilities

Reviewing (output selection, impact reviewing and environment template development and assessment).

Accountable to:

College REF Strategy Groups

Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training.

Members of School/UoA assessment groups will receive training for reviewing as set out in Section 3.2 of the Code of Practice.

Record-keeping procedures

Panel diversity and expertise, output reviewing allocations, reviewer information, scores and provision of datasheets to REF Data Modelling Group and members of REF Committee.

x. REF Operations Group

Membership

REF Manager

College REF Manager (Arts, Humanities and Social Sciences)

College REF Manager (Biomedical and Life Sciences)

College REF Manager (Physical Sciences and Engineering)

Communications and Marketing Research Communications Manager

HR Service Centre Business Partner

Strategic Planning and Governance REF Team

University Library Service REF Lead

Membership has been selected against the following criteria:

- Role for REF Manager
- Role within Department of Strategic Planning and Governance
- Role as College Research Manager
- Role within relevant Professional Services departments with functional responsibility for REF

Terms of Reference

The REF Operations Group acts on behalf of, and reports to, the REF Committee in supporting the operational delivery of the University's preparations for REF 2021.

The group will:

- Manage the operational aspects of the University's preparations for, and submission of, its REF return;
- Oversee data collection, maintenance and updates through to final submissions;
- Oversee and support the use of REF software (from pilot version to final version) across the Professional Services and Colleges;
- Bring to the REF Committee's attention any concerns or anomalies which relate to strategic planning for the REF;
- Identify good practice in data collection and interpretation and share this with Colleges;
- Interpret and share with Colleges instructions from the funding bodies' REF Team relating to data collection and REF software.
- Review data modelling from the REF Data Systems and Modelling group and make recommendations to the REF EDI group and REF Committee.

Responsibilities

Supporting

Accountable to

REF Committee

Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training.

Members of the REF Operations Group will receive supporting training as set out in Section 3.2 of the Code of Practice.

Record-keeping procedures

Actions.

xi. REF Data Systems and Modelling Group

College Dean of Research and Innovation (Chair)

REF Manager

Strategic Planning and Governance REF Team

Academic representative (College of Arts, Humanities and Social Sciences)

Academic representative (College of Biomedical and Life Sciences)
Strategic Planning and Governance Data Analysts
University IT Research Services Manager
University IT Technical Lead
College Data Analyst (College of Arts, Humanities and Social Sciences)
College Data Analyst (College of Biomedical and Life Sciences)
College Data Analyst (College of Physical Sciences and Engineering)

Supported by: Senior Planning Advisor, Department of Strategic Planning and Governance, and co-opted EDI support as necessary.

Membership has been selected against the following criteria:

- Significant senior leadership experience for data and systems (Chair)
- Role for REF Manager
- Role within Department of Strategic Planning and Governance
- Role as College Data Analyst
- Role within relevant Professional Services departments with functional responsibility for REF
- Academic expertise in data and systems

Terms of reference

The REF Data Systems and Modelling Group is responsible for two key areas of REF submission:

- The specification and delivery of IT systems and solutions to support, underpin and deliver the REF submission, in liaison with the relevant IT and research systems teams, involving:
 - Ensuring accurate and up to date information management, as required for all aspects of REF submission (including personal data, student data, output data, environment data and impact);
 - Technical support and software solutions to enable reporting, validation and final submission to the REF exercise;
 - Support for data analysis, as required by DoSPG and PVCR for REF management;
 - Identifying and solving data-related issues raised by DoSPG, Colleges and other stakeholders.
- The development of integrated modelling solutions to support the modelling of various scenarios to support REF Committee to make decisions about the final REF submission, including the analysis to inform such decisions.

Sub-groups will be convened as required to progress (1) Data and Systems (2) Modelling concurrently where needed. Additional members will be co-opted to sub-groups as needed to fulfil linkages to University Library Service, DoSPG and University IT (e.g., RDIM).

Responsibilities

Supporting:

- The underpinning systems to enable the development, review, analysis and submission of elements of the REF submission
- The processes for output selection.

Accountable to

REF Committee

Steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equality, including any relevant training.

Members of the REF Data Systems and Modelling Group will receive supporting training as set out in Section 3.2 of the Code of Practice.

Record-keeping procedures

Actions.

APPENDIX E EQUALITY IMPACT ASSESSMENT TEMPLATE

Cardiff University Equality Impact Assessment Template

Equality Impact Assessment (EIA) Template

Title of Policy/ Procedure/ or reason for restructure	
Level of EIA (e.g. is it at University, College, School or Department level?)	
Name of accountable officer/ committee	
Name and role of lead Officer completing this EIA	
Contact Details	
Date EIA initiated	
Date EIA agreed by accountable officer/ committee	
Signed (accountable officer/ chair of accountable committee)	

This form should be used in conjunction with written guidance using the key prompts for each question.

1. The purpose of the proposal or decision required

--

2. Evidence used/considered (include detail of what it indicates in relation to protected characteristics)

--

3. Consultation

--

4. Assess likely impact (see Appendix 1 below)

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5. What actions will be taken to address any adverse impacts?
--

--

6. Monitoring arrangements

--

7. Action planning

--

8. Publish the EIA

--

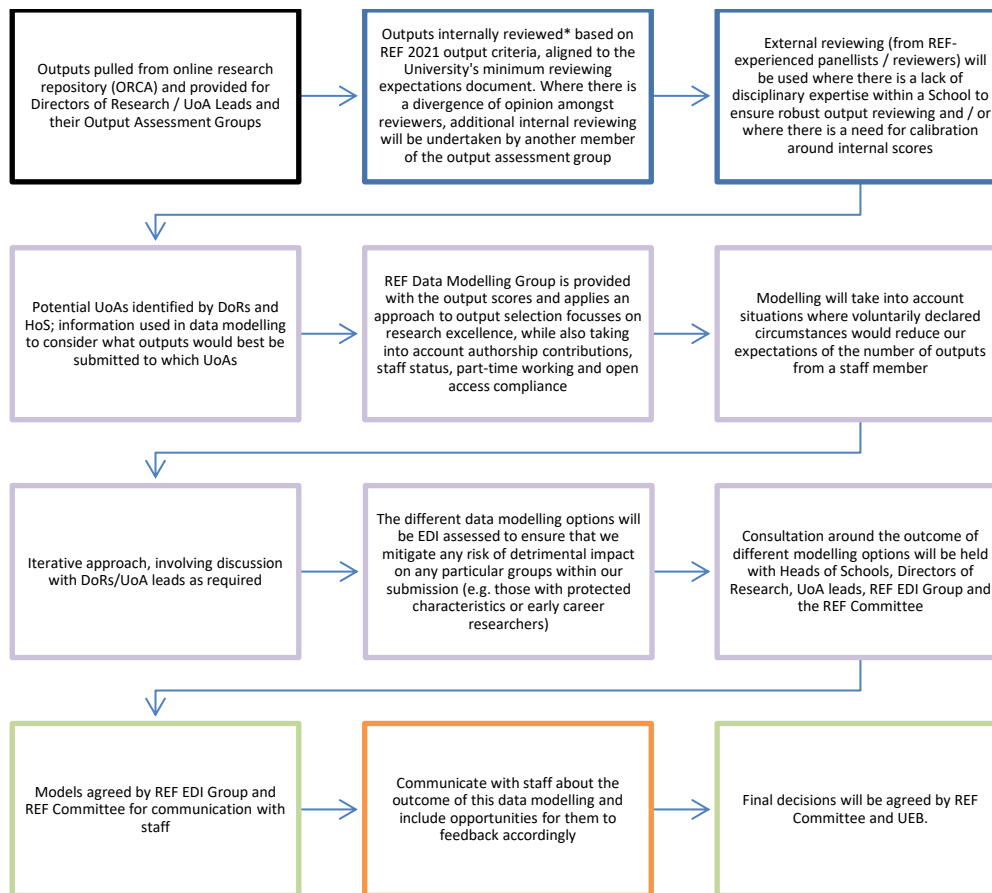
For a fuller explanation of the legislation behind the process see the Equality and Human Rights Commission's website and guidance, [Making Fair Financial Decisions](#).

Equality Impact Assessment - Appendix 1

Table for Question 4. Policy/Procedure and Projects/Initiatives/Decisions development. Assess likely impact for each protected characteristic.

	Comment on evidence and potential impact or specific requirements (e.g. reasonable adjustments for disability)
Age	
Disability	
Gender reassignment	
Race	
Religion or belief	
Sexual orientation	
Marriage and civil partnership	
Sex/ Gender	
Pregnancy and maternity	
Welsh language	

APPENDIX F PROCESS FOR SELECTION OF OUTPUTS



*All staff involved in reviewing outputs will undergo REF-tailored EDI training.

Key

Black box – Preparation of outputs to be reviewed

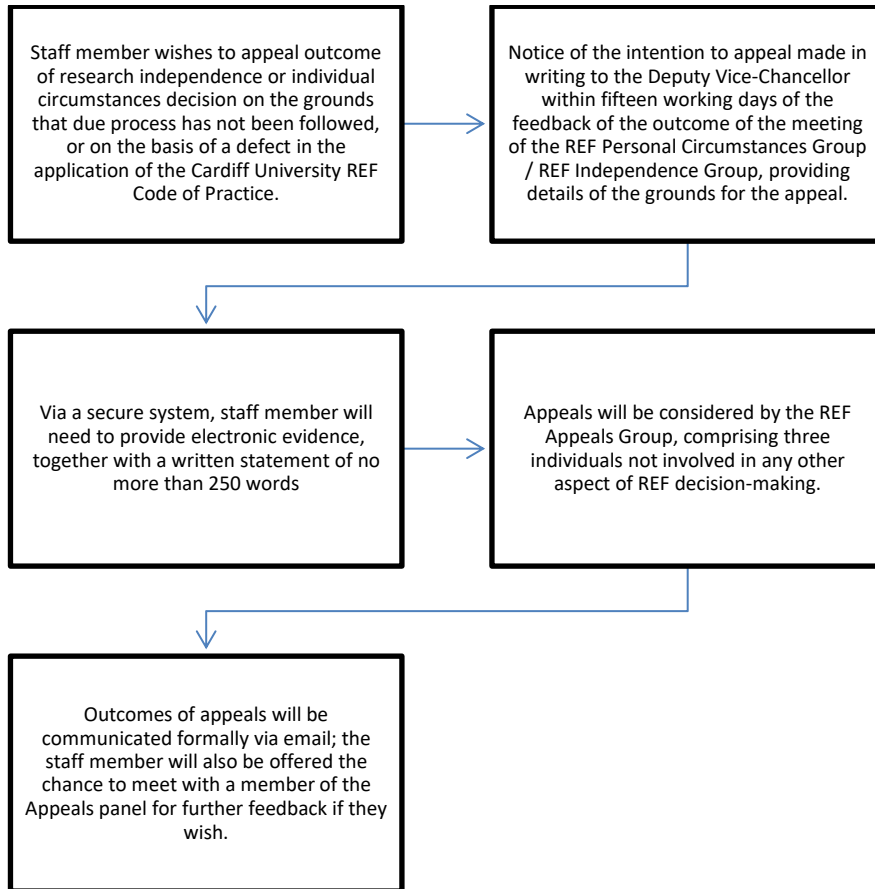
Blue box – Review and scoring stage

Purple box – Iterative data modelling stage

Orange box – Communication with staff / feedback stage

Green box – REF EDI Group, REF Committee and UEB decisions

APPENDIX G APPEALS FLOW CHART



APPENDIX H ACCOUNTABILITY, CONSULTATION AND FEEDBACK

Phases of REF submission development, and feedback provided for staff.

Timeline	Submission element	Feedback undertaken
February 2016	Outputs Rolling REF outputs assessment 2016	<ul style="list-style-type: none"> • PVC-R provided overview to Directors of Research • PVC-R provided overview to Heads of School • Directors of Research provided detailed feedback to academic staff regarding a) overview of outcomes and b) individual scores as judged through peer review process • Intranet page provided for the academic community with an overview of the Rolling REF 2016 outcomes • Report on Rolling REF 2016 provided for Senate
Summer 2016	Impact Impact review 2016	<ul style="list-style-type: none"> • Directors of Impact/Impact leads provided detailed constructive feedback to staff working on impact to help them identify gaps / needs with their impact
Summer 2017	Impact Impact review 2017	<ul style="list-style-type: none"> • Directors of Impact/Impact leads provided detailed constructive feedback to staff working on impact to help them identify gaps / needs with their impact
Winter 2017	Outputs Rolling REF outputs assessment 2017	<ul style="list-style-type: none"> • PVC-R provided overview to Directors of Research • PVC-R provided overview to Heads of School • Directors of Research provided detailed feedback to academic staff regarding a) overview of outcomes and b) individual scores as judged through peer review process • Intranet page provided for the academic community through with an overview of the Rolling REF 2017 outcomes • Report on Rolling REF 2017 provided for Senate
March 2018	Impact March Impact Review event 2018	<ul style="list-style-type: none"> • Directors of Impact/Impact leads provided detailed constructive feedback to staff working on impact to help them identify gaps / needs with their impact
December 2018-February 2019	Code of Practice	<ul style="list-style-type: none"> • First draft CoP provided for all staff via intranet, with consultation open via online survey • PVC-R consulted directly with the Union representatives

	Draft launched for consultation	<ul style="list-style-type: none"> • PVC-R consulted directly with staff via three open town hall meetings • Members of REF EDI group consulted with the Chairs of EDI Network and EDI contacts • PVC-R consulted with the Cardiff University Research Staff Association
January 2019	Outputs Rolling REF outputs assessment 2018	<ul style="list-style-type: none"> • PVC-R provided overview to Directors of Research • PVC-R provided overview to Heads of School • Directors of Research provided detailed feedback to academic staff regarding a) overview of outcomes and b) individual scores as judged through peer review process • Intranet page provided for the academic community providing an overview of the Rolling REF 2018 outcomes • Report on Rolling REF 2018 provided for Senate
March 2019	Code of Practice	<ul style="list-style-type: none"> • Second draft Code of Practice launched for staff consultation (incorporating final funding bodies guidance and input from the staff consultations held December to February) • PVC-R hold consultations with Union representatives and Cardiff University Research Staff Association
Mid- March to mid-April 2019	Code of Practice	<ul style="list-style-type: none"> • Open staff consultation on the second draft Code of Practice closes
May/June 2019	Code of Practice	<ul style="list-style-type: none"> • Discussion with Union representatives • Code of Practice finalised, agreed by REF Committee and UEB, submitted to the funding bodies • Final version published on the intranet for all staff to access

Future planned feedback Spring 2019-submission

Spring/Summer 2019	Outputs and Impact Rolling REF outputs assessment Spring 2019 Impact review event 2019	<ul style="list-style-type: none"> • PVC-R to provide overview of assessment outcomes to Directors of Research • PVC-R to provide overview of assessment outcomes to Heads of School • Directors of Research to provide detailed feedback to academic staff regarding a) overview of outcomes and b) individual scores as judged through peer review process • PVC-R to work with Directors of Impact to provide overview of assessment outcomes to impact case authors
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		<ul style="list-style-type: none"> • Intranet page to provide for the academic community with an overview of the assessment outcomes and current REF activity progress
Start Summer 2019 (and ongoing for subsequent iterations)	Independence decisions Individual circumstances decisions	<ul style="list-style-type: none"> • Outcome of the independence process and individual circumstances (including early career status) communicated directly to staff, including details of the appeals process and timeline for requests to the funding bodies for individual circumstances reductions • Consideration of appeals, and communication with staff regarding outcome of their appeal as outlined in the Code of Practice • Finalised independence and individual circumstances lists generated in early 2020, based on final internal and funding bodies' assessments. Staff informed as outlined in the Code of Practice.
Winter 2019	Outputs, Impact, Environment Mock REF Autumn 2019	<ul style="list-style-type: none"> • PVC-R to provide overview of assessment outcomes to Directors of Research • PVC-R to provide overview of assessment outcomes to Heads of School • Directors of Research to provide detailed feedback to academic staff regarding a) overview of outcomes and b) individual scores as judged through peer review process • PVC-R to work with Directors of Impact to provide overview of assessment outcomes to impact case authors • Intranet page to provide for the academic community with an overview of the assessment outcomes and current REF activity progress
Spring 2020	Outputs, Impact, Environment Mock REF Spring 2020	<ul style="list-style-type: none"> • PVC-R to provide overview of assessment outcomes to Directors of Research • PVC-R to provide overview of assessment outcomes to Heads of School • Directors of Research to provide detailed feedback to academic staff regarding a) overview of outcomes and b) individual scores as judged through peer review process • PVC-R to work with Directors of Impact to provide overview of assessment outcomes to impact case authors • Intranet page to provide for the academic community with an overview of the assessment outcomes and current REF activity progress

Autumn2020

Individual
circumstances

- Staff will be informed by PVC-R whether reductions based on their declared circumstances were approved by the funding bodies

APPENDIX I EQUALITY, DIVERSITY AND INCLUSION TRAINING PLAN

Group	Training	Expected date
DECISION MAKING ROLE	Training by an external EDI expert on inclusive leadership	May 2019, June 2019, October 2019
REVIEWING ROLE	Internal workshop tailored to REF	June to October 2019
SUPPORTING ROLE	Online Equality, Diversity & Inclusion and Unconscious bias training	Ongoing

Beyond September 2019, our intention is to run one session per quarter to train new reviewers and decision makers.

Levels of training

Decision maker training

- University Executive Board
- REF Committee
- REF EDI Group
- REF Independence Group*
- REF Individual Circumstances Group
- REF Appeals Panel

*Directors of Research and Heads of School will also receive training for decision-makers, given their role in the research independence process.

Reviewer/advisor training

- REF output assessment groups

Support role training

- All individuals involved in the delivery of our REF submission, whether professional services staff collating and supporting data collection or analysis of REF outcomes, academic staff involved in reviewing outputs or impact case studies and those involved in more significant REF decision making.

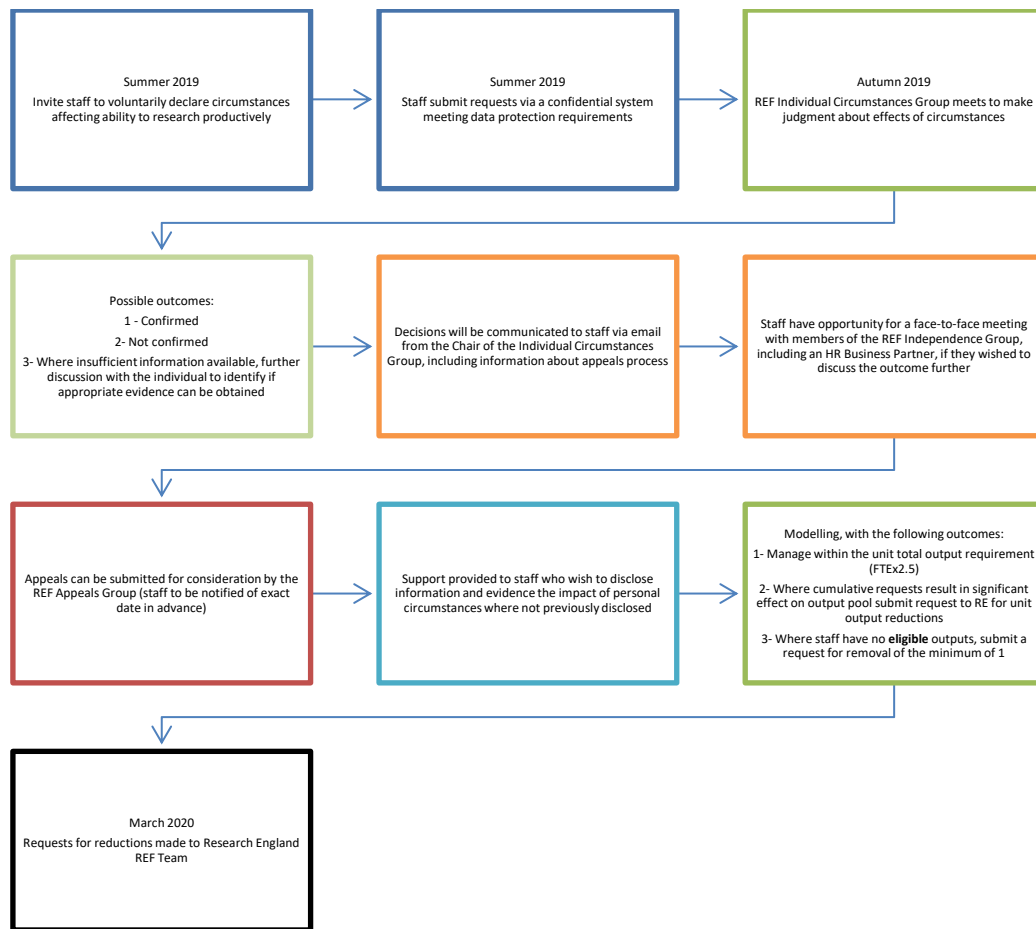
APPENDIX J CHANGES TO THE CODE OF PRACTICE FOLLOWING STAFF CONSULTATION

We made a number of changes to our Code of Practice in response to consultation with the Unions, staff groups and staff consultation, and final publication of the REF guidance. The major changes were:

- A small modification to the criteria used to judge independence of R-only staff (specifically for Panels C and D), following changes to the criteria in the final guidance from the funding bodies;
- Changes to Cardiff's proposed approach to consider early career researcher reductions, aligning our approach to the requirement for voluntary declaration of any individual circumstances, including early career research status.

We outlined in detail to staff in a separate 'Changes to the Code of Practice' document how our consultation led to changes to the final Code of Practice, demonstrating how our research community contributed to the final agreed processes within the Code of Practice.

APPENDIX K PROCESS FOR INDIVIDUAL CIRCUMSTANCES



The process will be re-run in late 2019/summer 2020. Staff will be notified of timescales, including for appeals, in advance.

Key

- Dark blue box – Staff voluntary declaration
- Green box – REF Individual Circumstances Group decisions
- Orange box – Communication with staff / feedback stage
- Red box – Appeals (See Appendix G)
- Light blue box – Support for staff
- Black box – requests submitted to the funding bodies