Research Excellence Framework 2014

University of Roehampton

Code of Practice on the selection of staff for inclusion in REF 2014

Context

1. This code of practice has been developed in order to ensure that the University actively promotes equality and diversity in all aspects, and at all stages, of the preparations for REF 2014 and particularly in respect of the procedures the University puts in place for the selection of staff for submission. The code has been developed to meet the requirements of the Research Excellence Framework (REF) and in accordance with guidance provided by the Equality Challenge Unit (ECU). It is intended for submission to the REF Equality and Diversity Advisory Panel (EDAP).

2. The University welcomes the requirements placed on it by the provisions of the Equality Act (2010) ('the Act') and relevant employment legislation. The Act strengthens and harmonises previous equalities legislation. The University has responded to the Act in general terms, principally by updating and revising its Diversity and Equal Opportunities Policy. The revised policy articulates the University's commitment to eliminating discrimination and promoting diversity and equality of opportunity in all its practices, policies and procedures. It sets out provisions encompassing all areas of equality and diversity across the University, stating: that 'The University is committed to providing a culture and environment in which its students, staff and others are treated fairly and are not discriminated against without lawful cause, on the basis of race, religion or belief; gender (including gender reassignment); marital/civil partnership status; sex; sexual orientation; disability; age; parental, pregnancy or maternity status; social or economic group' (generally referred to in the Act as 'protected characteristics'). The University is committed to complying with current and future anti-discrimination legislation as well as associated codes of practice or guidance issued by the Equality and Human Rights Commission, the Equality Challenge Unit and other relevant bodies.

3. The University's governing body, Council, has overall responsibility for ensuring that the University complies with the requirements of anti-discrimination legislation and in particular with the provisions of the Equality Act 2010 and the general duty under the Act. As well as seeking to foster good relations between people from different groups Council has due regard, in the exercise of its functions, to the need to eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act and to advance equality of opportunity between people from different groups. Council has delegated responsibility to the Vice-Chancellor for the implementation and operation of its Diversity and Equal Opportunities Policy. [http://www.roehampton.ac.uk/corporate-information/Diversity-and-Equal-Opportunities/]

4. In its preparations for REF 2014, including the selection for submission of researchers and their work, the University will fully comply with the

provisions of the Act which are operationalized through its own Diversity and Equal Opportunities Policy.

5. In developing this code of practice, the University has attended to the guidance provided in *REF 2014: Assessment framework and guidance on submissions* [accessible at http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/] (the 'Framework') which includes a section entitled 'Codes of Practice on the selection of staff' (Part 4; pp. 34-42). The purpose of this section of the Framework is to support institutions in their efforts to promote equality and diversity as they prepare for REF. It explains the legislative context and offers guidance to institutions on the selection of staff. As stated in the overview section (p.5) of the document, institutions are required to 'develop, document and apply an internal code of practice on the fair and transparent selection of staff for inclusion in REF submissions.' This code of practice details the University's procedures for ensuring its processes comply with that requirement.

6. Paragraph 232 of *the Framework* provides a link to the web-site of the Equality Challenge Unit [www.ecu.ac.uk/our-projects/REF] which hosts information about a collaboration between ECU and REF: the ECU's project, 'Research Excellence Framework and Equality', is designed to support institutions as they prepare their codes of practice. It has delivered a resource base of materials, examples of good practice and a list of documents and other resources relating to REF and Equality. These are accessible at www.ecu.ac.uk/documents/ref-materials. These have informed the development of the code of practice at every stage.

7. The University is also cognisant of the fact that in July 2011 HEFCE published an 'Equality Briefing for Panels' instructing panel chairs, members and secretaries to develop working methods and criteria that encourage HEIs to submit all eligible staff, including those whose ability to produce four outputs has been constrained for reasons covered by the relevant equality legislation.

Purposes and principles

8. This code of practice is designed to ensure that the University has in place fair processes for the selection of staff for REF 2014. The principles underpinning it are those of transparency, consistency, accountability and inclusivity.

   Transparency: The processes for developing the threshold criteria that will apply in selecting staff for inclusion in REF are detailed below (paragraphs 36-50). This code of practice and the procedures and processes it outlines have been widely disseminated in draft form, commented upon by departmental Research Advisory Groups (RAGs) and by individual members of staff before being edited and ratified by the Research Committee and approved by Senate. All Unit of Assessment (UoA) co-ordinators have been briefed on the preparations for REF and their role in ensuring that this code informs their

practice at every stage of the selection and submission procedures which they help to co-ordinate. The code is accessible on the University's external web-site at http://www.roehampton.ac.uk/Research/Research-Excellence-Framework/

Consistency: The University's Research Excellence Panel (REP) (see below, paragraph 23) has strategic oversight of the preparations for REF 2014. It is therefore well-placed to ensure a uniformity of approach to selection procedures across all the UoAs to which submissions will be made. The Research Committee will also play a key role in ensuring that consistency is achieved by applying the principles outlined here at each stage of the process, including during a mock REF (Mock REF). The Research Committee will also monitor the uniform implementation of this code of practice by overseeing the organisation of training and briefing sessions for UoA co-ordinators.

Accountability: UoA co-ordinators, supported by the central Research & Business Development Office (RBDO), are responsible for assembling initial data and information about potential submissions. An up-to-date list of UoA co-ordinators is maintained and held by the Research Committee. The REP is tasked with making the final decisions about all aspects of the University's submission to REF 2014 and has been instrumental in developing this code of practice.

Inclusivity: The University's commitment to equality and diversity translates easily into a principled commitment to inclusivity. The University considers itself to have a duty to foster and promote equality of opportunity and diversity in respect of research activity as in all its other activities. It is therefore determined to promote an inclusive environment for research and to identify all those members of its staff who are eligible for entry to REF 2014 through the excellence of the research they produce.

9. The University is committed to collecting, storing and processing all REF information in accordance with the Data Protection Act (1998), and in order to ensure that it can demonstrate fairness in its selection process, it will collect relevant confidential data on all staff with protected characteristics as defined by the Act and who are eligible for submission to REF 2014. This will be done in accordance with the guidance provided by the Equality Challenge Unit. [See http://www.ecu.ac.uk/publications/files/psed-specific-duties-for-england-sept11.pdf/view] Owing to the confidential nature of much of this information, raw data will not be routinely published, although summary reports for monitoring and developmental purposes will be presented to the Research Committee and the Diversity and Equal Opportunities Committee. Data will be collected for staff in both the mock and final REF exercises and compared with the final REF submission.

Communication

10. This code was publicly available during its development as part of an open consultation process on the University website and discussed widely at every level of the University, including but not limited to: University Senate, University Research Committee and University departmental advisory groups. Also, its development was brought to the attention of all staff through the University's Staff News service and all staff via email.

11. Following its finalisation the code will be made available on the external University website http://www.roehampton.ac.uk/research/Research-Excellence-Framework/ and internally on the University's dedicated REF2014 intranet http://my.roehampton.ac.uk/information/Research-Excellence-Framework/Pages/ResearchExcellenceFramework2014.aspx. Printed copies of the code are also available upon request from the University's Research & Business Development Office.

12. The code will be sent in electronic format to the University email addresses of all staff. Any eligible staff absent from the University, including but not limited to those absent due to: sabbatical; illness; maternity, paternity; or adoption leave, during the publication of the code will be informed by letter to their home address or, if applicable, their current preferred address for correspondences. In addition printed copies of the code will be also sent to the home or current preferred address of all eligible absent staff.

Individual staff circumstances

13. All staff potentially eligible for inclusion in REF 2014, including those absent from the University, will be invited by email and by letter, to their home or preferred address for correspondences, to complete a confidential form providing details of their individual circumstances. This 'Individual Staff Circumstances Form' will be based on the template provided by the Equality Challenge Unit [at www.ecu.ac.uk/our-projects/REF]. The process will be managed centrally by the University's Human Resources (HR) Department and conducted with due regard for the sensitivity of the information requested. The information in the Individual Staff Circumstances Form will remain confidential to members of the HR team and a sub-group of the REP ("REPSG") created specifically to review individual circumstances comprising: the Deputy Vice-Chancellor; a Deputy Provost; the Director RBDO; Secretary; and HR representative. The members of the REPSG have undertaken specific equality and diversity training to allow them to fulfil their obligations in this matter.

14. Individual Staff Circumstances Forms will be returned directly to the REPSG representative within the HR Department. Internally within the University, the information provided will be seen by members of REPSG who will meet and deliberate in private and observe strict confidentiality. All submitted

information will be stored securely within the HR department. Written feedback will be sent to those disclosing personal circumstances by the REPSG HR representative.

15. Information provided on the Individual Staff Circumstances Form may be shared externally outside the University for the purposes of evidencing any reduction in the number of research outputs:
    a. For circumstances with a clearly defined reduction in outputs, information may be seen by the relevant REF sub-panel, the REF panel secretariat and the UK funding bodies' REF team. This will be information about early career researcher status, part-time working, career breaks or secondments, and periods of maternity, additional paternity or adoption leave taken.

    b. For more complex circumstances, information will not be shared with any third party unless REPSG decides that there is a case to be made for a reduction in the number of outputs to be submitted. In that event, information will only be shared with the REF Equality and Diversity Advisory Panel, the REF Main Panel Chairs and the UK funding bodies' REF team. This will be information to explain the impact on research of circumstances such as disability, ill health, injury, mental health conditions, gender reassignment, caring responsibilities or constraints relating to pregnancy, maternity, breastfeeding, adoption and paternity (in addition to the period of leave taken). This information will not be seen by the REF sub-panel.

16. Individual circumstances (as defined in the Framework, paragraph 92) are divided into two categories: 'Clearly defined' and 'Complex'.

17. Those considered as having clearly defined circumstances include:
    a. Early Career Researchers (as defined in the Framework, paragraphs 85-86);
    b. Part time workers;
    c. Staff who have taken a period of maternity, paternity or adoption leave; and
    d. Staff who have had a career break (including secondment) during which they have not undertaken academic research.

18. Those considered as having complex circumstances include staff:
    a. Staff considered to be disabled (as defined in Table 2 in part 4 of the 'Framework');
    b. Staff whose research productivity has been constrained by ill health or injury;
    c. Staff with mental health conditions;
    d. Staff whose research productivity has been constrained as a result of pregnancy or maternity;
    e. Staff with responsibilities as a carer, including childcare;

f. Staff who have undergone gender reassignment;
g. Staff whose research productivity has been constrained for reasons relating to one or more of the protected characteristics, as defined by the Equality Act (2010) research.

19. REPSG on behalf of REP will consider all cases involving staff with clearly defined individual circumstances and take decisions in line with the guidance provided by the REF Panels. In dealing with complex individual circumstances REPSG will consider the Individual Staff Circumstances Form and request additional information from HR or the member of staff as appropriate. On the basis of this information the REPSG will decide whether a case should be made for submitting a reduced number of outputs and what may constitute an appropriate reduction in the number of outputs for any submission. Where REPSG decides a case for a reduced number of outputs should be made the decision will be fed back to REP and the REF co-ordinators within the Department whilst maintaining the confidentiality of the individual staff circumstances. Where applicable REPSG will produce the cases to be made for a proposed reduction in outputs.

Fixed-term/without term and full time/part-time staff

20. The criteria for selection for REF 2014 submission relate to the quality of the research produced and the thresholds are decided by REP with a view to furthering the strategic interests of the University. The criteria will be applied without regard to the contractual status (fixed-term/without term; full time/part-time) of staff except for those specified in the Framework (Part 3: Section 1). The University is committed to providing fixed-term and part-time staff with the full range of career development opportunities that are available to without term and full time staff. Fixed-term and part-time staff enjoy the same conditions of employment as full time staff.

Roles of Staff and Committees

21. At departmental level, research matters are usually dealt with by Research Advisory Groups (RAGs) (or equivalents) which are semi-formal groups, chaired by a senior researcher nominated by the relevant Head of Department. The terms of reference of RAGs were agreed by Senate following the re-structuring of the University in 2010 (Annex 3). RAGs advise the Head of Department on all matters relating to research, including the potential UoAs to which research outputs from eligible staff from within the Department concerned might be submitted.

22. The Research Committee - full Terms of Reference and composition Annex A - reports directly to the University Senate on all matters relating to the development of Research. Its terms of reference include the responsibility for overseeing the strategy for the submission for REF 2014. Membership of the

Research Committee includes a representative from each department, usually the Head of Department or the chair of RAG.

23. The Research Committee has established a Research Excellence Panel (REP) – full remit and composition Annex B - to oversee and co-ordinate the drafting of the University's submission to REF 2014. The REP is composed of the Vice-Chancellor (in the Chair), the Deputy Vice-Chancellor and Provost, the Director of Research & Business Development, the three Deputy Provosts and three Departmental members; it is serviced by a member of the Research and Business Development Office (REP Secretary). The REP will recommend to the Research Committee the Units of Assessment (UoA) for which a submission will be made, the individual researchers who will be selected as contributors to the submission, the specific outputs that will be included in each submission, the impact studies that will be presented and the final text of the submission for each UoA. The Research Committee will then make a recommendation to Senate for ratification.

24. REPSG will be responsible for considering and taking decisions upon any individual staff circumstances (including both 'clearly defined' and 'complex' circumstances, as defined in paragraph 96 of the Framework) that are deemed to have constrained an individual's ability to produce four outputs.

Mock REF

25. As part of the process of preparing the University's REF 2014 submission, the REP will conduct a Mock REF submission during the Autumn term in 2012**,** based on data available at that time. The purpose of the mock REF is to finalise the UoAs to which the University wishes to make a submission and to draft UoA submissions for consideration by the Department and University.

26. Management of the process of data collection for the Mock REF begins with the UoAs co-ordinators nominated by Heads of Department. A formal invitation for submissions is issued by the University, with Unit Co-ordinators then taking responsibility for receiving and co-ordinating submissions in their unit. All staff who wish to submit outputs for consideration are encouraged to do so.

27. Between September and October 2012 the gathering of relevant data required by REF 2014 and needed to form a basis of selection (i.e. on research outputs, impact case studies and the research environment as well as any performance indicators, data or additional information relating to these) will be overseen by the RBDO.

28. Each eligible researcher with individual circumstances will be encouraged to communicate these confidentially to the REPSG using the Individual Staff Circumstances Form (through a process managed by the Human Resources Department in September 2012). Staff will be able to communicate any such

circumstances after this point by completing this form which will remain available through the University Staff Zone. A second invitation will be sent prior to the final REF exercise. (See the section on Individual Staff Circumstances above)

29. The Research Committee has noted the names of REF UoA Co-ordinators nominated by Heads of Department. Any changes or amendments to this list are communicated to Research Committee as a matter of routine.

30. For the Mock REF, the University will invite submissions by 1st November 2012 from all staff with research outputs to be considered. At the end of October 2012 the UoA Co-ordinator will provide the Head of Department with a confidential commentary on research activity in the UoA. This will have followed initial scrutiny by, and discussion with, senior colleagues (Head of Department, departmental Professors, RAG, Directors of Research Centres). The Mock REF submission will include:
    a. a list of staff who seem likely to have published at least four research outputs by 31 December 2013;
    b. a description of the four strongest outputs for each of those members of staff, each with a predicted score of between 1* and 4* (subject to the conditions of 30(c) below;
    c. a list, supplied by the Human Resources Department, of staff where the REP sub-group have decided that a reduction in outputs is justified based on the declaration of individual staff circumstances (see section on 'Individual Staff Circumstances' above);
    d. an outline account of the research environment;
    e. a completed impact template; and
    f. the requisite number of impact case studies for the UoA in question.

31. By 1st November 2012 Heads of Department will sign off the mock REF submission for all units within their department and all submissions will be sent to the REP Secretary. The REP will then consider all submissions in December 2012 and feedback to departments as appropriate.

32. The University will take advice from external experts for output submissions in all units. This will run alongside the Mock REF exercise and external reports will go to the REP for consideration in December 2012 together with the Mock REF submissions.

33. Two major decisions will be taken by REP as a result of the Mock REF:

    a. The first will be to identify the UoAs to which the University intends to make submissions in November 2013.

    b. The second will be to determine the minimum standards of excellence which will apply to all proposed submissions in all UoAs that have been identified in 33 (a) above. The expectation is that only research

outputs capable of achieving a 2* rating will be considered for submission. This quality threshold will apply to all UoAs and, once confirmed by REP, will be communicated to staff through REP's reporting procedures to the University's Research Committee.

34. All staff involved in co-ordinating and managing these preliminary selection processes (RAG chairs; Research Centre Directors, UoA Co-ordinators, Research Committee and REP members) have received briefings and attended training sessions organised by RBDO, specifically related to this code of practice and the equality and diversity dimension of their work.

REF 2014

35. The University's REF 2014 submission in November 2013 will be drafted in stages.

36. Prior to the final REF exercise in February 2013 staff will be reminded to declare any personal circumstances affecting their submission which the University has not already been made aware of during the Mock REF exercise. (See point 28 and the section on Individual Staff Circumstances above). Once again staff eligible for inclusion in REF 2014, including those absent from the University, will be contacted via email and by letter to their home or preferred address for correspondences. Staff will be able to communicate any such circumstances after this point by completing the Individual Circumstances Form which will remain available through the University Staff Zone.

37. In February 2013 a formal invitation for submissions will be issued by the University, the submissions will then be received and co-ordinated by the Unit Co-ordinators. Each eligible (according to REF 2014 criteria) researcher will be asked to consult with the relevant UoA Co-ordinator and submit to the Co-ordinator a written and appropriately detailed account and argued self-assessment against the panel's criteria of their four strongest published, and/or due-to-be-published, research outputs (each with a predicted score of between 1* and 4*) along with any citation data (if applicable), for the period 1 January 2008 to 31 December 2013.

38. The impact case studies will be initially selected and proposed by the UoA Co-ordinator following consultation with the departmental RAG (or equivalent) and the relevant Head of Department. These initial proposals will be subject to the approval of REP.

39. In making their submission each eligible researcher should draw upon the full range of their research outputs including applied and interdisciplinary research and scholarship.

40. In May 2013, each UoA Co-ordinator will submit a revised draft of the UoA submission for consideration within the Department.

41. Departments will create panels, composed of at least three researchers (one of whom should be the UoA Co-ordinator and at least two of whom should be suitably experienced researchers within a field relevant to the researcher's), which will then:
    a. read and assess the submitted outputs against the researcher's self-assessment statement, the Panel's published criteria and the University's threshold criteria;
    b. take into account other relevant evidence from within the period, including numbers of research students supervised and degrees awarded, numbers and amounts of external research grants awarded, and
    c. consider the researcher's contribution to the impact profile of the UoA in question.

42. In light of the above, each UoA Co-ordinator will then submit to the Head of Department a draft submission, along with an argued rationale, for the selection of staff and outputs and explaining why it constitutes the strongest possible submission to the relevant Panel.

43. After consultation with the relevant Deputy Provost, Heads of Department will then forward, over his/her signature, the Department's draft UoA submissions to the REP for consideration by 3rd June 2013.

44. The REP will then confirm the final selection of:
    a. the UoAs to which it believes the University should make a submission;
    b. the researchers and outputs for each submission; and
    c. the impact case studies for each UoA.

45. In making these decisions, the REP will have received and considered:
    a. the list of all eligible researchers,
    b. decisions made on the basis of individual circumstances for those staff concerned,
    c. the full list of UoAs,
    d. each Panel's published criteria,
    e. each Department 's recommended selections of UoAs, researchers and outputs, and impact case studies
    f. the profile of researchers proposed and not proposed by the Department s for selection,
    g. a copy of each researcher's self-assessment statement,
    h. the Departments' written assessment of its researchers against the criteria,
    i. the University's final strategy and threshold criteria for submission, and

j. other relevant evidence for the period, including numbers or research students, degrees awarded and external research grants received.

46. The University will make its final selection of UoAs, researchers, research outputs and impact case studies on the basis of the University's strategic interests.

47. Researchers will not be selected unless they:
    a. are eligible under HEFCE guidelines,
    b. have four published outputs of appropriate quality, and
    c. meet the University's threshold criteria.

    Exceptions to (b) will be made in cases where clearly defined or complex individual circumstances are such that submission of fewer than four outputs is permissible and will not adversely affect scoring.

48. All individual submissions classed as exceptions under above will be treated with an appropriate degree of confidentiality. (See Individual Staff Circumstances section above)

49. In July 2013, the REP will, where necessary, consult with UoA Co-ordinators, edit the drafts and recommend a final draft of each UoA submission to the Research Committee in September 2013 for approval and recommendation to Senate in November 2013; the final submission will then be signed off by the Vice-Chancellor.

Feedback and Appeals

50. Regular feedback will be given to eligible researchers as part of the University's preparations for REF2014 to ensure that all cases of potential non-selection (and their underpinning arguments) are identified and articulated well in advance of the final selection.

51. In July 2013 feedback of REP's decisions regarding the University's submission and the inclusion or otherwise of individual members of staff will be provided by the UoA Co-ordinators. In addition each individual member of staff who proposed outputs for submission will be written to with a notification of the REP's decision within 10 working days of that decision [or by 24th July at the latest]. When providing feedback the UoA Co-ordinators may request to be supported by the relevant Deputy Provost.

52. If a researcher is unable to reach agreement with their UoA Co-ordinator over the Department's recommendation in respect of their inclusion in the submission or over the selection of their submitted outputs, the researcher will be advised to consult the relevant Deputy Provost. If there is no resolution as a result, or a researcher initially included in a Department's recommended submission is subsequently excluded or the Department's

recommended selection of their outputs altered and the researcher wishes to appeal against the decision, the researcher will be advised to follow the REF Appeals Procedure as described below.

53. The REF Appeals Procedure will be handled in the first instance by the Deputy University Secretary, to whom an intending appellant should submit a written appeal within 10 working days of being informed by REP of the decision against which they are appealing. The written appeal should include details of the grounds for the appeal and any supporting evidence.

54. The appeal will be heard by a REF Appeals Panel (the 'Panel') within 22 working days of receipt of a written appeal. The Panel will be chaired by an Executive Officer of the University and include two Professors from different UoAs, who are not members of the REP or from the appellant's Department and a member of the HR Department. The Deputy University Secretary will act as Secretary of the Panel.

55. The appellant will be invited to appear in person before the Panel and may be accompanied by a fellow employee of the University or their trade union representative.

56. The Panel will provide the appellant with written notification of the result of the appeal within 10 working days of the meeting.

57. The Panel will either uphold or dismiss the appeal. The Panel's decision is final.

58. If the appeal is upheld, the REP will be asked to reconsider the appellant's case.

Equality Impact Assessment

59. This code of practice will be subjected to a full Equality Impact Assessment (EIA) in September 2012. This is accessible at http://www.roehampton.ac.uk/research/Research-Excellence-Framework/.

60. The University will conduct an Equality Impact Assessment (EIA) on its policies and procedures for selection of researchers to be submitted to the REF, under the auspices of the REP. This will include, but not be limited to, a comparative analysis of those researchers eligible for submission to the REF and those who actually are submitted. The EIA will, therefore, be reviewed by the REP throughout the selection process to ensure that any necessary changes to prevent discrimination or promote equality are taken prior to the deadline for submission.

61. The Mock REF will be subjected to an EIA. Data gathered through the Mock REF will be used to inform the University's equality impact assessment to

identify any issues which may need to be considered ahead of final decisions on staff selection being made in 2013.

62. The final version of the EIA will be published on the University website Information Centre website after the submission.

Approvals and Endorsement

63. The code of practice was initially endorsed by the Vice-Chancellor and approved by Senate in June 2012.

64. This code of practice (Approved Final Version 2) has been endorsed by the Vice Chancellor and approved by Senate in October 2012.

65. Should this code require future amendment, the proposed revisions will be circulated to all Departmental Research Advisory Groups for discussion and comment, to all staff via their University email addresses and through Roehampton Staff News. Absent eligible staff will be informed via letter to their home address or, if applicable, their current preferred address for correspondences. Following this communication and consultation process the revisions to the code will be endorsed by the Vice-Chancellor and approved by Senate prior to submission.

Annexes

- Annex A: RESEARCH COMMITTEE Terms of Reference and Composition
- Annex B: Remit and Composition of the Research Excellence Panel
- Annex C: Terms of Reference: Departmental Research Advisory Groups (RAGs)

Annex A: RESEARCH COMMITTEE Terms of Reference and Composition

Terms of Reference

The Research Committee will act on behalf of Senate (except on issues of principle) and report to Senate on all matters relating to the development of research. In particular, the Committee will:

Developmental

- foster an effective research environment through the development and implementation of a well supported and funded research strategy;
- advise Senate on research priorities within the University's Strategic Plan;
- in conjunction with the Enterprise and Development Committee, to promote research income generation;
- establish criteria and procedures with regard to receipt of externally funded research contracts and grants;

Institutional Monitoring

- monitor the progress of research within the University by receiving Annual Research Reports from Academic Departments and Research Centres and reports on external research income

Operational

- receive regular reports from the Graduate School on research activity;
- oversee the strategy and the submission for the REF;
- recommend to Senate the allocation of HEFCE Research Funds
- advise the University on its response to national initiatives within research
- report annually to Senate

Composition

- Deputy Provosts (x2)
- Deputy Provost (Grad School)
- Deputy Vice-Chancellor and Provost
- Director of Research & Business Development
- Research representative from each department, who is either a Professor or Reader (x10), selected by the Head of Department in consultation with the appropriate Deputy Provost
- Vice-Chancellor [Chair]
- In attendance as required – Director of Finance.

Total membership: 16

Meeting Frequency

Normally six meetings per year

Servicing
The Committee will be serviced by a member of staff identified by Director, RBDO

Membership of Research Committee 2011/12

Vice-Chancellor [Chair]	Professor Paul O'Prey	
Deputy Vice-Chancellor and Provost	Professor Jane Broadbent/Professor Lynn Dobbs	
Deputy Provosts (x 2)	Professor Pat Corcoran Dr Claire Ozanne	
Deputy Provost (Grad School)	Professor Ann MacLarnon	
Director of Research & Business Development	Stephen Hughes	
Research representative from each department, who is either a Professor or Reader (x10), selected by the Head of Department in consultation with the appropriate Deputy Provost	Prof. Trevor Dean Prof. Andrée Grau Prof. Rebecca Boden Dr PA Skantze (Prof. Joe Kelleher cover) Prof. Raymond Lee Dr. Stephen Driver Dr. Lorella Terzi Prof. Ian Haywood (Prof. Zachary Leader cover) Prof. Isabel Santaolalla (Prof. Heather Nunn cover) Prof. Cecilia Essau	Humanities Dance RU Business School Drama, Theatre & Performance Life Sciences Social Sciences Education English & Creative Writing Media, Culture & Languages Psychology
In attendance		
Director of Finance [as required]	Reggie Blennerhassett	
Secretary	Lemady Rochard / Abrianna Wallace	

Annex B: Remit and Composition of the Research Excellence Panel

Remit

The Research Excellence Panel is a sub-committee of Research Committee. The committee was responsible for coordinating the University's submission in the 2008 Research Assessment Exercise and is responsible for preparing the University's submission to the Research Excellence Framework 2014. The Research Excellence Panel considers the strategic direction of research, e.g. through consideration of staff research allocations and sabbatical/research leave.

Membership 2011/12

Vice-Chancellor [Chair]	Professor Paul O'Prey
Deputy Vice-Chancellor	Professor Lynn Dobbs
Director of Research & Business Development	Stephen Hughes
Senior academics, including the Deputy Provosts, across a range of subject areas (x6)	Professor Trevor Dean, Professor of History Professor Pat Corcoran, DP Professor Ann MacLarnon, DP Professor Garry Marvin, Professor of Social Anthropology Dr Claire Ozanne - DP Dr Lorella Terzi, Reader - Education
Secretary	Lemady Rochard or other RBDO representative

Annex C: Terms of Reference: Departmental Research Advisory Groups (RAGs)

Departmental Research Advisory Groups

Heads of Department may choose, depending on their size, complexity and variety of research conducted in their Department, to create an advisory group to advise on research matters within the Department. If formed, the group will advise the HoD and the Departmental Board on matters of research policy and strategy (in line with the policy and strategy of the University) as well as on the operation of those strategies and policies. It should be recognised that the HoD has ultimate responsibility for academic leadership (including in matters relating to research), and that the Department Research Centre Directors will remain responsible to the HoD for the specific work of their centres. Membership of a Research Group should include the Directors of Research Centres and will include some if not all members of the Professoriate. The decision whether to form such a group and the exact membership should be agreed by the HoD with the relevant Deputy-Provost. The HoD should appoint a Chair of the Group in consultation with the Deputy-Provost.

Terms of Reference: Departmental Research Advisory Group

Departmental Research Advisory Group will be required to advise the HoD, and report to the Departmental Board, on:

- Strategies and Priorities for research in the department.
- Allocation of resources to support and promote research, including, for example, conference expense support, workload allocations relating to research activity, sabbatical leave allocations.
- Construction of the submission(s) for the Research Excellence Framework, including the commissioning of advice on who should be submitted.

The group should also advise the HoD on any research-related business relevant to the life of the Department, in particular by

- Participating in the shortlisting/selection process of any external candidates for appointment to an academic post or for internal candidates for promotion, by contributing advice relating to their research profile; and
- Monitoring arrangements within the Department for supporting early career researchers;

and by contributing to processes to

- Work with Research Centre Directors to mentor all colleagues and ensure RC Directors build vitality within their centres;
- Ensure that other colleagues, including those in Research Groups, are also supported in an appropriate fashion;
- Work with colleagues and the RBDO to develop successful external funding applications, giving direct academic advice to applicants or obtaining help from appropriate colleagues to provide that advice as necessary;

- Disseminate advice and information among colleagues and act as a conduit for research-related communications between colleagues and the HoD, the Deputy Provost or RBDO as necessary;
- Undertake such other duties as are designated by the HoD.

Meetings: Meetings should be held at least once each term and more often if necessary.