

## **Code of Practice for the selection of researchers to be submitted to Research Excellence Framework 2014**

### **1. The purpose of this document**

Every institution making a submission to the Research Excellence Framework 2014 is required by HEFCE to prepare and submit a code of practice for the selection of staff participating in REF 2014. Furthermore, it is required to ensure that the code of practice is implemented in full, in strict accordance with the legislative context set out in the Equality Act 2010 and provide confirmatory evidence. This document sets out the code of practice which describes the measures that have been put into place in order to ensure that the University of Derby is compliant with the law in its preparations for submission to the Research Excellence Framework 2014.

This document has been prepared with advisory input from the HR department. It has been considered and agreed by Research Excellence Framework 2014 Planning Committee, the University Equality and Diversity Committee, the University Research and Research Degrees Committee and finally approved by Academic Board. This document is due to be submitted to HEFCE REF Team by 31<sup>st</sup> July 2012. The REF Equality and Diversity Advisory Group will consider it and check that the code of practice is lawful and complies with the guidance provided by the REF Team set out in the document *Assessment framework and guidance on submissions* REF 02.2011, July 2011.

### **2. The four principles of transparency, consistency, accountability and inclusivity**

The HEFCE guidance document sets out clearly four principles which should be demonstrated by the institutional code of practice. These are:

- (i) **Transparency:** The code of practice should be clear, easily accessible and widely communicated to staff across the institution.
- (ii) **Consistency:** The code of practice must be consistent and uniformly applied across the institution.
- (iii) **Accountability:** The individuals and bodies responsible for informing and making decisions must be clearly identified.
- (iv) **Inclusivity:** The code should promote an inclusive environment.

This document aims to satisfy all four principles. The criteria and procedures contained in this document apply across the entire University.

### **3. The legislative context**

The Equality Act 2010 harmonised and consolidated previous anti-discrimination legislation. The Act protects the specific characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation. The Act prohibits direct and indirect discrimination and with the exception of marriage and civil partnership and pregnancy and maternity extends to people who are perceived to be associated with someone who has a protected characteristic listed above. It is lawful to treat a disabled person more favourably than a non-disabled person and HEIs are required to make reasonable adjustments for disabled people.

REF Panel Chairs, members and secretaries have received a briefing about the legislation which has instructed them to develop working methods and assessment criteria that encourage HEIs to submit the work of all their excellent researchers including those whose ability to produce four outputs or work productively throughout the assessment period has been constrained for reasons covered by the equality legislation.

#### 4. The commitment to its legal responsibilities

In selecting researchers for inclusion in Research Excellence Framework, the University is fully committed to meeting its legal responsibilities under the equality legislation outlined above. The University will comply with legislation relating to direct or indirect discrimination on grounds of age, disability, gender reassignment, marriage and civil partnership, political opinion, pregnancy and maternity, race, religion and belief including non-belief, sex, sexual orientation and the Welsh Language.

The University takes the view that it is advantaged by giving positive consideration for the inclusion of as many researchers as possible who meet the agreed standard of excellence. Exclusion on the grounds of any of the listed and protected characteristics is both illegal and totally counterproductive to the spirit and purpose of the REF submission. Where circumstances have constrained the productivity of a researcher, full consideration will be given to the possibility of submission of that researcher within the guidance set out in the document REF 01.2012 Sections 64 - 91.

**Age:** If a researcher has produced research of at least the threshold standard then s/he will not be excluded from selection as a consequence of their age.

**Disability:** legislation requires *reasonable* steps to be taken by the University to ensure that a person is not disadvantaged through having a disability. This includes physical and mental impairment and degenerating conditions. The University is expected to anticipate the needs of researchers with disabilities. The legislation extends to protect people who have had a disability in the past. This category is significant with regard to constraints in terms of productivity and special consideration will be necessary for researchers who have, or have had, a disability (REF 01.2012 Sections 64 - 91.)

**Gender reassignment, marriage or civil partnership or political opinion:** The University will observe the legislation and not exclude researchers from selection on any of these grounds.

**Pregnancy and maternity:** Researchers who have taken time out from their duties as a consequence of pregnancy and or maternity will be eligible for special consideration with regard to constraints in terms of productivity in accordance with the guidance set out in the document REF 01.2012 Sections 64 - 91. The University notes that the same consideration is due to those who are primary adopters.

**Race, religion, belief/non-belief and sexual orientation:** The University will observe the legislation and not exclude researchers from selection on grounds which relate to the race, religion, beliefs or sexual orientation of the researcher.

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**Sex:** Women who are breast feeding and partners who take additional paternity leave to which they are entitled in law will be eligible for consideration under the constraints on their productivity (REF 01.2012 Sections 64 - 91.)

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**Category of employment:** All staff who satisfy the criteria for Category A (REF 02.2011 Sections 78 -81) will be considered for inclusion. Researchers will **not** be excluded from selection or discriminated against on the grounds of holding part-time or fixed term positions.

#### 5. The threshold research output standard for entry is international class research (2\*)

The University plans to submit at least eight units of assessment to the Research Excellence Framework 2014. In accord with the primary purpose of this national exercise, only excellent research will be submitted for assessment. The REF 2014 Planning Committee has decided that

the threshold for entry will be research output which is judged to be at least **internationally recognised** in standard, that is **2\*** standard or higher. This does not mean that research which is judged to be of a lower standard is insignificant. Research of national excellence (1\*) may contribute valuable information to a field of enquiry but it is not of sufficiently high standard to be included in submissions to REF 2014. Research outputs must be 2\*, 3\* or 4\* in standard.

## **6. The people responsible for making the selection of researchers for submission**

The following people will contribute to the process of assessing the standard of the outputs produced by each prospective researcher seeking to be included in a submission.

- (i) The researcher himself/herself
- (ii) The external peer reviewer advising the Leader of the Unit of Assessment
- (iii) The Leader of the Unit of Assessment and the appointed UOA Advisor
- (iv) The Faculty Head of Research, The Head of School and The Dean of Faculty
- (v) The Head of Research
- (vi) The Pro Vice-Chancellor with responsibility for Research (Appeals only)

## **7. Individual staff circumstances**

The REF Team has identified two categories of individual staff circumstances which require consideration. These are (i) staff with clearly defined circumstances and (ii) staff with complex circumstances. Researchers who come into these categories may be submitted with **less** than the normally required four research outputs without incurring a penalty. It is therefore important to understand fully the circumstances which may be considered so that the maximum opportunity is given to the inclusion of excellent researchers.

### **7.1 Staff with clearly defined circumstances**

Early career researchers (ECR) are members of staff who satisfy criteria for categories A or C on the census date (31<sup>st</sup> October 2013) and who started their careers as independent researchers on or after 1<sup>st</sup> August 2009. They need to have held a contract of 0.2 FTE or greater in research or research/teaching in UK or overseas **and** undertaken independent research as a principal investigator of a significant piece of research. The inclusion of their name on a jointly authored research output is not deemed to be evidence of undertaking [leading] independent research. Research assistants are normally ineligible for submission to REF. Other circumstances which may be considered are part time working, maternity, paternity or adoption leave, career breaks and secondment. It may be more appropriate to consider some instances of maternity under the complex circumstances below.

### **7.2 Staff with complex circumstances**

More complex circumstances which require consideration include the following:

- Disability including temporary incapacity that lasts for at least 12 months. This includes people with cancer, multiple sclerosis and HIV.
- Mental health conditions or injury
- Constraints due to pregnancy or maternity including any medical issues arising from the pregnancy or maternity. Considerations also include laboratory and fieldwork restrictions which may have interrupted certain types of research.
- Adoptive parents returning to part-time work after adoptive leave in the period 1 January 2008 to 31 October 2013.
- Child care, care of elderly relatives or other caring responsibilities
- Gender reassignment

## 8. Training for staff involved in the decision making

The University will provide training for all staff involved in the decision making as listed in Section 6. This training will take the form of a REF Training Workshop. In addition, the senior managers will be supported by one-to-one or small-group tutorial sessions with the Head of Equality and Diversity in the HR department who leads equality and diversity developments at the University. Two REF workshops on the Code of Practice were given in February 2012 and these will be offered again in May 2012 and October 2012.

## 9. The selection criteria

The University affirms that selection of staff for inclusion will be based primarily on academic criteria but it will take into account circumstances which may have constrained individual productivity over the assessment period. The term unit of assessment refers to a team of researchers who are formally submitted as a team to a named REF sub-panels for assessment. It does not refer to a University research centre, research group or school although they may coincide. Some units of assessment will correspond to a research centre or research group. Other units of assessment will relate to two or more centres or groups. The criteria to be applied are as follows:

1. Normally, for inclusion as a Category A, the researcher must normally have produced **four** outputs, each of which is considered to be of at least international standard (2\*), since 1<sup>st</sup> January 2008. The outputs must be published or exhibited before 31<sup>st</sup> December 2013.
2. All researchers who satisfy the definition of an early career researcher (Section 7.1) must be identified as an Early Career Researcher. These researchers may submit four works or they may be fewer works without penalty. The University will be required to indicate the date on which they commenced their duties in teaching and research and provide details of their career history in REF 1b. In the case of other clearly defined circumstances the University will be required to provide details of the nature of the circumstances, their timing, duration, the total period of absence in the period 1<sup>st</sup> January 2008 to 31<sup>st</sup> October 2013 and the number of outputs returned.

Internally, this information will be *confidential* to the, UOA Leader and UOA Advisor, Faculty Head of Research, Head of School and Dean of Faculty. Externally, this information will be *confidential* to the REF Team and the Panel Members.

3. If a researcher has significant and complex special circumstances as listed in Section 7.2 which have constrained productivity, s/he may submit fewer than four works without penalty. The REF Team requires details of the circumstances which should be set out on the proforma designed by REF Team for this purpose. It is necessary to describe the nature and timing of the circumstances, explain the effects on the individual researcher's contracted hours or ability to fulfil the contracted hours; explain any other effects on the individual's ability to work productively and provide a calculation for the reduction in outputs and the number of outputs returned.

Internally, this information will be *confidential* to the Head of School and Dean of Faculty or the Equality and Diversity Manager in HR. Externally, this information will be *confidential* to the HEFCE Equality and Diversity Advisory Group and the Main Panel chairs.

The REF Sub-panels will be aware that there are complex circumstances but not the details. The Sub-panels will be informed regarding the reduction in the number of outputs which is acceptable without penalty.

So it is important that in the consideration of researchers for selection for inclusion in a REF submission, that full consideration is given to clearly defined or complex circumstances which may have prevented a researcher meeting the normal requirement of

four research outputs. It will be necessary to record the details in the format which will be required for the eventual submission in November 2013.

## **10. Explanation of the selection standard**

### **10.1 The internationally recognised class standard threshold (2\*)**

The internationally recognised quality standard (2\*) threshold is a demanding criterion but it is necessary for the University to be very selective indeed. Good to very good research which is judged to be of national excellence (1\*) is appreciated by the University for its contribution to the taught curriculum but the inclusion of 1\* research would not enhance a submission to the Research Excellence Framework. We have to aim for an overall internationally recognised quality in each submission and higher if possible in order to be competitive. All submitted researchers irrespective of personal circumstances which may have constrained the amount of productivity must satisfy this quality standard.

### **10.2 The contribution to impact**

In REF 2014, the assessment of impact will be weighted at 20% of the assessment. Although this is significant, the primary consideration must be the standard of the research output which is weighted at 65% of the assessment. However, if a researcher is considered borderline, a factor which should be taken into consideration is the potential contribution to the demonstration of impact which the researcher can make. Each submission of a UOA will require at least two case studies whereby impressive impact has been demonstrated to arise from excellent research. If the researcher provides the basis for an important case study, this might more than compensate for a slightly lower standard fourth publication. This will be a matter for fine judgement.

### **10.4 The defined period for the publication of research outputs**

The research outputs must be published or exhibited, as appropriate, within the period between 1<sup>st</sup> January 2008 and 31<sup>st</sup> December 2013. No variation is permitted. A *promised* publication date of December 2013 counts for nothing if in fact the work is not published until January 2014. In that scenario the late publication is discounted and the researcher is given an unclassified grade for that work. This can [and does] damage a unit outcome significantly. So publications simply must be published within the defined period.

Clearly, the risk is reduced by selecting four outputs which have already been published before the final submission date [29<sup>th</sup> November 2013]. If a very important work remains to be published it will be necessary to make an assessment of the probability of publication by 31<sup>st</sup> December. If an acceptable publication date is confirmed by the Publisher, this may be a risk worth taking but if the risk is greater, then it may not be tolerable.

### **10.5 The provisional selection of researchers in 2012**

During 2012, the University will decide whether or not to enter units of assessment. Final decisions will be taken in May 2013. In making that decision the REF 2014 Planning Committee will wish to see the list of prospective researchers for inclusion in the submission. Clearly, it is necessary to make a provisional decision on selection knowing that the list is likely to be amended during 2013.

Leaders of UOA are responsible for considering every researcher who submits a proforma requesting consideration for selection. The proforma (UD REF 1 Researcher Application for Submission) includes a section to detail any non-confidential circumstances which the researcher wishes to identify including the Early Career Researcher designation where this is appropriate. There is a separate Annex (UD REF 1 Annex) for *confidential* information regarding special circumstances which the researcher can submit to the Head of School or to the Equality and

Diversity Manager in HR. The Leaders of UOA are expected to include all researchers who they believe will in all probability satisfy the University criteria set out above. In some instances, perhaps only one or two of the necessary research outputs will have been published. Other works may be in their final stages but have good prospects of publication before the end-date. For details of the procedure, see Section 11. The Head of School or the Equality and Diversity Manager will advise regarding the inclusion of researchers who have submitted confidential information on UD REF 1 Annex.

Inclusion in the 2012 list of category A researchers is **provisional** and does not commit the University to enter that researcher. But it does indicate that they are included in the planned submission. Conversely, a researcher who is not included in the provisional selection and decision may still be considered and included in the final submission.

## **10.6 Selecting the four outputs for inclusion**

If a researcher has produced more than four strong outputs, the researcher is asked to recommend the best four on the proforma (UD REF 1) submitted to the Leader of the UOA who is advised to discuss the matter with the researcher. It is the peer view perception and assessment by the members of the Sub panel which will ultimately count. The researcher is advised to include the publications which have the greatest originality, rigour and significance. In some instances, this may be evidenced by citation statistics; or if only just published – may be self-assessed by the author.

In selecting works, it is essential to distinguish between scholarly works which are basically descriptive accounts and original studies which lead to a new understanding or insights. Descriptive works that do not lead to new insights are not considered to be research. It will be necessary to be very objective in the assessment of individual works.

## **11. The process of selection of Category A researchers for submission**

The selection process takes place in two stages. The first stage is a provisional selection of researchers in 2012, when the unit is seeking permission to prepare for submission. The second stage is the main selection which occurs as the UOA Leader is writing the submission. This will be during 2013.

### **11.1 Stage One: the provisional selection of researchers (January to April 2012)**

Stage one involves the individual researchers, the external adviser for the UOA, the UOA Leader, the appointed UOA Advisor, the Faculty Head of Research, the Head of School and the Dean of Faculty.

- (i) Every research who wishes to be considered for inclusion in a prospective submission of a UOA is invited to complete the electronic proforma (UD REF 1) which enables them to provide the essential details. The researcher is asked to self-assess their research outputs in terms of the standard of the research publication. The Leader of the UOA prepares a draft submission consulting his appointed UOA Advisor.
- (ii) Researchers who wish to submit information on complex circumstances should use the special proforma (UD REF1 Annex) which they submit confidentially to the Head of School. In this circumstance, the Head of School in consultation with the Faculty Head of Research decides whether the researcher should be included on the provisional list of Category A researchers. They also decide the number of outputs which should be listed and notify the UOA Leader accordingly. The circumstances remain confidential.
- (iii) The draft submission is sent to an external advisor who has been approved by the Head of Research and the PVC with responsibility for Research. The external adviser

moderates the assessments of the standards of the research outputs where the outputs have already been published and makes recommendations to the Leader of the UOA regarding the selection of the researchers.

- (iv) The UOA Leader submits the draft UOA submission to the senior management team in the faculty including the Faculty Head of Research, the Head of School and the Dean of Faculty. The UOA Leader must append all the applications for selection (UD REF 1) so that the senior management team can consider whether they agree with the non-selections. The UOA Leader and UOA Advisor attend the meeting to respond to questions. A record is kept of the meeting and the consideration of the non-selected researchers.
- (v) The draft is then forwarded to the REF 2014 Planning Committee. The Committee comments on the relative strengths and weaknesses of the prospective unit and it can indicate concerns, but it does not explicitly consider and approve the inclusion of individual researchers.
- (vi) Executive gives approval for the UOA to prepare a full submission for entry in 2013.

### **11.2 Feedback to non-selected applicants**

Since the selections made in 2012 are provisional only and are subject to full review in 2013, it is not necessary or appropriate to provide an appeal mechanism for stage 1. However, the UOA Leader must provide individual feedback to all researchers who submitted an application (UD REF 1). This feedback should normally be conveyed in writing by the UOA Leader in the feedback section of the UD REF 1 Researcher Application for Selection which is returned to each applicant. In addition the UOA Leader or UOA Advisor invites every non-selected researcher to a one-to-one meeting. The discussion should include advice on how the case for inclusion can be strengthened in 2013. It is important that every researcher is encouraged and feels valued for what they do.

### **11.3 Stage Two: the final selection of researchers (January to April 2013)**

At Stage Two, the process of selection of researchers for inclusion in the formal draft submission follows the following steps:

- (i) Researchers are invited to submit [revised] applications on UD REF 1, listing their four strongest works or, if there are individual circumstances the titles of their most important outputs. Each researcher self-assesses the standard of her/his publications and indicates a star grading for each output.
- (ii) As before, researchers who wish to submit information on complex circumstances should use the special proforma (UD REF 1 Annex) which they submit confidentially to the Head of School. In this circumstance, the Head of School in consultation with the Faculty Head of Research decides whether the researcher should be included on the provisional list of Category A researchers. They also decide the number of outputs which should be listed and notify the UOA Leader accordingly. The circumstances remain confidential.
- (iii) The draft submission is sent to the approved external advisor. The external adviser moderates the assessments of the standards of the research outputs where the outputs have already been published and makes recommendations to the Leader of the UOA regarding the selection of the researchers. The UOA Leader considers the recommendations of the external advisor and together with the appointed UOA Advisor comes to decisions regarding the inclusion of researchers.
- (iv) The UOA Leader submits the draft UOA submission to the senior management team in the faculty including the Faculty Head of Research, the Head of School and the Dean of

Faculty. The UOA Leader must append all the applications for selection (UD REF 1) so that the senior management team can consider whether they agree with the non-selections. The UOA Leader and UOA Advisor attend the meeting to respond to questions. A record is kept of the meeting and the consideration of the non-selected researchers.

- (v) The draft submission is forwarded to the REF 2014 Planning Committee which considers all aspects of the submission. It provides feedback on areas of perceived strength and areas for more work and revision.

#### **11.4 Feedback to non-selected researchers**

It is extremely important that all researchers who submitted an application receive informative constructive feedback from the UOA Leader or the UOA Adviser. This feedback should normally be conveyed in writing by the UOA Leader in the feedback section of the UD REF 1 Researcher Application for Selection which is returned to each applicant. In addition the UOA Leader or UOA Advisor must invite every non-selected researcher to a one-to-one meeting. The discussion should include reasons why the researcher was not selected on this occasion and advice on how to strengthen the case for future national assessments. It is important that every researcher is encouraged and feels valued for what they do. Nevertheless the threshold quality standard of 2\* plus must be upheld. Non-selected researchers should be informed that they may use the appeal mechanism if they are not satisfied (Section 12).

#### **11.5 Late decisions on selection**

It is inevitable that it will be necessary to take some late decisions regarding the selection of researchers. This is because new researchers may join the University, major publications are published earlier than expected, there are delays in publication or an appeal regarding non-selection is successful. After 30<sup>th</sup> June 2013, decisions on selection will be taken by the UOA Leader and UOA Advisor, the Faculty Head of Research, the Dean and the Head of Research. The Researchers must submit the UD REF 1 Researcher Application for Selection for consideration. The Appeal process will remain in place until 1<sup>st</sup> October 2013 (TBC) and will then be discontinued.

### **12. Appeal against non-selection of a researcher in a submitted unit**

A researcher who has submitted an application for selection (UD REF 1) but has not been accepted for inclusion in a unit of assessment which is to be submitted is entitled to make an appeal. The University aims to find a way of submitting every excellent researcher in the University in REF 2014. The increase in the number of prospective units for submission compared to RAE 2008 should ensure that this aim is realised. However, a member of staff cannot appeal *if an appropriate unit of assessment which is relevant to their research* is not being prepared for submission.

Appeals must be made within three weeks of the written feedback from the UOA Leader or UOA Advisor indicating non-selection for REF 2014. The one-to-one feedback meeting may mitigate the reasons for the appeal and satisfy the researcher in which case the appeal may be withdrawn.

Appeals must be submitted on the designated proforma (UD REF 2 Researcher Appeal regarding Non-selection for submission). The appeal should be submitted to the Pro Vice-Chancellor with the remit for Research who will consider the evidence with a disinterested research manager and dean from a faculty not previously involved in this decision. A member of the HR department and a member of a Union may attend as observers. The panel will meet with the appellant, who may be accompanied by a member of staff of the University. The panel will also meet with the UOA Leader, UOA Advisor, Head of School or Dean of Faculty and Head of Research who were responsible for the decision not to select the researcher.

The panel will take into account all relevant evidence including the following:

- The criteria setting out the standard of research output required;
- The UD REF 1 Researcher Application for Selection together with the Feedback
- The information (if any) regarding special circumstances
- a statement from the Faculty Head of Research setting out the process of consideration and the reasons for the decision not to include the researcher in the submission;
- any relevant information provided by the HR Department.

The decision of the Pro Vice-Chancellor with responsibility for Research is final. If the Appeal is upheld, all practical steps will be taken to include the researcher in the relevant UOA submission. The repercussions of making any changes to the staff listed in Category A are significant and will be impractical after the census date 31<sup>st</sup> October 2013. For this reason, the Appeals process will close on 1<sup>st</sup> October 2013.

### **13. Dissemination of this Code of Practice**

In recognition of the importance of the information contained in this Code of Practice on the selection of researchers for inclusion in submissions to the Research Excellence Framework 2014, this document has been circulated in the following ways:

- Discussed and agreed by the REF 2014 Planning Committee which includes all UOA Leaders and Advisors
- Sent to the Deans of Faculty
- Discussed by the directors of the Research Centres and the Heads of Research Groups across the University
- Publicised in the November issue of Corporate Business Information sent to all staff
- Placed on the University intranet web site for the Research Excellence framework
- Presented in two REF Workshops open to all staff by the Head of Research, February 2012 and to be repeated in May 2012 and again in October 2012..

### **14. Equality Impact Assessments**

HEFCE requires the University to conduct an equality impact assessment on this policy and procedures. HEFCE requires a thorough and systematic analysis to determine whether the University's staff selection policy may have a differential impact on particular groups. It is also expected to inform any revision of the policy which may be deemed necessary as the result of perceive imbalances. The University will comply with this requirement by conducting an EQA of the preliminary position in spring 2012 after the initial selection process. Any revision deemed necessary will be implemented before the final selection in 2013. A second EQA will be conducted after the submission. The EQAs will be conducted at institutional level because the numbers at UOA level will be too small to be significant. The University will publish the EQAs after submission.

Paul H Bridges  
Head of Research

Document written in July 2011 and fully rewritten 1<sup>st</sup> September 2011  
Initially considered by REF 2014 Planning Committee on 12<sup>th</sup> July 2011 and reconsidered on 21<sup>st</sup> September 2011  
Considered and agreed by the University Research and Research Degrees Committee on 21<sup>st</sup> September 2011  
Considered and agreed by the University Equality and Diversity Committee, 27<sup>th</sup> September 2011  
**Approved by Academic Board 12<sup>th</sup> October 2011**  
Updated to refer to the revised assessment criteria and working methods published in January 2012

## Framework 2014

Please read the introductory guidance before completing the form. You can paste in citation information.

**IMPORTANT GUIDANCE:** The University wishes to submit every researcher who meets the criteria in terms of quality and quantity of output. The Research Excellence Framework is designed to assess work which is of very high quality and the University has defined this as research which is internationally recognised (two star) or higher. This is a very demanding standard and much good or even very good research does not meet the two-star standard. Normally, each researcher must have produced four outputs of this standard since 1<sup>st</sup> January 2008 but if you are an early career researcher, or are on a part time contract or have medical circumstances which have adversely affected your ability to complete four outputs it may still be possible to be included. You will be able to report such circumstances on this form. We want to include every researcher that we can but the quality of the research must be evident. So please check the following. We can only include you if:

- The quality of your research is internationally recognised [two-star] or higher **and**
- You publish **four** outputs of this quality between 1<sup>st</sup> January 2008 and 31<sup>st</sup> December 2013\*

Internationally recognised research is rigorous research which makes a very significant contribution to the discipline

\*We may be able to enter you with fewer outputs if any of the following apply

- You are an early career researcher - defined as starting your first academic contract after 1<sup>st</sup> August 2009
- You hold or have held a part time contract during part of the period since 1<sup>st</sup> January 2008
- You have been pregnant and have taken maternity leave in the period since 1<sup>st</sup> January 2008
- You have had paternity leave in the period since 1<sup>st</sup> January 2008
- You have a disability
- You have had a medical condition which has affected your ability to work
- You have been affected by a combination of the above circumstances

If any of these apply, please use this form to set out your circumstances. If you have complex circumstances which you wish to disclose *confidentially*, you may do this by using the form **UD REF Annex**. The Annex will only be considered by the Head of School or the Dean who will advise the UOA Leader on the appropriate allowance in terms of reduced acceptable number of outputs. Please see the HEFCE Guidance (July 2011) on the characteristics of internationally recognised research and also the [proposed] HEFCE REF criteria and procedures (August 2011).

### GENERAL INFORMATION

1	Name		Date of application	
2	School		e-mail address	
3	Research Centre or Research Group			
4	<b>To which Unit of Assessment do you wish to apply?</b> This must be one of the UOA which the University plans to enter. These are: UOA 4 Psychology, UOA 5 Biological Sciences, UOA 7 Earth Systems, UOA 11 Computer Science, UOA 15 General Engineering, [possibly UOA 23 Sociology], UOA 25 Education, UOA 34 Art and Design and UOA 36 Communication, Cultural and Media Studies			Please give the number and title of the UOA

### FIELD OF RESEARCH AND RESEARCH OUTPUTS

5	Briefly outline your field of research	
6.	<b>Please list your strongest research outputs which have been published/exhibited since 1<sup>st</sup> January 2008</b> <b>Please indicate your assessment of the star rating of each publication (u/c, 1*, 2*, 3* or 4*)</b>	
	Please cite up to six works using the full standard reference citation. Please do <b>not</b> list works in press or in preparation here. If any of the publications might be considered as a double weighted output – please indicate – “possible double weighted”	

<b>7</b>	<b>Please list any further strong research works which are in press – i.e. firmly accepted awaiting publication Please indicate your assessment of the star rating of each prospective publication (u/c, 1*, 2*, 3* or 4*)</b>		
	Please cite works using the full standard reference citation. Please do <b>not</b> list works which are in preparation. If any of the works in press might be considered as a double weighted output – please indicate – “possible double weighted”		
<b>8</b>	<b>Please list any further important research works which you plan to publish by December 2013 Please indicate the realistic target star rating of each planned publication (u/c, 1*, 2*, 3*or 4*)</b>		
	Please give the working title and the planned destination for each work		
<b>9</b>	<b>Impact of research: Has any of your research led to considerable social or cultural benefits?</b>		
	The research needs to have been conducted at the University of Derby and published since 1 <sup>st</sup> January 1993. The impact need to be evident in the assessment period for impact which is 1 <sup>st</sup> January 2008 to 31 <sup>st</sup> July 2013.		
	Please cite the relevant research publication(s) or exhibition(s) and briefly describe the impact and give your realistic opinion of the star rating that should apply.		
<b>10</b>	<b>Personal circumstances</b>		
	If personal circumstances have prevented you from being fully productive then you may submit less than four research outputs without penalty. You can still enter four works if the quality is uniformly high. Straight forward circumstances should be disclosed here on this form and will be considered by the UOA Leader and UOA Adviser. More complex circumstances should be disclosed <i>confidentially</i> using the separate form <b>UD REF 1 Annex</b> which will only be considered by your Head of School or Dean. If you have a disability and/or a combination of health circumstances, then these are defined as complex.		
	There are complex circumstances which I will disclose in the confidential <b>UD REF 1 Annex</b> . If you have complex circumstances there is <b>no</b> need to complete the sections A to E below. You can do this in <b>UD REF 1 Annex</b> .	Yes /no	I propose to submit the following number of works (1, 2, 3 or 4)
	<b>Clearly defined personal circumstances</b> Clearly defined circumstances are listed below: please provide details of nature, dates and duration of each circumstance in months. The census date is 31 <sup>st</sup> October 2013. You can cite more than one circumstance – for example you may be an ECR and hold a part time contract		
<b>A</b>	<b>Early Career Researcher</b> Defined has starting first contract as a teacher/researcher (>0.2 FTE) after 1 <sup>st</sup> August 2009 Please see full definition in REF Guidance paragraphs 85 & 86.	Start date:	Total period in months from start date to census date 31 <sup>st</sup> October 2013:
<b>B</b>	<b>Part time contract</b> If you held a PT contract for a time during the REF assessment period then this should be disclosed here	Dates of contract(s):	Fraction of FT contract: Total period of PT contract to census date in months:
<b>C</b>	<b>Pregnancy and maternity leave</b> please indicate the number of pregnancies and the dates and periods of maternity leave. If the pregnancy also affected subsequent work please use <b>UD REF Annex</b>	Number of pregnancies	Dates of maternity leave: Total period in months:
<b>D</b>	<b>Paternity or adoption leave</b>	Dates of leave:	Total period in months:
<b>E</b>	<b>Secondment or career break outside HE sector</b> during which you did not undertake academic research	Dates of secondment/break	Total period in months
	If you have a disability or have experienced a medical condition or a combination of health related circumstances then please use the separate form UD REF Annex		
<b>11</b>	<b>Date of application</b>	<b>Proposed number of works to be submitted</b>	
<b>12</b>	<b>Decision and feedback to applicant including the number of works that should be submitted</b>		
	Feedback and guidance		
	<b>UOA Leader</b>	<b>Date</b>	

## Confidential disclosure of complex circumstances

### IMPORTANT GUIDANCE:

This form is designed for you to be able to disclose clearly defined circumstances **and** confidential information regarding complex personal circumstances which have affected your research output.

You should submit the **UD REF 1 only** to the appropriate UOA Leader and send the **UD REF 1 and** this **UD REF 1 Annex** to your Head of School **or** the Equality and Diversity Manager in HR.

The information contained in this form will only be known to your Head of School or ED Manager. S/he will then consider the information and inform the UOA Leader as to the number of works which may be submitted to REF 2014, according to the REF guidance without incurring a penalty. The Head of School will not be making any assessment of the quality of your research. This consideration of personal circumstances does not lead to any allowance or concession regarding the quality of the research. The aim is to enable the researcher to submit less than the normal requirement of four works without incurring any penalty.

The HEFCE REF assessment criteria document (January 2012) provides guidance. The basic approach will be for the Head of School to make an estimate of the number of months within the assessment period which have been affected by the named circumstances and also estimate of the severity of the circumstances. S/he may need to subdivide the period and analyse each period in terms of relative severity of circumstances and your working effectiveness. There may have been times when two or more circumstances were affecting your work at the same time. The Head of School/ED Manager will aim to arrive at an overall opinion of your working effectiveness over the full period of REF 2014 assessment and then advise the UOA Leader as to the number of works that you can submit without penalty.

If you are submitted to REF 2014, the confidential information will only be considered by the REF Equality and Diversity Advisory Panel and not by the Panels and Sub panels. The EDAP will inform the secretary to the Panel of their decision in terms of the number of outputs required, but not the details.

	Name		School	
	Centre or Group		UOA number	
<b>1</b>	<b>DISCLOSURE OF CLEARLY DEFINED CIRCUMSTANCES</b>			
	<p>First of all please indicate if any of the <b>clearly defined personal circumstances</b> have affected your working effectiveness.</p> <p>Please provide details of nature, dates and duration of each circumstance in months.</p>			
<b>A</b>	<b>Early Career Researcher</b> Defined as starting first contract as a teacher/researcher (>0.2 FTE) after 1 <sup>st</sup> August 2009. Please see full definition in REF Guidance paragraphs 85 & 86.	Start date	Total period in months from start date to census date 31 <sup>st</sup> October 2013:	
<b>B</b>	<b>Part time contract</b> If you held a PT contract for a time during the REF assessment period then this should be disclosed here	Dates of contract(s):	Fraction of FT contract:	Total period of PT contract to census date in months:
<b>C</b>	<b>Pregnancy and maternity leave</b> please indicate the number of pregnancies and the dates and periods of maternity leave. If the pregnancy also affected subsequent work please use <b>UD REF Annex</b>	Number of pregnancies	Dates of maternity leave:	Total period in months:
<b>D</b>	<b>Paternity or adoption leave</b>	Dates of leave		Total period in months
<b>E</b>	<b>Secondment or career break outside HE sector</b> during which you did not undertake academic research	Dates of secondment/break		Total period in months

Please see next page for complex circumstances

2 DISCLOSURE OF COMPLEX CIRCUMSTANCES			
<p><b>Complex circumstances</b> may arise from combinations of clearly defined circumstances, disability, medical conditions or from combinations of any of these. Please use the sections below to disclose the circumstances which have affected your ability to work effectively during the assessment period for research outputs which is 1<sup>st</sup> January 2008 to 31<sup>st</sup> December 2013. For each circumstance listed below (A, B, C, D and E) which applies, please give a description of the circumstances and the impact on your work effectiveness. <b>IMPORTANT:</b> Please also indicate the dates to which the circumstances relate and indicate the total number of months which have been affected.</p>			
<b>A</b>	Disability	Dates and period of time in months	Please explain the impact on work effectiveness
<b>B</b>	Ill-health or injury	Dates and period of time in months	Please explain the impact on work effectiveness
<b>C</b>	Constraints associated with pregnancy	Dates and period of time in months	Please explain the impact on work effectiveness
<b>D</b>	Child care or other caring responsibilities	Dates and period of time in months	Please explain the impact on work effectiveness
<b>E</b>	Other circumstances related to characteristics protected in Law	Dates and period of time in months	Please explain the impact on work effectiveness
Do you wish to give any more information regarding the effects of the combination of the disclosed circumstances on your work effectiveness?			
<b>11</b>	Date of application		Proposed number of works to be submitted (1, 2, 3 or 4)
<b>12 Decision and feedback to applicant including the number of works that should be submitted</b>			
Feedback to applicant			
<b>Head of School or Equality &amp; Diversity Manager</b>			<b>Date</b>

PHB/updated 28<sup>th</sup> February 2013