

# rae2008

Research Assessment Exercise

## Guidance on submissions

June 2005

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## RAE 2008 Guidance on submissions

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<b>To</b>	Heads of HEFCE-funded higher education institutions Heads of HEFCW-funded higher education institutions Heads of SHEFC-funded higher education institutions Heads of universities in Northern Ireland
<b>Of interest to those responsible for</b>	Research assessment; Research policy; Planning
<b>Reference</b>	RAE 03/2005
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## **Executive summary**

### **Purpose**

1. This document specifies the content and data requirements for submissions in the 2008 Research Assessment Exercise (RAE) and guides higher education institutions on policy and practical matters in preparing submissions.

### **Key points**

2. In December 2006 the four UK higher education funding bodies will invite all eligible UK higher education institutions to make submissions in the 2008 RAE. Submissions will contain a common set of data comprising:

- information on staff in post on the census date, 31 October 2007
- details of publications and other forms of assessable output which they have produced during the publication period (1 January 2001 to 31 December 2007)
- data about research students and research income and a written commentary relating to the assessment period (1 January 2001 to 31 July 2007).

Submissions will be assessed in the course of 2008. The results, which the higher education funding bodies intend to use in calculating research grants from academic year 2009-10, will be published in December 2008.

### **Action required**

3. This document is for information and to guide institutions in collecting data for inclusion in RAE 2008 submissions. No action is required by higher education institutions at this stage.

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## Introduction

4. This document sets out the administrative arrangements and data requirements for submissions to the 2008 Research Assessment Exercise (RAE). It should be read in conjunction with the statements of working methods and assessment criteria (panel criteria) of the 15 main panels and 67 sub-panels, which we will publish on the RAE web-site in draft form for consultation in July 2005 and in final form early in 2006. This document and the panel criteria will describe comprehensively the data requirements and how panels will use the data in their assessments. We may issue supplements to this guidance at later dates to clarify points of detail on the data definitions that could assist higher education institutions (HEIs) in preparing submissions, but such supplements will not request any new items of data.

5. In December 2006 we will formally invite eligible HEIs to make submissions for assessment. A technical manual on how to make submissions will accompany that invitation.

6. This document contains the following parts:

### a. Part 1 Overview of the 2008 RAE

- i. Purpose
- ii. General principles
- iii. Key changes since RAE 2001 'Guidance on submissions'
- iv. Assessment method, units of assessment and assessment panels
- v. Timing and publication of results and of submissions
- vi. Code of practice on preparing submissions and selecting staff
- vii. Method of submission
- viii. Data verification and access to research outputs
- ix. Data protection

### b. Part 2 Form and content of submissions

- i. Multiple submissions
- ii. Joint submissions

- iii. Interdisciplinary research, arrangements for cross referral and specialist advice
- iv. Content of submissions

### c. Part 3 Data requirements and definitions

- i. General definitions
- ii. Section 1 Staff details (RA0 and RA1)
- iii. Section 2 Research outputs (RA2)
- iv. Section 3 Research students and studentships (RA3a and RA3b)
- v. Section 4 Research income (RA4)
- vi. Section 5 Research environment and esteem (RA5a), individual staff circumstances, (RA5b) and Category C staff circumstances (RA5c)

### d. Annexes

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|---------|---|
| Annex A | Quality profiles and definitions of quality levels  |
| Annex B | Definition of research for the RAE  |
| Annex C | Units of assessment   |
| Annex D | Timetable   |
| Annex E | Summary of data requirements (table)  |
| Annex F | Standard data analyses  |
| Annex G | Guidance from the Equality Challenge Unit on drawing up a code of practice on preparing RAE submissions |
| Annex H | Related and forthcoming publications  |
| Annex I | Glossary of terms   |
| Annex J | List of abbreviations   |

7. Enquiries should be addressed to the RAE team and should be routed wherever possible through the individual HEI's designated RAE contact.

## Part 1: Overview of the 2008 Research Assessment Exercise

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### Purpose

8. The RAE is conducted jointly by the Higher Education Funding Council for England (HEFCE), the Scottish Higher Education Funding Council (SHEFC), the Higher Education Funding Council for Wales (HEFCW) and the Department for Employment and Learning, Northern Ireland (DEL). The RAE is managed by the RAE team, based at HEFCE, on behalf of the four UK higher education funding bodies. In this document, 'we' refers to the RAE team.

9. The primary purpose of RAE 2008, the fourth such national exercise since 1992, is to produce quality profiles (see paragraph 30 and Annex A) for each submission of research activity made by institutions. The four higher education funding bodies intend to use the quality profiles to determine their grant for research to the institutions which they fund with effect from 2009-10. Any HEI in the UK that is eligible to receive research funding from one of these bodies is eligible to participate.

10. The definition of research for RAE 2008 is at Annex B. It is virtually the same as that used in RAE 2001: we have made minor amendments to the phrasing of the definition used in 2001 that clarify but do not change its meaning.

### General principles

11. The following principles govern the conduct of the RAE. They set the framework in which the RAE team coordinates the exercise and in which the 15 main panels and 67 sub-panels will deploy their collective professional judgement to draft criteria for assessment and to assess submissions (see RAE 01/2005 'Guidance to panels').

12. **Equity.** All types of research and all forms of research output shall be assessed on a fair and equal basis. Panels have been instructed to adopt assessment processes and criteria that enable them to recognise and treat on an equal footing excellence in research across the spectrum of applied, practice-based and basic/strategic research, wherever that research is conducted.

13. **Diversity.** Submissions to RAE 2008 will reflect the diversity of excellent research conducted

across the UK higher education sector. We are developing processes for the 2008 RAE that are sufficiently flexible to encourage that diversity. Accordingly, we have instructed panels to define appropriate criteria for identifying excellence in different forms of research endeavour, while attaching no greater weight to one form over another; and to make provision to recognise the diversity of evidence for excellent research.

14. **Equality.** HEIs are encouraged to submit the work of all their excellent researchers, including those whose volume of research output has been limited for reasons covered by equal opportunities guidelines. To comply with equal opportunities monitoring legislation, we will require HEIs to confirm that they have developed, adopted and documented an appropriate internal code of practice in preparing submissions and selecting staff for inclusion in RAE submissions (see paragraphs 35-38). We have already briefed panels on all current and pending equal opportunities legislation that will affect RAE 2008 (see RAE 02/2005 'Equality briefing for panel chairs, members and secretaries') and the panel criteria will take account of this.

15. **Expert review** is central to the RAE. Widespread confidence in discipline-based expert review founded upon academic judgements was upheld in consultations following Sir Gareth Roberts' Research Assessment (RA) review. To maintain this confidence, we have appointed panels of experts who are currently or have recently been active in high quality research. While these experts will draw on appropriate quantitative indicators to support their professional assessment of RAE submissions, expert review remains paramount.

16. **Clarity.** We aim to make all written documents and statements about the RAE clear and consistent. This principle guides the preparation of both written briefing documents from the RAE team and of panel criteria statements.

17. **Consistency.** Assessments made in the RAE should be consistent across cognate areas. Following consultation on proposals for the conduct of RAE 2008, we have grouped under

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the leadership of each of 15 main panels, a group of broadly cognate sub-panels for units of assessment that share broadly similar research approaches. Main panels are working with sub-panels to define and agree criteria and working methods that are appropriate to the unit of assessment and provide for consistent approaches. Main panels will also ensure consistent application of the quality standards in the quality profiles awarded to submissions.

18. **Continuity.** The RAE has developed through an evolutionary process, building on and learning from previous RAEs. With every successive exercise a balance has to be struck between continuity and development. Enhancements to RAE 2008 follow from extensive review and consultation, and have been adopted where it is judged they can bring demonstrable improvements which outweigh the cost of implementing them.

19. **Credibility.** As was demonstrated through responses to the RA review and the funding bodies' subsequent consultation on the conduct of the RAE, the fundamental methodology, format and processes employed in the exercise – that is, discipline-based expert review founded upon academic judgements – are credible to those being assessed. We will maintain this credibility through due process, by upholding the integrity of the assessment process through careful guidance to panels and by assuring the integrity of data in submissions through data verification.

20. **Efficiency.** The cost and burden of the RAE should be the minimum possible to deliver a robust and defensible process. Previous RAEs have been highly cost-effective given the value of public funds distributed through their ratings (including the estimated cost to HEIs). For example, we estimated the costs of the 1996 RAE in England to be some 0.8 per cent of the value of public research funding subsequently allocated with reference to its results. We will continue to weigh the burden on institutions against the need to ensure accountability in disbursing public funds.

21. **Neutrality.** The RAE exists to measure the quality of research in HEIs. It should carry out that function without distorting the activity that it measures and it should not encourage or discourage any particular type of activity or

behaviour other than providing a general stimulus to the improvement of research quality overall.

22. **Transparency.** The credibility of the RAE is reinforced by transparency about the process through which decisions are made. This principle is central to the funding bodies' work. It has already been applied throughout the RA review and the funding bodies' subsequent consultation. Decisions and decision-making processes will be explained openly.

### **Key changes since RAE 2001 'Guidance on submissions'**

23. The data requirements and definitions build on those for the 2001 RAE but do differ, so HEIs should not rely on their knowledge of the data requirements in previous years. Amongst the changes, we draw particular attention to:

- a. The abolition of Category A\* staff, which was introduced for the 2001 RAE.
- b. The abolition of the distinction we made in previous RAEs between general funds, NHS funds and specific funds in reporting sources of salary for selected staff.
- c. The withdrawal of the facility in the 2001 RAE to submit, alongside the research output of selected staff, research outputs produced by their supervised research students or research assistants.
- d. The end of the publication period on 31 December 2007, which is one month after the submission deadline (30 November 2007) and five months after the end of the assessment period (31 July 2007) to which the other data about research students, income, environment and esteem must relate. This change recognises the fact that many research outputs that are published in print and other media bear only the year of publication and not the month. Therefore, it would not be possible to verify that an item bearing a 2007 year of publication had in fact been published by any date earlier in the year than 31 December. Paragraphs 44 and 45 explain the arrangements for HEIs to submit research outputs whose publication is pending between 30 November and 31 December 2007.

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- e. Our intention to collect certain categories of research outputs in electronic format alongside submissions (see paragraph 96).
  - f. The combining of forms RA5 and RA6 in the 2001 RAE into one form, RA5a that describes the research environment and evidence of esteem. The panels will specify the format of RA5a in their criteria statements (see paragraph 154 to 158).

Furthermore, we are no longer collecting information on staff who have not been selected for assessment for the RAE. However, for the 2007-08 (and subsequent) Higher Education Statistics Agency (HESA) individualised staff records, there will be a continuing requirement for institutions to indicate whether each eligible member of staff was selected for assessment in the 2008 RAE, and to assign non-selected staff to units of assessment. This is necessary so that the HE funding bodies can fulfil their obligations for equal opportunities monitoring under the Race Relations (Amendment) Act 2000 (see paragraphs 35 to 38).

### **Assessment method, units of assessment and assessment panels**

24. Institutions will make submissions by 30 November 2007. Each submission will contain, in summary:

- information on staff in post on the census date, 31 October 2007
- details of publications and other forms of assessable output which they have produced during the publication period (1 January 2001 to 31 December 2007)
- data about research students and research income and a written commentary relating to the assessment period (1 January 2001 to 31 July 2007).

25. Sixty-seven sub-panels will conduct a detailed assessment of submissions within 67 units of assessment (UOAs). They will work under the guidance of 15 main panels. For each submission assessed each sub-panel will provide a provisional quality profile to the main panel for endorsement.

26. The UOAs are listed in Annex C. Some UOAs have been reconfigured since the 2001 RAE as described in RAE 03/2004 'Units of assessment and recruitment of panel members'. A description of each UOA will be published in the panel criteria statements. Each will indicate the key subject areas the UOA covers, but will not give an exhaustive account of the disciplines it encompasses. HEIs should refer to the UOA descriptions when deciding in which UOAs to make submissions.

27. As we indicated in RAE 01/2004 'Initial decisions by the UK funding bodies', we have tried to ensure that the membership of the main and sub-panels comprises individuals who have experience in conducting, managing and assessing high quality research, as well as experts who are well-equipped to participate in the assessment of applied and practice-based research from a practitioner, business or other user perspective. The process for appointing panel members is described in RAE 03/2004 'Units of assessment and recruitment of panel members' and the membership of each panel is at [www.rae.ac.uk/panels](http://www.rae.ac.uk/panels). The panel criteria statements detail how they will assess a broad range of research, including applied research relevant to users in industry, commerce and the public sector.

28. As with previous RAEs, the assessment process is based on expert review: panels will use their professional judgement to form a view about the quality profile of the research described in each submission, taking into account all the evidence presented. Annex A describes in more detail how panels will formulate quality profiles.

29. Panels will assess submissions between January and November 2008. A timetable for the exercise is at Annex D.

### **Timing and publication of results and of submissions**

30. A quality profile for each submission will be published in December 2008. It will profile the proportions of research activity judged to meet each of four 'starred' quality levels, in multiples of 5 per cent. The profile for a submission that

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contains no research that meets or exceeds the one star threshold will be 100 per cent unclassified. If a submission contains no work that meets the definition of research for the RAE, it will not be awarded a quality profile. Annex A describes how we will formulate and present quality profiles, including the rounding methodology.

31. Alongside the quality profile, the funding bodies will publish the full-time equivalent (FTE) number of staff included in each submission (submitted staff). Unlike previous RAEs, we will not collect any information about staff who have not been included in submissions at either institutional level or at UOA level (non-submitted staff). Therefore, panels will only receive for assessment information about submitted staff. In reaching their judgements, panels will not take account of any information about non-submitted staff.

32. Reports and feedback from the exercise will be available early in 2009. In 2007 we will publish information about the form of reports and feedback. The feedback is expected to comprise:

- a. A published report by each main panel confirming its working methods and giving a brief account of its observations about the state of research (strengths, weaknesses and vitality of activity) in the areas falling within its remit.
- b. Feedback on each submission summarising the reason for the quality profile awarded with reference to the published criteria of the sub-panel that assessed it. We expect to send this feedback only to the head of the institution concerned. In the case of joint submissions, we will provide this feedback confidentially to the heads of all of the institutions involved.

33. We will also publish on the internet those parts of submissions that contain factual data and textual information about research activity. We anticipate publishing submissions in the spring of 2009. We will include the names of selected staff and the listings of research output but remove personal and contractual details, and details of the

future research plans of institutions. We will present aggregate data on research students, research assistants supervised, and income. The data collection software will include a facility for HEIs to mark as confidential the names of any staff or other data that should be omitted from the published data for reasons of security.

34. The results of the RAE are not subject to appeal. The funding bodies have taken legal advice about the absence of a formal appeals process and it has been determined that this absence does not make the RAE process less robust. There are two main types of appeal process that could be developed:

- either a process for appealing against the validity of the actual quality profile awarded in a specific case
- an appeal based on the procedures employed to reach the final outcome.

We consider that developing a system for appeal against the validity of quality profiles awarded would not be cost-effective as it would effectively constitute a 'shadow' panel system. Developing a system for appeals on procedural grounds mirrors the judicial review process.

### **Code of practice on preparing submissions and selecting staff**

35. Compliance with equal opportunities legislation is an obligation for HEIs. For their part the four UK higher education funding bodies have a statutory obligation as public bodies to positively promote a range of equalities issues, currently in respect of race, and quite probably by the time of the 2008 RAE in respect of gender and disability. The RAE team is assisting the funding bodies in meeting their statutory obligations in a number of ways.

36. First, we are ensuring that all panels are briefed on current and pending equal opportunities legislation that will affect RAE 2008. We have instructed panel members to take account of equalities issues that may have a bearing on the volume of research undertaken and published by submitted researchers in the 2008 RAE. These issues are detailed in RAE 02/2005

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‘Equality briefing for panel chairs, members and secretaries’. Panel criteria will explain how the panels will take account of these issues in assessing submissions.

37. Second, we are encouraging HEIs to submit the work of all their excellent researchers, including those whose volume of research output has been limited for reasons covered by equal opportunities guidelines. HEIs will be invited to flag the contributions of such colleagues and to use a confidential section of the submission to describe the circumstances affecting their contribution to the submission (see paragraphs 159 to 162).

38. Third, we will require the head of each HEI making an RAE submission to confirm that the HEI has, in preparing its submissions and selecting staff for inclusion, developed, adopted and documented an appropriate internal code of practice, which attends to all relevant equal opportunities legislation in force on the submission date. The requirement for a code of practice will both satisfy the funding bodies’ equal opportunities obligations to monitor the effects of their policies, and support HEIs in meeting their own legal obligations. Clearly, managerial decisions on which staff to submit are at the discretion of HEIs but they will need to be defensible. In collaboration with the Equality Challenge Unit (ECU) we have developed guidance to HEIs in drawing up a code of practice that frames their decision-making processes in the context of the principle of equality of opportunity and all relevant legislation. This is at Annex G. HEIs are not required to submit their code alongside their RAE submissions, but we may require them to submit it as part of the data verification procedures described in paragraphs 41-47. We will also extract and pass to HESA the following data from RA1 to enable verification: for each individual submitted as research active in categories A and B, their UOA, HESA staff identifier code and date of birth. Hence, HEIs should ensure that decisions documented in line with their code of practice are consistent with relevant parts of their annual individualised staff return to HESA. The 2007-08 (and subsequent) HESA individualised

staff return will require HEIs to return the UOA for all academic staff, including those not selected for inclusion in RAE 2008.

## **Method of submission**

39. For the 2008 RAE, we are developing special purpose software to collect submissions from HEIs, on behalf of the four funding bodies. This data collection system will differ from that used in the last two RAEs: it will be a web-based application using a database hosted at HEFCE and will be the only way HEIs can make a submission to the RAE. A pilot version of the system will be made available to HEIs by August 2006. The final version will be available by December 2006.

40. Data entry will not be limited to direct entry on screen but will also allow HEIs to import data in various file formats, including XML files (the XML schemes are available at [www.rae.ac.uk](http://www.rae.ac.uk)). All communications between the web server and client machines in institutions will be encrypted. Access to the database before the submission date will not be permitted to anyone other than authorised personnel within each HEI and to HEFCE’s system administrators.

## **Data verification and access to research outputs**

41. All information provided by HEIs in submissions to the 2008 RAE must be capable of verification. We will check a proportion of submissions from each institution as a matter of course. Panel members will also be asked to draw attention to any data that they would like us to verify and this data will be investigated. HEIs should therefore be able to provide detailed justification for all information submitted.

42. Where possible, submission data will be compared with other available datasets including HESA returns, other surveys conducted by the four funding bodies, and information held by the Research Councils. As the basis of return for some datasets may differ, an exact match might not be possible. However, where there appear to be major differences between submission data and other returns, we will investigate further. We will

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issue a fuller statement on the verification arrangements for RAE data, including action we will take when serious discrepancies are found, at a later date.

43. We remind HEIs that they must be able to make available, or arrange access to, any item of output cited,<sup>1</sup> especially those that have not already been collected in electronic format with the submission (see paragraph 96). Outputs may be requested for verification as well as for panels to assess them.

44. HEIs should note that research outputs are only eligible for submission if their actual date of publication or dissemination is within the publication period. Where it is unclear, we will require HEIs to submit evidence of the actual date of publication or public dissemination of research outputs, particularly where an item bears a date which is outside the limits of the publication period (1 January 2001 to 31 December 2007).

45. For verification, we may require institutions to physically submit any output listed in a submission that is pending publication between the submission date and the end of the publication period (that is, 30 November 2007 to 31 December 2007). If an HEI cannot make available a requested item of output or provide evidence of its publication within the publication period, that item will be removed from the submission and excluded from assessment. There will be no opportunity to submit a substitute item.

46. Where an HEI is unable to verify any piece of information contained in its submission, that information will be excluded from assessment. The funding bodies will consider what further action to take in any case where serious discrepancies are found.

47. We are conscious of the potential additional workload verification may cause HEIs and aim to minimise this. To this end, data checking and verification will normally be conducted by correspondence with the RAE team. If HEIs wish to make it available, our verification team may also seek to rely on any relevant internal audit work that an HEI has undertaken in preparing or submitting RAE data. However, members of the RAE team and other officers of the funding bodies reserve the right to visit HEIs to verify submission information.

### **Data protection**

48. We will collect, store and process all RAE information from HEIs in accordance with the Data Protection Act 1998. As stated in paragraph 38, we will extract and pass some raw data to HESA to enable data verification for equal opportunities monitoring purposes. We will also publish parts of submissions on the internet (as described in paragraph 33).

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<sup>1</sup> In the case of non-text outputs, such as performances, we will require evidence that the output was disseminated in the public domain.

## Part 2: Form and content of submissions

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49. Each HEI eligible to receive funding from one of the four UK higher education funding bodies may make a submission in any of the 67 UOAs listed at Annex C. Normally there should be only one submission per UOA per institution and only exceptionally will this be waived. Such exceptions are set out in paragraphs 50, 51 and 54d. A submission comprises data organised in six forms (forms RA0-RA5). These are described in Part 3.

### Multiple submissions

50. The funding bodies will require any HEI that wishes to make more than one submission (multiple submissions) in the same UOA to request prior permission from the RAE manager. We will invite applications to make multiple submissions in December 2006 and responses will be required (through the data collection software) by March 2007. Aside from the exceptions mentioned in paragraphs 51 and 54d, a separate application will be required for each UOA in which the HEI wishes to make multiple submissions. Multiple submissions are more likely to be permitted where the HEI contains two or more substantially distinct research units that fall within the scope of a single UOA. Applications will be judged by the RAE manager, in consultation with the relevant main and sub-panel chairs, taking account of both:

- the degree of academic distinctiveness between the proposed submissions
- the structural distinction between the proposed submissions.

We will only grant permission where a convincing case satisfying both criteria is made.

Administrative convenience will not be a factor.

51. HEIs that merged between 1 January 2001 and 30 June 2005 should normally make one submission only to each UOA in which they wish to be awarded a quality profile. Where HEIs merge after 1 July 2005 they may seek permission to make two separate submissions in all of the UOAs in which they wish to submit, if for example they anticipate difficulty in achieving academic cohesion between the merger date and

the submission date. Permission is unlikely to be granted to such HEIs to make separate submissions only in selected UOAs.

### Joint submissions

52. Joint submissions to one UOA by two or more UK institutions, of research they have developed or undertaken collaboratively, are encouraged where this is the most appropriate way of describing the research. The method for joint submissions is described in paragraph 53 and is driven by two considerations:

- a. Panels should receive joint submissions in the form of a unified entity, enabling them to assess a joint submission in the same way as submissions from single institutions.
- b. The RAE team must be able to verify data in a joint submission through the HEI to which the data relates.

53. Purely for administrative purposes, one HEI needs to be identified as the lead in terms of management and data security of the joint submission. Two elements of the RAE data (RA2: outputs and RA5a: research environment and esteem) will be submitted by the lead HEI on behalf of all the other HEIs in the joint submission. Each HEI involved in the joint submission will submit separate RAE data in forms RA0, RA1, RA3a, RA3b, RA4, RA5b and RA5c (staff, student and income data, and information about individual staff circumstances and Category C staff). In line with these submission arrangements, the data collection software will include the facility for HEIs involved in joint submissions to give view and edit permissions to the other HEIs involved in the relevant UOAs. In order for panels to be able to judge the joint submission like a single submission, the RAE team will aggregate the separate data so that panels receive and assess it as a coherent whole.

54. The following rules apply:

- a. Panels will assess the joint submission as they would a single submission and the outcome will be a single quality profile. The quality profile for a joint submission will list the

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HEIs involved in alphabetical order, irrespective of which HEI took the administrative lead in making the submission.

- b. Panels will provide confidential feedback on joint submissions to the heads of all the HEIs concerned; but the panels and the RAE team will not comment on the specific contribution by an individual HEI to the overall quality profile.
- c. In line with a general RAE rule that no individual may be submitted as Category A research active in more than one submission unless they hold a fractional employment contract with more than one HEI (see paragraph 86), no individual can be submitted in a joint submission and in a submission from one HEI unless they hold two separate employment contracts with two different HEIs.
- d. Institutions involved in a joint submission that wish to make a separate submission in the same UOA would normally be permitted to do so, subject to meeting the conditions described in paragraph 50.

55. The funding bodies will distribute research funding in respect of RAE 2008 results in line with each one's individual funding formula. Assuming that, as in former years, the FTE of staff submitted will be an element in those formulae, the funding bodies envisage using the FTE of staff submitted by each HEI involved in a joint submission, unless the HEIs involved propose a different, agreed percentage split of funding at the time of submission.

56. Further guidance on the technical procedure for making joint submissions will accompany the invitation to make submissions.

### **Interdisciplinary research, arrangements for cross-referral and specialist advice**

57. There have been concerns that the assessment of interdisciplinary research has presented challenges in previous RAEs. In view of these, we will cross-refer parts of submissions and enhance

our arrangements for using specialist advisors to ensure interdisciplinary research is identified and assessed by those competent to do so.

58. An HEI may request that parts of the submissions it makes to one UOA are cross-referred to other relevant sub-panels. Parts of submissions may range from a body of work relating to a submitted researcher (that is, all of the research output listed against that researcher) to all of the research output and textual commentary relating to one or more research group. Neither entire submissions nor single outputs may be cross-referred, although single outputs may be referred to specialist advisers.

59. Sub-panels may also request cross-referral of parts of submissions on the same grounds, even when the HEIs have not done so. In all cases, the RAE manager will consider the request and advice from the relevant main and sub-panel chairs. Where it is thought that cross-referral will enhance assessment, the relevant parts will be cross-referred to all of the sub-panels concerned for advice. Although advice will be sought only on the cross-referred parts, the entire submission will be made available to the receiving panel so that it can judge the cross-referred part in the context of the whole submission. Advice will be sought and given on the basis of the assessment criteria for the UOA to which the work was originally submitted. The original sub-panel will retain responsibility for the quality profile awarded.

60. Sub-panels may request that parts of submissions, including but not limited to interdisciplinary research, are referred to specialist advisers if they believe this will enhance the assessment process. This includes instances where HEIs identify single or multiple research outputs as being outcomes of interdisciplinary research. The RAE team has retained a database of individuals who were nominated as specialist advisers through the nominations process described in RAE 03/2004 'Units of assessment and recruitment of panel members'. When we carry out the survey of submission intentions in March 2007 we will also ask HEIs to identify submissions in which they intend to submit substantial bodies of interdisciplinary research. Responses to the survey

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will not be binding; but forewarning will help the RAE team to review and augment this database of advisors before the main assessment phase of the exercise begins in January 2008.

## Content of submissions

61. Each submission will contain the core data detailed in paragraphs a-i following. (The RA prefix refers to the research assessment form in which the data will be collected.) For detailed definitions of the data required in each RA form, see Part 3.

- a. Overall staff summary (RA0): summary information on research active staff selected (FTE and headcount) and related academic support staff (FTE) in the unit of assessment. The data collection software will populate some of RA0 using the data HEIs enter in RA1.
- b. Research active individuals (RA1): detailed information on individuals selected by the institution for inclusion as research active.
- c. Research output (RA2): up to four items (or fewer if designated for a particular UOA by its sub-panel) of research output produced during the publication period (1 January 2001 to 31 December 2007) by each individual named as research active and in post on the census date (31 October 2007).
- d. Research students (RA3a): numbers of full-time and part-time postgraduate research students and degrees awarded.
- e. Research studentships (RA3b): numbers of postgraduate research studentships and source of funding.
- f. External research income (RA4): amounts and sources of external funding.
- g. Textual description (RA5a): including information about the research environment and indicators of esteem.
- h. Individual staff circumstances (RA5b).
- i. Category C staff circumstances (RA5c).

62. We have considered whether we could reasonably avoid collecting any of this data through the RAE and to rely instead on data that has already been collected for other purposes. However, reconfiguring the units of assessment since the 2001 RAE means that we cannot rely on other data returns such as research student data or income data submitted to other surveys conducted by the funding bodies or HESA.

63. Panels may request in their criteria statements specific, further information where this is reasonable, justifiable and explicit. Conscious of the potential data collection burden on HEIs, we will ensure that any panel's requests will not require HEIs to submit any new **types** of data. We will publish other information that panels may reasonably require HEIs to supply, and a structure for RA5a which may differ by UOA, in the panels' criteria statements.

64. When we circulate submissions to sub-panels, we will circulate standard analyses (listed in Annex F) of the quantitative data and any additional data analyses specified in each sub-panel's criteria statement. Sub-panels' criteria statements will indicate how any additional analyses will be used in each UOA.

## Part 3: Data requirements and definitions

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### General definitions

65. The following general definitions apply throughout Part 3:

- a. 'UOA' means one of the 67 subject Units of Assessment defined for the 2008 RAE which are listed in Annex C.
- b. 'Submission' means a complete set of forms RA0 to RA5c returned by an HEI in any of the 67 UOAs.
- c. 'Department' means the staff included in a submission to one of the 67 UOAs recognised by the RAE, and, by extension, their work and the structures which support it. RAE departments are often not identified with a single administrative unit within an HEI, or in the case of joint submissions, across HEIs.
- d. 'Census date' means the date determining the affiliation of research staff to a particular institution. Staff may be submitted in the RAE by the institution by which they are employed on this date (or in the case of Category C staff by the institution that is the focus of their research), regardless of previous or forthcoming changes in their employment status. The census date is 31 October 2007.
- e. 'Assessment period' means the period from 1 January 2001 to 31 July 2007 and is the period to which the research described in submissions, including data about research students and research income and the textual commentary must relate.
- f. 'Publication period' means the period during which research outputs must be placed in the public domain (or in the case of confidential outputs, lodged with the sponsor) if they are to qualify for assessment in RAE 2008. The publication period runs from 1 January 2001 to 31 December 2007 for all UOAs.
- g. 'FTE' means full-time equivalent:
  - i. For staff, it refers to the extent of a member of staff's contracted duties as compared to those of a typical full-time member of staff in the same category.

The length of time in the year for which the individual was employed and the relative proportion of total contracted time spent on research are irrelevant in reporting staff FTE.

- ii. For students, it refers to the amount of study undertaken in the year of programme of study compared to a full-time student with the same qualification aim studying for a full year.

FTEs should be expressed to two decimal places, such as 0.67, apart from the contracted FTE of Category A staff, for which the minimum FTE that may be reported is 0.2 (see paragraph 75g).

- h. 'Selected staff' refers to the named staff included in RAE submissions by HEIs in accordance with their own internal code of practice on preparing submissions and selecting staff for inclusion. Other staff may be eligible for inclusion, that is, satisfy the data definitions and requirements, but HEIs are not required to select for inclusion all their eligible staff.
  - i. 'Returned' refers to any data included in any of forms RA0 to RA5c.

66. The following sections contain data requirements, data definitions and notes about returning data on:

- staff (section 1)
- research outputs (section 2)
- research students and studentships (section 3)
- research income (section 4)
- research environment, esteem, and individual staff circumstances (section 5).

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## Part 3 Section 1 Staff details RA0 and RA1

### Staff summary data requirements: form RA0

67. The following summary data are required in RA0:

- a. The FTE number and headcount on the census date (31 October 2007) of Category A individuals whom the HEI has submitted as research active and headcount of Category B, C and D individuals. The data collection software will populate some of RA0 using the data HEIs enter in RA1. Each HEI may decide which individuals to select as research active, according to its internal code of practice on preparing submissions and selecting staff for inclusion in them.
- b. The FTE number on 31 July 2007 of research assistants (see paragraph 70 and 71). There is no requirement to distinguish between postgraduate and postdoctoral research assistants. Only one total is required.
- c. The FTE number on 31 July 2007 of research technicians, scientific officers, and experimental officers (one total) and of other staff devoted to research (a separate total).

### Staff summary data definitions and notes

68. The definitions of staff categories A to D are:

- a. **Category A:** academic staff in post and on the payroll of the submitting institution on the census date. Eligible Category A academic staff must be employed under a contract of employment with the HEI on the census date. Their contract must list research and/or teaching as their primary function.
- b. **Category B:** academic staff who held a contract with the institution after 1 January 2001 and who left the institution (or transferred into a department returned to a different UOA) after that date and before the census date, and who otherwise would have been eligible for inclusion as Category A.
- c. **Category C:** independent investigators active in research who do not meet the definition

for Category A staff but whose research on the census date is clearly and demonstrably focussed in the department that returns them.

- d. **Category D:** independent investigators who met the definition for Category C staff during the period 1 January 2001 to 31 October 2007 but not on the census date.

These definitions are repeated, for ease of reference, in paragraph 76.

69. HEIs should only list research assistants, research technicians, scientific officers, experimental officers and other staff devoted to research if they are clearly associated with research active staff returned to that UOA in any of the Categories A-D. For example, research assistants funded on research council grants may be listed only if a principal or co-investigator on that grant is selected as research active in that UOA. Research assistants, technicians and others who are only associated with non-selected staff should be excluded.

### *Research assistants*

70. Research assistants are individuals who are on the payroll of and hold a contract of employment with the institution. They are academic staff whose primary employment function is defined as 'research only'. They are employed to carry out another individual's research programme rather than as independent investigators in their own right (except in the circumstances described in paragraph 79). They are usually funded from research grants or contracts from Research Councils, charities, the European Commission (EC) or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the institution's own funds. Individuals who meet this definition but are described in HEIs' grading structures as something other than research assistant (for example research associate, assistant researcher) may be returned as research assistants provided they meet this definition.

71. Where a research assistant is registered for a higher degree they can be returned as a research student (see Part 3 Section 3) or as a research assistant or fractionally as both, with a maximum FTE across both roles of 1.0.

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### ***Other research support staff***

72. The terms technician, scientific officer and experimental officer are generic terms and will need to be related to local practice. Where an individual within these groups has a split role between teaching and research, only the FTE devoted to research should be recorded. Where this is a very minor part of their job description (less than 0.2 FTE) they should be omitted entirely.

73. Research support staff may include, for example, computing staff and others who are devoted wholly or largely to the support of research. They may not include departmental secretarial or administrative staff except where their contract of employment designates their role as wholly supporting research.

### **Research active staff data requirements (form RA1)**

74. Research active staff must be listed in one of the categories A to D (see paragraph 76 for definitions). Each HEI may decide which individuals to select as research active, in accordance with its internal code of practice.

75. The following data are required on full and part-time staff in the categories A to D whom the HEI has selected as research active:

- a. HESA staff identifier (Category A and B staff only). This is for equal opportunities monitoring purposes.
- b. Staff reference code: a code determined by the HEI.
- c. Surname.
- d. Initials.
- e. Date of birth.
- f. Category of staff (A, B, C or D) on the census date.
- g. Contracted FTE on the census date (Category A staff only). The minimum FTE that may be reported is 0.2.
- h. Whether the individual is a research fellow, as defined in paragraph 80, (Category A and C staff only) and their source of funding (the data collection software will include a list of

possible sources consistent with those defined by HESA).

- i. Whether the individual has been in post for the entire period from 1 January 2001 to 31 October 2007 (Category A only). For Category C, whether the individual's research has been demonstrably focussed in the department for the entire period from 1 January 2001 to 31 October 2007.
- j. Year of entry into the academic profession. For the RAE we define this as the year an individual gains an academic post in an HEI that renders the individual eligible to be returned as Category A staff. This is not a mandatory field, but only through completion of this field will an HEI be able to identify early career researchers (see paragraph 160d).
- k. Dates (day, month and year) of starting and leaving employment as academic staff at the institution, if between 1 January 2001 and 31 October 2007 in either case (Category A and B only).
- l. If the individual is on a fixed-term contract, the start and end dates (day, month and year) of the contract (Category A and B only). Staff on rolling contracts or a series of renewable fixed-term contracts will be regarded as fixed-term for this purpose, although institutions may wish to draw attention to their use of rolling contracts in the textual part of their submissions, especially where a fixed-term contract has an expiry date soon after the census date.
- m. Details of any change of status between 1 January 2001 and 31 October 2007 (Category A and C staff only), with the date of the change. Only the most recent change should be recorded if the individual has changed status more than once. Changes of status are:
  - i. From Category A to Category C within the same institution.
  - ii. Released on unpaid leave or secondment, still on leave/secondment on the census date, and contracted to return within two years.

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- n. The numbers (FTEs) of research assistants and research students supervised on the census date. All research students supervised should be included, as well as those registered at different HEIs. Jointly supervised students and assistants should be split, either according to the agreed division of responsibility, or in proportion to the number of supervisors.
  - o. Any research groups that the individual belongs to, where relevant and up to a maximum of four. This is not a mandatory field. Some sub-panels may ask HEIs to describe research groups in RA5a but neither the presence nor absence of research groups is assumed.

### Research active staff data definitions

76. The definitions of staff categories A to D are:
- a. **Category A:** academic staff in post and on the payroll of the submitting institution on the census date. Eligible Category A academic staff must be employed under a contract of employment with the HEI on the census date. Their contract must list research and/or teaching as their primary function.
  - b. **Category B:** academic staff who held a contract with the institution after 1 January 2001 and who left the institution (or transferred into a department returned to a different UOA) after that date and before the census date, and who otherwise would have been eligible for inclusion as Category A.
  - c. **Category C:** independent investigators active in research who do not meet the definition for Category A staff but whose research on the census date is clearly and demonstrably focussed in the department that returns them.
  - d. **Category D:** independent investigators who met the definition for Category C staff during the period 1 January 2001 to 31 October 2007 but not on the census date.

### Notes on returning research active staff

#### *Category A and B staff*

77. If they satisfy the criteria in paragraph 76a then the following are eligible as Category A staff:

- a. Staff who hold institutional/NHS joint appointments (that is, staff on 'A+B' contracts). They should be returned as Category A with an FTE less than 1.0, reflecting their contract of employment with the institution.
- b. Eligible research assistants (see paragraph 79).
- c. Eligible research fellows (see paragraph 80).
- d. Pensioned staff who continue in salaried employment contracted to carry out academic duties.
- e. Academic staff who are on unpaid leave of absence or secondment on the census date and are contracted to return to normal duties up to two years (inclusive) from the start of their period of absence, provided that any staff recruited specifically to cover their duties are not also listed as Category A.
- f. Staff absent from their 'home' institution on the terms described in sub-paragraph 75m, but working as contracted academic staff at another UK higher education institution on the census date. These staff may be returned by either or both institutions. In such a case the individual and both institutions concerned should agree how the return is to be made. Their total FTE may not exceed their contracted FTE with their main employer.

78. Category A staff who are employed by an HEI and based in a discrete department or unit outside the UK are eligible staff if the HEI demonstrates in RA5a a clear and current connection on the census date with research undertaken by the submitting department based in the UK. Staff whose connection cannot be demonstrated to the satisfaction of the RAE manager, as advised by the relevant panel, will be discounted from the assessment and removed from the RAE database.

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### *Research assistants*

79. Research assistants are not eligible to be listed as research active staff unless, exceptionally, they fulfil the criteria in this paragraph. Research assistants eligible to be listed as research active staff must be named as principal investigator on a research grant or significant piece of research work **and** satisfy the definition for Category A academic staff in paragraph 76a. Research assistants must not be listed as Category A or B research staff purely on the basis that they have one or more research outputs to their name. Research assistants listed as Category A research staff may not also be included in the FTE count of research assistants in RA0 and RA1.

### *Research fellows*

80. Research active academic staff should be listed as research fellows only if they hold a specific fellowship award on the basis of their own research record or research proposals. The fellowship award must be to a named individual in recognition of independent research they have undertaken or proposed, must include a significant element of external funding and must follow a process of expert review (including competitive review) involving an input from outside the institution. Such fellowships include Research Council fellows (senior, advanced or postdoctoral) and Royal Society research fellows and professors.

81. Staff on an HEI-funded or awarded fellowship, even with external referees involved in the selection process, may not be listed as a research fellow for RAE purposes.

82. Research fellows who receive all of their salary funding directly from their sponsoring bodies may not be returned as Category A or B staff, unless so sponsored while on unpaid leave (see sub-paragraph 75m). However they are eligible for inclusion as Category C or D.

### *Casual and hourly paid staff*

83. Casual staff, individuals employed under consultancy contracts and individuals paid in response to a claim or invoice submitted by them as payment for fees or services, without a contract of employment are ineligible as Category A staff.

Individuals who receive payment automatically through the HEI's normal payroll, net of tax and national insurance contributions, and who enjoy similar employment rights to other employees (for example, annual leave, sick pay and pension entitlements) qualify as having a salaried contract, regardless of whether payment is calculated on an hourly basis.

84. Teaching assistants such as foreign language assistants/lectors who are not employed as academic staff cannot be included as research active members of staff.

### *Other notes on Category A and B staff*

85. Other than individuals on secondment on the terms described in paragraphs 75m and 77f, an individual may only be returned as research active Category A by more than one HEI if she or he has a contract with and receives a salary from more than one HEI. In such cases, the following additional conditions apply:

- a. The two HEIs must ensure that the FTE value of the individual sums to no more than the lower of 1.0 or the individual's total contracted FTE duties. If any individual is returned in submissions with a contracted FTE that sums to more than 1.0, the RAE team will rectify this through verification and will apportion the FTE to each HEI pro-rata to the individual's contracted FTE at each HEI.
- b. The number of research assistants and the number of research students supervised by the individual returned by each institution should relate to each single institution, not to both.
- c. The same research works need not be cited in both submissions.
- d. Only grants/contracts held by the individual that are administered through the submitting HEI may be returned by that HEI.

86. No individual may be returned as active on 31 October 2007 in more than one UOA, except as described in paragraph 85 or, in exceptional circumstances, where an individual's research has undergone a significant shift in subject focus

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within the period 1 January 2001 to 31 October 2007. Such individuals may be returned as Category A in one UOA at 31 October 2007 with a start date later than 1 January 2001 and as Category B, up to that date, in another UOA at either the same or a different institution. Where an individual holds a joint appointment across two or more departments within the same institution, HEIs must decide on one UOA in which to return the individual. They should note the joint appointment in all relevant submissions to other UOAs, using form RA5a.

87. Staff employed directly by the Federal University of Wales may be returned in the university's submissions as Category A or B, or in those of its constituent institutions as Category C or D. However, the same member of staff may not be returned as Category A by both the Federal University and any of its constituent institutions.

88. The following are eligible as Category B staff:

- a. Staff who died in post before the census date.
- b. Staff who left the HEI before the census date.
- c. Staff who transferred to a different department in the same HEI before the census date.

### ***Category C and D staff***

89. The following are eligible as Category C staff or Category D staff:

- a. Individuals whose research at the census date (or for Category D staff, during the period 1 January 2001 to 31 October 2007 but not at the census date) is clearly and demonstrably focussed in the department, but who are excluded from Category A (or B) because they do (did) not have a contract with the institution, do (did) not receive a salary from it, or are (were) not academic staff. The department or institution must be (have been) the focus of the individual's research activity. Where they meet these criteria, the following are eligible:
  - i. Vice-chancellors or principals.
  - ii. Librarians.

iii. Staff in university museums.

iv. Staff employed directly by the Federal University of Wales but returned in the submissions of its constituent colleges. (See paragraph 87 for instructions on how such staff should be returned in submissions made by the Federal University.)

v. Staff in 'embedded' research council units.

vi. Retired staff who are still active in research.

vii. Research active academic staff recruited specifically to cover the duties of staff on leave of absence or secondment, returned in accordance with sub-paragraph 77e.

90. For each individual returned in Category C, an entry in RA5c (Category C staff circumstances) will be required giving evidence that their research is clearly and demonstrably focussed in the department (see also paragraph 163).

91. The following are ineligible as Category C or Category D staff:

- a. Visiting professors, fellows and lecturers if they normally carry out their research outside the department.
- b. Short-term visiting staff (less than 12 consecutive months in the period 1 January 2001 to 31 October 2007). Reference may be made to such individuals in RA5a.

## **Part 3 Section 2 Research outputs (RA2)**

### **Data requirements**

92. Details are required of up to four items of research output, (or fewer if a UOA's sub-panel designates fewer in its criteria statement) that each Category A or C staff member has produced and that have been brought into the public domain<sup>2</sup> during the publication period (1 January 2001 to 31 December 2007).

93. For each output cited, enough information should be given to enable the RAE team and panels to determine precisely what is being listed,

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<sup>2</sup> Confidential outputs must have been lodged with the body to which they are confidential in the publication period.

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whether it is a product of sole or multiple authorship or production, in what physical form it exists and where it may be found. The following are required for each output:

- a. **Output number:** sequentially from one to no higher than four for each individual returned. This number is for administrative convenience of referencing only. The data collection software will also enable HEIs to enter an output reference code, determined by the HEI.
  - b. **Year of output:** the year in which the output became publicly available. For books and chapters in books, the year is required; for other forms of output, months or dates will be required.
  - c. **Type of output:** all forms of publicly available assessable output will be acceptable as will items listed as confidential reports (see paragraph 98). A detailed indicative list of output types will be provided in the RAE data collection software and is likely to include patent/published patent applications, software, internet publications, performances, compositions, designs, artefacts and exhibitions as well as the print media detailed below.
  - d. **Title of the output:** if the output has no title a description is required. (See also sub paragraphs 93g and 93h for requirements on chapters and journal articles.)
  - e. **Co-authors:** names of first, second and third co-authors and whether they are internal or external to the HEI; and the number of additional co-authors.
  - f. **For books:** title, number of pages, publisher, year published, ISBN number.
  - g. **For chapters in books** (including other short works such as contributions to collections of essays published in book form): title of chapter, page numbers of chapter, title of book, name(s) of editor(s), publisher, year of publication, ISBN number.
  - h. **For articles in journals:** title of article, page numbers of article, title of journal, volume number, month and year of publication, ISSN number.
  - i. **For conference contributions:** name of conference/published proceedings, number of pages, month and year published (or in the case of non-text based material, date of conference and medium of output).
  - j. **Other outputs:**
    - i. In the case of public exhibitions: title or brief description, the gallery where the exhibition was held, the number of pieces exhibited and the opening and closing dates of the exhibition.
    - ii. For performances: title, place, date(s) and brief details of the performance.
    - iii. For all other outputs: title or brief description and date and place at which output was made publicly available. In the case of internet publications or web content, the URL. Forthcoming journal or other articles that are electronically available before the planned publication date on publishers' or authors' web-sites or institutional repositories should be treated as internet publications and the facility described in paragraph 94 may be used to provide other factual details. Panels, in their statements of criteria, may specify further required details.
  - k. **Whether the output is the outcome of interdisciplinary research** (so panels may if necessary identify suitable specialist advisers).
  - l. **If appropriate, the research group** to which the research output is assigned. This is not a mandatory field and neither the presence nor absence of research group is assumed (see also paragraph 75o).
94. Brief, additional information may also be given in RA2 'other relevant details' to identify relevant, factual circumstances concerning any output. It need not be supplied in every case. It may be, for example:
- to identify a keynote address to a conference
  - to identify an invited conference paper especially where the perceived status of the conference is high

- to indicate the significance or impact of an applied research outcome
- to identify the research content or author's contribution in edited works, translations, or co-authored works.

In the case of a non-text output, it may be used to give further information on the whereabouts of a work or to note that a photographic, electronic or other record exists. It may not be used to volunteer opinions about the relative quality of an output. See panel criteria statements for further guidance, including the word limit for this text, which, unless otherwise stated, will be 300 words.

95. For research outputs produced in a language other than English or Welsh, a short abstract in English is required in the other relevant details field describing the content and nature of the work. Panels will use this to identify appropriate specialist advisers to whom the work may be referred. The abstracts themselves will not form the basis for assessment. This requirement is waived for outputs submitted to any of UOAs 51 to 57 if the output is produced in any of the languages in the remit of the UOA.

96. We will also require HEIs to submit some categories of output in electronic format with their submissions. These categories are likely to be: journal articles, chapters in books and published conference proceedings. The method of submission may involve HEIs depositing items on a protected web-site or giving access to institutional repositories of publications. Details will accompany the pilot version of the data collection software in August 2006.

### **Data definitions and notes**

97. Research outputs may be any form of publicly available assessable output. All items eligible for submission must be publicly available by 31 December 2007. Confidential outputs must be lodged with the body to whom they are confidential by 31 December 2007. An item expected to be published after 31 December 2007 should not be submitted, even if it has been accepted for publication. HEIs may list an output whose publication is pending if they are satisfied that it will enter the public domain before the end

of December 2007. Such items will be flagged in submissions, and where only some of the requirements in paragraph 93 can be supplied, we will require full details to be submitted by 31 January 2008. HEIs may have to physically submit any output so flagged for verification purposes. If an HEI cannot make it available, the item will be removed from the submission, discounted from assessment, and no substitute will be accepted.

98. Confidential reports include any item produced for and lodged, in the publication period, with a company, government body or other research sponsor(s), but which has not been published because of its commercial or other sensitivity. A confidential report may only be submitted if the HEI has prior permission that the output may be made available for assessment. HEIs will confirm permission has been secured when they make submissions. If the RAE team requests a confidential report for assessment the HEI must make it available. All panel members, advisers, observers and others involved in the assessment process are bound by a confidentiality agreement. Therefore, HEIs may submit confidential reports without compromising any duty of confidentiality upon them. There may be main or sub-panel members who HEIs believe would have a commercial conflict of interest in assessing confidential reports. HEIs will be required to name such individuals when making submissions.

99. HEIs may list any output produced by selected Category A and Category C staff during the publication period regardless of where those staff were employed during the period. Reference may be made in RA5a to research outputs other than those listed in RA2.

100. For publications the date of appearance will generally be that indicated by its imprint. If the date of imprint differs from the date of actual publication, and one of these dates lies outside the publication period, the variance must be noted in the data collection software. Examples could be journal volumes relating to a particular year in a sequence but actually published in a different calendar year. In such circumstances institutions

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may be required to provide evidence of the actual date of publication for data verification purposes, such as a letter from the publisher. In all cases the date for determining whether or not an output was produced within the publication period and hence is eligible for submission will be the date at which it became publicly available. For web content and electronic corpora, HEIs will need to maintain proof of the date at which the item became publicly available and of its content at that date, for example a scanned or physical printout, date stamped.

101. Edited works including editions of texts and translations may be included if they embody research as defined in Annex B. Systematic reviews may also be included where they meet this condition. Editorships of journals and other activities associated with the dissemination of research findings should not be listed as output on RA2. (See panel criteria statements for further guidance.)

102. Co-authored/co-produced outputs should not be counted pro-rata. The names of up to three co-authors/co-producers may be recorded and where there are more than three, the number of others will be required. Any co-authors or co-producers who have not been members of staff, research assistants or research students, at the institution during the publication period should be noted as such (see paragraph 93e). In principle, where two or more co-authors or co-producers of an output are returned as research active (in either the same or different departments and UOAs) any or all of these may list the same output. However, panels' criteria statements will give more details on whether and how they would like HEIs to describe or account for instances where the same co-authored output is listed more than once in the same submission.

### ***Ineligible outputs***

103. Theses, dissertations or other items submitted for a research degree including doctoral theses may not be listed. Other assessable published items based on research carried out for a research degree may be listed. HEIs may use RA5a to alert panels where a research degree has

been conferred on a submitted staff member in the assessment period.

104. HEIs may not list as the output of a Category A or Category C staff member any output produced by a research assistant or research student whom they supervised.

## **Part 3 Section 3 Research students and studentships (RA3a and RA3b)**

### **Research student data requirements**

105. The following data is required about home/EC and overseas research students who are supervised by any of the submitted research active staff in Category A to D who are listed in RA1:

- a. Headcount of students on research-based higher degrees for whom the year of programme of study falling on 31 July in each of 2001, 2002, 2003, 2004, 2005, 2006 and 2007 is full-time.
- b. Headcount and FTE of students on research-based higher degrees for whom the year of programme of study falling on 31 July in each of 2001, 2002, 2003, 2004, 2005, 2006 and 2007 is part-time.
- c. Total number of research doctoral degrees awarded (the date of award approval rather than ceremony – see paragraph 122) in each calendar year 2001, 2002, 2003, 2004, 2005, 2006 and 2007 (partial year to 31 July).
- d. Total number of research masters degrees awarded (the date of award approval rather than ceremony – see paragraph 122) in each calendar year 2001, 2002, 2003, 2004, 2005, 2006 and 2007 (partial year to 31 July).

### **Research student data definitions and notes**

#### ***Research-based higher degree***

106. A research-based higher degree is one awarded primarily on the basis of a substantial thesis (or equivalent) submitted by the student and resulting from the student's original research. Regulations on examiners should stipulate that the student's work is examined by at least two

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examiners, individually appointed for the student, one of whom is external. Students registered for a specialist doctoral degree should only be included in the submission if their degree is awarded on the basis described in this paragraph and if they satisfy the ensuing criteria.

107. Students undertaking taught masters programmes and taught doctoral programmes are excluded.

108. Students who have completed their research work and are writing up their thesis (or equivalent) are excluded. Students are considered to be writing up when their research work is complete and they will not be undertaking additional research, even if they still receive a small amount of supervision and/or still have access to other facilities at the institution. Students registered for research qualifications awarded primarily on the basis of published works should also be excluded, unless they undertake research at the institution.

109. Students should be actively supervised by a submitted member of staff. Students employed by outside research organisations and based outside the department for the majority of their study should be excluded. Students engaged on forms of work-based learning such as Knowledge Transfer Partnerships (KTP, formerly the Teaching Company Scheme, TCS), who are registered for a research-based higher degree can be included provided they are based in the department for the majority of their study.

### ***Registration***

110. Student headcounts and FTEs may only be recorded if the student registers for the year of programme of study. For the purposes of the RAE, registered students are those who have a binding undertaking to pay a fee to the institution for tuition and supervision of research for a programme of study (whether or not they pay the fee themselves). Acceptance of a place does not in itself qualify a student to be counted in the RAE. If a programme is run jointly by two or more institutions, only the institution that receives the fee should include the student. If more than one institution receives a fee from a student, the

institution that receives the largest portion should include the student. If the institutions receive the same amount, they must ensure that only one includes the student. In some cases the institution in which the student is based collects the fee on behalf of another institution. Where this is the case, if the fee is transferred in full<sup>3</sup> to another institution, the institution to which the fee is transferred should include the student.

111. Research students should be returned by the institution where they are registered, except in the case of submissions from institutions in Wales and Scotland when research students should be included under the institution where they are studying. (This difference reflects differences between the countries in the way students are currently counted for funding purposes.) A student can only be registered at one institution for any individual qualification.

112. In some cases students may be registered to study for a research degree at an institution which does not have, or until recently did not have, the power to award its own higher degrees at the appropriate level. Another institution may validate the programme and award the degrees of such students. In these cases the students should be counted by the institution where they are registered. The validating institution may not count these students.

### ***Year of programme of study***

113. A student's first year of programme of study starts when they first begin studying towards the qualification. Subsequent years of programme of study start on or near the anniversary of this date.

### ***Full-time equivalence***

114. For the RAE, a student's FTE refers to the amount of study undertaken in the year of programme of study compared to a full-time student with the same qualification aim studying for a full year. A student is said to be full-time if they are normally required to attend the institution, or elsewhere, for a total of at least 24 weeks within the year of programme of study; and during that time is normally expected to study an average of at

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<sup>3</sup> If the fee itself is not transferred but is used to offset payments between institutions in respect of the student, this should be treated as if the fee had been transferred.

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least 21 hours per week. The FTE should be the FTE for the year of programme of study falling on the relevant date and not an estimate of the student's activity on the date. So a student undertaking full-time study should be returned as 1.0 FTE; a student studying part-time should be returned with an FTE that reflects the amount of time they study compared to a full-time student.

115. The FTE for a part-time programme is calculated by comparison with an equivalent full-time programme. When viewed as a whole, the total FTE for a part-time programme should equal the total FTE of the equivalent full-time programme. If an equivalent full-time programme does not exist, a reasonable academic judgement should be made of the load relative to a full-time student.

116. In some cases a student may not study for a full year in their final year of programme of study (for example, the second year of programme of a 15-month MPhil programme). Here the student should be recorded as part-time in their final year, with an FTE reflecting the proportion of a full year for which they have studied. This should be recorded even if the student is not actively pursuing studies on 31 July in their final year.

117. Category A staff who are registered for a research degree may be included as part-time students. Their total FTE (as Category A staff and research student) may not exceed 1.0.

118. Periods of suspension need to be accounted for when calculating both the FTE and the year of programme of study. For example a student whose registration is suspended for three months on ill health grounds in the first year of a three year full-time programme of study should be counted as follows: year one: 0.75, year two: 1.0, year three: 1.0, year four: 0.25.

119. Research students should be returned to the UOA in which their supervisor is returned. Where a student is supervised by more than one member of staff and these supervisors are returned in more than one UOA, the student may be returned split either according to the agreed division of responsibility, or in proportion to the number of supervisors.

120. The arrangements for recording research assistants who are registered for a higher degree are in paragraph 71.

121. Where a department contains students on degrees not covered by the definition at paragraph 106 but whose presence is considered significant, attention may be drawn to these in RA5a.

### *Degrees awarded*

122. The award should be recorded when the institution's senate, or other body or person empowered to approve the award, formally approves the award.

123. A degree awarded may be returned in line with paragraph 119, that is, in one UOA or fractionally in more than one UOA, split either according to the agreed division of responsibility or in proportion to the number of supervisors.

### **Research studentships data requirements**

124. Data is required on the number of new studentships awarded for research-based higher degrees and held in the department in each calendar year 2001, 2002, 2003, 2004, 2005, 2006 and 2007 (partial calendar year to 31 July in 2007). Studentships must be held by students returned in RA3a. Numbers of studentships should be listed against each of the following sources:

- a. OST Research Councils et al – includes studentships awarded by the Research Councils covered by the Office of Science and Technology (OST), the former Arts and Humanities Research Board, the Scottish Executive, DEL and the Department of Agriculture and Rural Development Northern Ireland. It excludes research assistantships funded by the Research Councils.
- b. UK-based charities – studentships awarded by charitable foundations and charitable trusts etc, based in the UK and registered with the Charities Commission, or by those recognised as charities by the Inland Revenue in Scotland.

- c. UK central government – includes studentships awarded by the British Council and NHS R&D.
- d. UK local authorities, health and hospital authorities.
- e. UK industry, commerce and public corporations.
- f. Institutional self-funded – includes studentships funded by institutions whether from grant or endowment income or from other sources.
- g. Overseas.
- h. Other – funded from any other source including self-funded by the student, with the source specified.

The number of new studentships should be listed against each source. A studentship sponsored by more than one source should be listed fractionally against each one.

### Research studentships data definitions and notes

125. Studentships are only eligible if the fee paid is at or above the studentship fee level paid in the relevant year by UK Research Councils on research council funded projects. Studentships for partial fees below these amounts, for maintenance only, or bench fees only (charged for materials/consumables used by postgraduate students) or college fees, may not be included.

126. Studentships for part-time students are only eligible if the fee paid is at or above the levels detailed in paragraph 125, pro-rata to the full-time equivalent.

127. The number of studentships held by postgraduate students registered for research degrees should be recorded. Each new studentship should be counted once only, in the calendar year in which it first started (or partial calendar year, to 31 July in 2007). An extension to the duration of a studentship, or a change in its source of funding is not regarded as new for the purpose of this return. If a student holds a studentship from more than one source in the first year the studentship should be listed fractionally against each source.

128. If a student is jointly supervised by staff being returned to more than one UOA, the studentship should be returned fractionally, in the same way as the student (see paragraph 119).

129. The number of new studentships allocated by HEIs through Research Council doctoral training accounts (DTAs) should be returned under 'OST Research Councils et al'.

## Part 3 Section 4 Research Income (RA4)

### Data requirements

130. Data are required on external research income received in each financial year between 1 January 2001 and 31 July 2007. For 2001 a part year return is required (1 January to 31 July 2001).

131. External research income data should be listed against the following sources:

- a. OST Research Councils et al – includes all research grant and contract income from research councils covered by the OST, the former Arts and Humanities Research Board, the British Academy and the Royal Society. Research Council income in respect of the value of time spent by researchers on Research Council facilities should be listed in a separate line (see paragraphs 150 and 151).
- b. Joint Infrastructure Fund (JIF) – the proportion of grants awarded from the JIF provided from OST or Wellcome Trust funds may be included. The proportion of JIF grants provided by the higher education funding bodies may not be included. Such awards may, however, be referred to in the textual part of submissions
- c. Joint Research Equipment Initiative (JREI) – grants awarded under this initiative should be returned broken down into the portions provided by Research Councils, industrial sources and funding bodies.
- d. UK-based charities – research grants and contract income from all charitable foundations and charitable trusts etc, based

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- in the UK and registered with the Charities Commission, or from those recognised as charities by the Inland Revenue in Scotland.
- e. UK central government bodies, bodies governed by devolved administrations, local, health and hospital authorities – includes all research grants and research contract income from UK central government bodies, UK local authorities and UK health and hospital authorities, including NHS R&D, except the Research Councils and UK public corporations. This therefore includes government departments, Northern Ireland departments, the Scottish Executive, the Welsh Assembly Government and all organisations financed from central government funds. Regional development agency (RDA) income should be returned here in a separate line. Income from non-departmental public bodies (NDPBs) except the four higher education funding bodies should be returned under this heading. It excludes NHS funding in respect of clinical or non-clinical teaching. Some panels may specify in their criteria that NHS R&D funding should be reported as a sub-heading under ‘UK central government bodies’ (see paragraph 153).
- f. UK industry, commerce and public corporations – includes all research grant and contract income from industrial and commercial companies operating in the UK. Public corporations (defined as publicly owned trading bodies, usually statutory corporations, with a substantial degree of financial independence) in the UK include nationalised industries and bodies such as the Ordnance Survey.
- g. EU government bodies – includes all research grant and contract income from all government bodies operating in the European Union (EU), including the European Commission (EC) but excluding bodies in the UK. Socrates Erasmus, EU Lingua programme, EU Leonardo programme, Trans-European Mobility Programme for University Studies (TEMPUS), European Social Fund (ESF) and similar grants are excluded from this return, apart from where a portion of a grant from one of these sources was granted for research and spent on research: that portion may be returned. Where an institution is acting as a co-ordinator for an EC award it should only include the funds that will be directly spent in that institution as one of the contractors for the award. In respect of countries joining the EU during the assessment period, income should only be included from the date of accession onwards; income received before the date of accession should be returned under ‘other overseas’.
- h. EU other – includes all research grants and contract income from all non-government bodies operating in the EU, excluding the UK. In respect of those countries joining the EU during the assessment period, income should only be included from the date of accession onwards – income received prior to the date of accession should be returned under ‘other overseas’.
- i. Other overseas – includes all research grant and contract income from bodies operating outside the EU (with the source specified: ‘Other overseas’ will be a specified source).
- j. Other sources – includes all research grants and contract income not covered by the headings described in this paragraph. HEIs may specify the source if they wish or list as ‘Other’. Income from another HEI, where that other HEI is the ultimate source of funding should be included.

### Data definitions and notes

132. The HESA definition of research income applies: that is income in respect of externally sponsored research carried out by the institution (or its subsidiary) and for which *directly related expenditure has been incurred* (including recovery of indirect costs). The actual research income

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from external grants or contracts for which expenditure has been incurred in each financial year should be recorded, rather than the initial value of the grants or contracts. Where a grant or contract award is for a project lasting longer than one accounting period, the amount returned for each year should be the amount recorded in the financial statements for that year, not the full amount of the award.

133. We have excluded certain sources of income as detailed in paragraphs 142 to 143 on the basis that we expect grant income to have been won through competitive peer review. This expectation does not apply in the case of contract income or income from commissioned research.

134. Grants or contracts for which income is included in a submission must be associated with at least one member of staff who is submitted as research active in Categories A-D. Subject to this, all income in respect of research, as defined for the RAE (see Annex B), carried out at the institution and for which directly related expenditure has been incurred, should be returned.

135. We would normally expect consultancy income to be excluded since consultancy is normally concerned with applying existing knowledge. However, consultancy income may be included if the work it funds meets the RAE definition of research, irrespective of the nature of the contract or invoicing arrangement.

136. Income should be stated at full value including any recovery of indirect costs whether retained by the institution or department, or at the disposal of an individual in a department. Amounts in respect of costs for existing staff or facilities within research grants or contracts may be included.

137. External research income administered through the institution's own accounts should be included. So should income administered through the accounts of a subsidiary company, wherever that income was consolidated in the institution's audited financial statements. Other income, including income received directly by individuals working in the department, may not be returned

but may be referred to in the textual part of the submission. Similarly, gifts of equipment, and funding for building work not paid as part of the grant or contract for a specified research project, may also be cited in the textual part of a submission and should be excluded from RA4.

138. Research grant or contract income for building projects may be returned. Such income, whatever its source, should be returned under 'other', identifying the source and adding '(building)'. However, general building grants or donations are not eligible and any part of a building grant that relates to teaching or other non-research use may not be included.

139. Where an institution has income from endowments made for research purposes, and has incurred directly related expenditure on research with which at least one member of staff submitted as research active is associated, this may be returned under 'other', identified as endowments.

140. Research income from KTPs is eligible, apart from any portion in respect of studentships or tuition fees (see paragraph 141).

### *Ineligible income*

141. Income from studentships or tuition fees is ineligible, including money from a research grant or contract applied to support a research student, whether or not this formed part of the original grant or contract or was decided subsequently.

142. Except for JREI, grants awarded under funding body special initiatives are ineligible. Where a grant scheme is co-funded by one or more of the funding bodies and an external partner body, the element of the grant attributable to the funding body(ies), as specified in the grant award letter, is ineligible.

143. Science Research Investment Fund income and similar formula-based schemes funded by the HE funding bodies are ineligible.

144. Gifts of any kind for research purposes for which the institution did not incur qualifying direct expenditure, including all gifts of equipment, are ineligible: reference to them may be made in the textual parts of submissions.

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### ***Other notes***

145. Where a grant or contract is held, or the work conducted, across more than one UOA it should be divided between submissions to different UOAs according to the way the income has been used. Research projects which are funded from several sources should have their income allocated under respective headings to reflect the actual source of the income.

146. Where a project is undertaken by several institutions or organisations and one institution acts as the 'lead institution', only income received and spent by the institution making the return, and relating to the work actually being undertaken by it, should be included. The lead institution should not therefore include any portion of income in a particular year passed on to other institutions or organisations. Other institutions who receive a portion of a grant or contract as described in this paragraph may return the income against its original source as listed in paragraph 131.

147. Researchers will on occasion move between institutions during the progress of a grant or contract. If the original institution continues to receive income from the grant/contract then this should be returned by that institution alone. If the old grant/contract is cancelled and a new one is issued to the new institution, then the income from each grant/contract should be cited by the appropriate institution.

148. If an individual moves institution but continues to work on a grant/contract held jointly with other members of staff at the original institution, the income may be cited only by the institution which received it. The ruling on grants/contracts held by researchers at more than one institution applies only to awards that are specifically allocated at the start to individuals at more than one institution, not in the case of individuals who move institution after the award is announced.

149. Where Scottish HEIs hold small biomedical and clinical research grants and contracts income from the Chief Scientist Office at the Scottish Executive Health Department, they may be

included under 'OST Research Councils et al', as such awards are made in competition against a pool of research funds. Biomedical and clinical research grants awarded by the Wales Office of Research and Development for Health and Social Care (WORD) on the basis of peer review may be included under 'OST Research Councils et al'. Any grants or contracts awarded by WORD for a specific study in its capacity as an agency of the Welsh Assembly Government should be returned under 'UK government'.

150. The estimated value of Research Council facility time allocated through peer review and used by researchers in university departments may be returned under 'OST Research Councils et al' (see paragraph 131a) and will be identified in a separate line. The lead Research Council responsible for access and funding of a named facility will supply data on the value of these allocations to the HEIs concerned and to the RAE team. We expect that the Research Councils will supply data to HEIs relating to the RAE assessment period 1 January 2001 to 31 July 2007 and this will be made available to HEIs in sufficient time for it to be included in their submissions. We will consult with the Research Councils on these arrangements and will issue further guidance, including confirmation of the provisional dates for the supply of data to HEIs.

151. The value of Council for the Central Laboratory of the Research Councils (CCLRC) facility development grants, which are allocated through peer review to researchers in university departments but accounted for by CCLRC, may also be returned as a separate line under 'OST Research Councils et al' (see paragraph 131a). CCLRC will supply data on the value of these grants to the HEIs concerned and to the RAE team. Further arrangements, including confirmation of the provisional dates for the supply of data to HEIs will be issued in due course.

152. Where, exceptionally, VAT is payable on all or part of a research grant or contract at the point where the money is paid to the HEI, this should not be included as part of the institution's research income.

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153. Some sub-panels may wish HEIs to report research income by research group. In this case, the sub-panel's published criteria statement will specify this and the data collection software will include a facility to report income by group. Some sub-panels may also wish HEIs to report NHS R&D research income as a separate sub-heading under 'UK government central bodies'. In this case, the sub-panel's published criteria statement will specify this and the data collection software will enable it.

### **Part 3 Section 5 Research environment and esteem (RA5a)**

154. Information is required describing the research environment and evidence of esteem in the department. Sub-panels will specify in their criteria statements a structure and minimum content for RA5a to enable them to assess submissions against their published criteria.

155. Detailed guidance on the requirements for the content of RA5a will be specified in panel criteria. This will invite departments to explain their submission in terms of their research environment and organisation, including where relevant:

- information about the HEI's strategic investment in the UOA
- their strategies for promoting and developing research staff, particularly those new to research
- their strategies in relation to collaborative research with academic and non-academic bodies and with overseas HEIs
- their strategies in relation to interdisciplinary research
- the significance of their research on a range of academic and other audiences, including, where appropriate, practitioners, businesses and other users.

RA5a will also invite HEIs to describe where marks of esteem in research have been conferred upon the department, or individuals in the department, during the assessment period.

156. RA5a will have a length limit. We will decide this limit in the context of the criteria statements drawn up by panels. We do not expect it to be less than the combined limit for RA5 and RA6 in the 2001 RAE (that is, four A4 sides for submissions of up to six FTE staff, eight A4 sides for submissions of between six and 20 FTE staff, and one additional A4 side for each additional set of 20 FTEs up to a maximum of 14 sides). We will publish the limit alongside the panel's final published criteria statements.

157. Where sub-panels request them, we will make available forms RA5 and RA6 from HEIs submissions in the 2001 RAE, describing research plans and strategies.

158. Panel criteria statements will describe how they will use the information in form RA5a in assessing submissions.

### **Individual staff circumstances RA5b**

159. Panels will use the information supplied confidentially in RA5b in assessing submissions against their published criteria. No information contained in RA5b will be published.

160. Information is required describing any individual staff circumstances that have significantly adversely affected their contribution to the submission. Such circumstances might include, but are not restricted to:

- a. Matters covered by legislation including maternity leave.
- b. Part-time working.
- c. Engagement on long-term projects.
- d. Early career researcher status – defined in general for RAE 2008 as entering the academic profession from 1 January 2001 to 31 October 2007 (see paragraph 75 j). Panel criteria statements should be referred to for subject specific guidance.
- e. Prolonged absence (more than six months consecutively from 1 January 2001 to 31 October 2007) due to:
  - i. Secondment.
  - ii. Career break.
  - iii. Ill health or injury.

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161. HEIs will be required to indicate in RA1 those individuals whose circumstances have hindered their contribution to the research described in the submission significantly and who they therefore describe in RA5b. HEIs will need to provide sufficient, explicit information in RA5b about how the individual's particular circumstances have adversely affected their contribution to enable panels to apply their published criteria. HEIs need not describe circumstances (for example, a disability) that have had no adverse effect on an individual's capacity to undertake research.

162. RA5b will have a length limit per individual. We will decide this in the context of the criteria statements drawn up by the panels and publish it with the panels' final published criteria statements.

### **Category C staff circumstances RA5c**

163. For each individual returned as Category C, information is required in RA5c demonstrating that their research is clearly and demonstrably focussed in the department. Sub-panel criteria statements will give examples of the types of evidence to be supplied. If a sub-panel is not convinced by the evidence provided, it may take account of this in assessing that individual's contribution to the department's research. Like RA5b, RA5c will have a length limit per individual which we will publish alongside the panels' final published criteria statements. The information in RA5c will be published (see paragraph 33).

## Annex A

### Quality profiles and definitions of quality levels

Table 1 **Sample quality profile\***

Unit of assessment A	FTE Category A staff submitted for assessment	Percentage of research activity in the submission judged to meet the standard for:				
		four star	three star	two star	one star	unclassified
University X	50	15	25	40	15	5
University Y	20	0	5	40	45	10

\* The figures are for fictional universities. They do not indicate expected proportions.

Table 2 **Definitions of quality levels**

Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which nonetheless falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

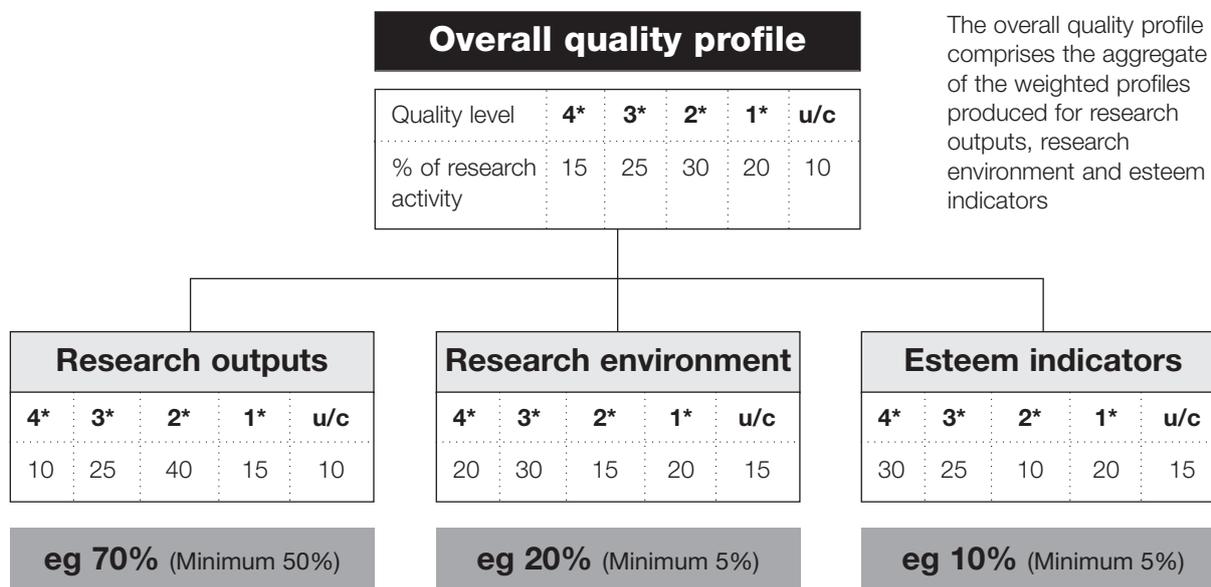
#### Notes to Tables 1 and 2

1. Sub-panels will use their professional judgement to form a view about the quality profile of the research activity described in each submission, taking into account all the evidence presented. Their recommendations will be endorsed by the main panel in consultation with the sub-panel.
2. 'World-leading' quality denotes an absolute standard of quality in each unit of assessment.
3. 'World leading', 'internationally' and 'nationally' in this context refer to quality standards. They do not refer to the nature or

geographical scope of particular subjects, nor to the locus of research nor its place of dissemination, for example, in the case of 'nationally', to work that is disseminated in the United Kingdom of Great Britain and Northern Ireland.

4. The profile for a submission that contains no research which meets the one star threshold will be 100 per cent unclassified. A submission that contains no research (that is, no work that meets the definition of research for the RAE research) will not be awarded a quality profile.

Figure 1 **Building a quality profile**



The percentage weightings to the three elements are illustrative. Panels should allocate these. The minimum weighting for the research outputs profile is 50%. In this example the overall quality profile shows 15% of research activity is at 4\* level. This is made up of 70% x 10 (research outputs), 20% x 20 (research environment) and 10% x 30 (esteem indicators), rounded as described in paragraphs 8-11 below.

### Notes to Figure 1

1. Panels are required to consider all the components of the submission when reaching an overall quality profile. The components equate to the different data collected in the RAE, namely submitted staff information (RA1), research outputs (RA2), research student data (RA3), research income (RA4), supporting statement on research environment and esteem indicators (RA5a).
2. These different components will be assessed under three overarching elements: research outputs, research environment, and esteem indicators. Research outputs (RA2) will always be assessed as one of these three elements.
3. Main panels will decide whether the components of submissions other than research outputs (RA3, 4 and 5) will be assessed under the 'Research environment' or 'Esteem indicators' element. For example, a panel may consider that research income contributes to research environment, or that it is a measure of esteem in its subject area. Similarly research student numbers, research student completions and

research studentships may either be part of the research environment or an indicator of esteem. Main panels will explain in their statements of criteria and working methods their reasoning for assigning components of the submission to a particular element.

4. Main panels will allocate a percentage weighting to each of three elements – research outputs, research environment and esteem indicators – which will indicate the extent to which the different elements will contribute to the overall quality profile of a submission. Given the primacy of expert review in the process, the weighting allocated to research outputs must be at least 50 per cent of the overall quality profile: some main panels may reasonably decide that research outputs should be weighted more highly. Main panels must allocate a significant weighting to each of the other aspects, environment and esteem, as they see fit, but since the quality profile will be defined in multiples of 5 per cent, the minimum weighting in either case will be 5 per cent. Main panels must define their reasoning in every case in their criteria statements.

5. Sub-panels will assess research outputs and develop a quality profile for this element. Sub-panels will also assess the evidence within the components of the submission assigned to the research environment and esteem indicators elements and draw up a quality profile for each.

6. Sub-panels will sum the three weighted quality profiles to develop an overall quality profile for the submission. They will use the rounding methodology described in paragraphs 8-10 of this Annex to round the overall quality profile. Overall quality profiles will be published in steps of 5 per cent.

7. Sub-panels will finally confirm that, in their expert judgement, the overall profile is a fair reflection of the research activity in that submission, and that their assessment has taken account of all the different components of the submission.

## Rounding

8. All sub-panels will adopt a cumulative rounding methodology to ensure that the overall quality profile for any submission will always round to 100 per cent and to avoid the unfair consequences that simple rounding can produce. They will first sum the weighted quality profiles for outputs, environment and esteem and then adopt a cumulative rounding methodology.

### *Worked example*

9. Using the example in Figure 1, first calculate the initial overall profile, that is, the sum of the weighted profiles for outputs, environment and esteem.

	4*	3*	2*	1*	u/c
Outputs	10	25	40	15	10
Environment	20	30	15	20	15
Esteem	30	25	10	20	15
Weighted					
70%	7	17.5	28	10.5	7
20%	4	6	3	4	3
10%	3	2.5	1	2	1.5
Initial profile	14	26	32	16.5	11.5

10. Cumulative rounding works in three stages:

a. The initial profile is:

4*	3*	2*	1*	u/c
14	26	32	16.5	11.5

b. Stage 1: Calculate the cumulative totals (for example the cumulative total at 3\* or better is 26+14=40)

4*	3* or better	2* or better	1* or better	u/c or better
14	40	72	88.5	100

c. Stage 2: Round these to the nearest 5 per cent, (rounding up if the percentage ends in exactly 2.5 or 7.5)

4*	3* or better	2* or better	1* or better	u/c or better
15	40	70	90	100

d. Stage 3: Find the differences between successive cells to give the rounded profile. So, for example, the percentage allocated to 2\* is the difference between the cumulative total at 2\* or better, minus the cumulative total at 3\* or better (70-40 =30).

4*	3*	2*	1*	u/c
15	25	30	20	10

11. Cumulating the totals other way (rounding down if the percentage ends in exactly 2.5 or 7.5) gives exactly the same answer.

## Annex B

### Definition of research for the RAE

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(Changes in phrasing from the definition used for the 2001 RAE are in **bold**.)

'Research' for the purpose of the RAE is to be understood as original investigation undertaken in order to gain knowledge and understanding. It includes work of direct relevance to the needs of commerce, industry, **and** to the public and voluntary sectors; scholarship\*; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and **routine** analysis of materials, components and processes **such as** for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research.

\* Scholarship for the RAE is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.

## Annex C

### RAE 2008 Units of assessment

#### RAE 2008 Units of assessment and main panels

Main panel	UOA	UOA name
A	1	Cardiovascular Medicine
	2	Cancer Studies
	3	Infection and Immunology
	4	Other Hospital Based Clinical Subjects
	5	Other Laboratory Based Clinical Subjects
B	6	Epidemiology and Public Health
	7	Health Services Research
	8	Primary Care and Other Community Based Clinical Subjects
	9	Psychiatry, Neuroscience and Clinical Psychology
C	10	Dentistry
	11	Nursing and Midwifery
	12	Allied Health Professions and Studies
	13	Pharmacy
D	14	Biological Sciences
	15	Pre-clinical and Human Biological Sciences
	16	Agriculture, Veterinary and Food Science
E	17	Earth Systems and Environmental Sciences
	18	Chemistry
	19	Physics
F	20	Pure Mathematics
	21	Applied Mathematics
	22	Statistics and Operational Research
	23	Computer Science and Informatics
G	24	Electrical and Electronic Engineering
	25	General Engineering and Mineral & Mining Engineering
	26	Chemical Engineering
	27	Civil Engineering
	28	Mechanical, Aeronautical and Manufacturing Engineering
	29	Metallurgy and Materials
H	30	Architecture and the Built Environment
	31	Town and Country Planning
	32	Geography and Environmental Studies
	33	Archaeology

<b>Main panel</b>	<b>UOA</b>	<b>UOA name</b>
I	34	Economics and Econometrics
	35	Accounting and Finance
	36	Business and Management Studies
	37	Library and Information Management
J	38	Law
	39	Politics and International Studies
	40	Social Work and Social Policy & Administration
	41	Sociology
	42	Anthropology
	43	Development Studies
K	44	Psychology
	45	Education
	46	Sports-Related Studies
L	47	American Studies and Anglophone Area Studies
	48	Middle Eastern and African Studies
	49	Asian Studies
	50	European Studies
M	51	Russian, Slavonic and East European Languages
	52	French
	53	German, Dutch and Scandinavian Languages
	54	Italian
	55	Iberian and Latin American Languages
	56	Celtic Studies
	57	English Language and Literature
	58	Linguistics
N	59	Classics, Ancient History, Byzantine and Modern Greek Studies
	60	Philosophy
	61	Theology, Divinity and Religious Studies
	62	History
O	63	Art and Design
	64	History of Art, Architecture and Design
	65	Drama, Dance and Performing Arts
	66	Communication, Cultural and Media Studies
	67	Music

## Annex D

### Timetable for RAE 2008

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<b>January 2005</b>	Guidance to panels issued
<b>May 2005</b>	Panel membership published
<b>June 2005</b>	Guidance on submissions issued
<b>Summer 2005</b>	Draft criteria and working methods of main panels and sub-panels issued for consultation ( <b>16 July to 19 September 2005</b> )
<b>January 2006*</b>	Final criteria and working methods of main panels and sub-panels issued
<b>August 2006</b>	Issue pilot software and draft manuals
<b>December 2006</b>	Issue final software, final manuals and invitation to HEIs to make submissions
<b>Spring 2007</b>	Survey of HEIs submission intentions
<b>31 July 2007</b>	End of assessment period for research income and research student data
<b>31 October 2007</b>	Census date
<b>30 November 2007</b>	Closing date for submissions
<b>31 December 2007</b>	End of publication period (cut-off point for publication of research outputs)
<b>December 2008</b>	Results published

\* In the timetable at Annex E of 'RAE 01/2005 Guidance to panels', the RAE team published its intention to publish final panel criteria and working methods by the end of 2005. However, in view of our decision to extend by two weeks the period of consultation on draft criteria to enable HEIs and subject associations to make considered responses, we now expect to publish final versions in January 2006.

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#### Timetable of panel meetings

Round one	January-March 2005	Criteria-setting (drafting)
Round two	March-May 2005	Criteria-setting (drafting)
Round three	October/November 2005	Criteria-setting (final)
Round four	June/July 2007	Consideration of submission intentions
Rounds five to eight	January-November 2008	Assessment phase

Each round of meetings will comprise one meeting of each main panel and sub-panel normally lasting one or two days. Sub-panels normally meet before main panels, except in round one when main panels met first.

## Annex E

### Summary of data requirements

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This Annex provides a summary of the data requirements and points to relevant paragraphs in this document that describe the data requirements and definitions.

Summary of data requirements	RA Form	Paragraphs
FTE of submitted category A research active staff	RA0	65g.i, 67a
FTE of research assistants	RA0	67b, 69-71
FTE of research support staff (technicians, scientific officers, experimental officers, other support staff devoted to research)	RA0	67c, 69, 72-73
Contractual and other data on submitted research active in individuals by category A-D	RA1	74-91
Designation of Category A and C staff as research fellow as defined for RAE 2008	RA1	75h, 80-82
Data about a maximum of 4 research outputs produced by each submitted Category A and C staff individual	RA2	92-104
Headcount of full-time research students in each year 2001 to 2007	RA3a	105a, 106-121
Headcount and FTE of part-time research students in each year 2001 to 2007	RA3a	65g.ii, 105b, 106-121
Number of research doctoral degrees awarded in each year 2001 to 2007	RA3a	105c, 122 -123
Number of research masters degrees awarded in each year 2001 to 2007	RA3a	105d, 122-123
Number of new studentships, by source of funding, awarded for research-based higher degrees in each year 2001 to 2007	RA3b	124-129
External research income expended in each financial year 2001 to 2007, by source	RA4	130-153
Information describing the research environment and evidence of esteem	RA5a	154-158*
Information about individual staff circumstances that have adversely affected their contribution to submissions	RA5b	159-162
Evidence for the inclusion of Category C staff – that their research is focussed in the submitting department	RA5c	163

\* Panel statements of criteria and working methods will specify a structure for RA5a

## **Annex F**

### **Standard data analyses**

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#### **Standard analyses provided to panels for each submission**

1. Total number of research-active\* staff by category (headcount)
2. Total number of research fellows
3. Total number of research assistants who are supervised by research-active staff
4. Research assistants supervised per research-active staff
5. Total number of research students who are supervised by research-active staff
6. Research students supervised per research-active staff
7. Total number of outputs listed in RA2 for assessment
8. Numbers of staff with 0, 1, 2, 3 or 4 research outputs (five separate totals)
9. Total number of studentships (listed by sponsor)
10. Studentships (listed by sponsor) per research-active staff
11. Studentships per research student
12. Total research income (listed by source of income)
13. Research income (listed by source of income) per research-active staff

#### **Standard analyses provided to panels for each UOA**

14. Total number of research-active staff
15. Total number of staff by category (headcount)
16. Average number of research assistants supervised per research-active staff
17. Average number of research students supervised per research-active staff
18. Total number of outputs listed
19. Average number of research degrees awarded per annum (by each category: doctoral and masters)
20. Average number of studentships (listed by sponsor) per research-active staff
21. Average number of studentships (listed by sponsor) per research student
22. Average research income (listed by source of income) per research-active staff.

\* In all cases 'research-active' refers to those selected for submission

Numbers of staff, assistants and students will be expressed as full-time equivalents in the analyses, unless otherwise specified.

In all cases, analyses per research-active staff will be presented as two separate totals: one total per Category A staff and one total per Category A staff + Category C staff.

## Introduction

1. It is recognised that many institutions have already been working towards making RAE 2008 submissions, although obviously we do not expect final decisions have been made. The purpose of this guidance is to aid institutions in ensuring that the maximum number of staff who are conducting excellent research have their work included in submissions. The intention is that it shall be used to inform each institution's internal equality RAE code of practice, which should also refer to that institution's existing equal opportunities policies.<sup>4</sup>

## The legislative context

### Funding bodies' legal responsibilities

2. Under the Race Relations (Amendment) Act (RRAA), the higher education funding bodies in England, Wales and Scotland have a statutory duty to monitor the HE sector for any adverse and differential impact of a funding body sponsored policy or service on a minority ethnic community. They also have a duty to monitor, by racial group, the numbers of staff in the HEIs they are responsible for, and to publish annually, as far as possible, the results of that monitoring. As part of their responsibility under the RRAA, they also need to monitor, by racial group, the staff submitted to the RAE<sup>5</sup>.

3. As similar duties will be in force for disability and are expected for gender before RAE 2008 is actually carried out, the funding bodies in England, Wales and Scotland will have similar obligations to monitor in those areas, including monitoring the RAE returns.

### HEIs' legal responsibilities

4. HEIs likewise have a general duty and specific duties under the RRAA. As well as having a duty to monitor submissions to the RAE by racial

group, institutions' internal selection processes will have to be assessed for their impact on different racial groups. Institutions will have similar responsibilities in respect of gender and disability before the RAE in 2008.

5. In addition, under the Fixed-term and Part-time Employees Regulations, fixed-term and part-time employees have the right not to be treated by an employer any less favourably than the employer treats a comparable 'permanent' employee.

### Summary of legislation

6. A summary of the equal opportunities legislation with which institutions have to comply generally, and which they should take into account when preparing their RAE 2008 submissions is included in this Annex. 'Equality briefing for panel chairs, members and secretaries' (RAE 02/2005) advised members of RAE panels about this legislation and instructed them to develop working methods and assessment criteria that encourage HEIs to submit the work of all of their excellent researchers, including those whose volume of research output may have been limited for reasons covered by equal opportunities legislation. Panel statements of criteria and working methods give guidance for submitting institutions about each panel's treatment of different individual circumstances.

### RAE requirement for a code of practice

7. It is a requirement of the RAE that each submitting institution establishes a code of practice. Clearly managerial decisions on which of their staff to submit are at the discretion of HEIs but they need to be defensible. The funding bodies will require the head of each HEI making an RAE submission to confirm that the HEI has – in preparing its submissions and selecting staff

<sup>4</sup> In the guidance that follows reference is made to the legal frameworks in England, Scotland and Wales. It is expected, however, that institutions in Northern Ireland will also produce codes of practice of the kind set out below.

<sup>5</sup> HEIs in Northern Ireland and the Department of Education and Learning Northern Ireland have responsibilities under the Northern Ireland Act 1998 HEFCE, HEFCW and SHEFC as well as all English, Welsh and Scottish HEIs have responsibilities under the Race Relations (Amendment) Act 2000 All higher education funding bodies and HEIs will have responsibilities under the Disability Discrimination Act 2005.

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for inclusion – developed, adopted and documented an appropriate internal code of practice, which attends to all relevant equal opportunities legislation in force on the submission date. HEIs may be required to submit their code of practice for verification but they will not be routinely required to submit their code with their RAE submission.

8. Given the increasingly stringent requirements of the law and the risk of challenge, which mark a significant change from the context in which previous RAEs were carried out, it is inevitable that HEIs would have to establish formal and transparent policies and procedures for handling the RAE in order to discharge their own legal responsibilities. The RAE code of practice required by the funding bodies, so that their legal obligations can be met, thus provides a common framework for the development of policies and procedural statements within the exercise, but does not generate obligations beyond those that HEIs will in any case need to address.

9. We have developed the following guidance with the ECU. It is intended to assist HEIs in drawing up a code of practice that frames their decision-making processes in relation to the 2008 RAE in the context of the principle of equality of opportunity and all relevant legislation. For those HEIs that do not already have in place an equal opportunities code governing their RAE preparations, it offers suggestions on procedures they might consider including.

## **Guidance to institutions**

### **The basic principles**

10. Each institution's code of practice should make all the processes concerned with selection of staff for inclusion in RAE 2008 submissions transparent. It is essential that practice in respect of submissions is consistent across the institution. As decisions regarding the exercise will be made at different levels within institutions, the code of practice should set out the principles to be applied to all aspects/stages of the processes. Responsibilities should be clearly defined and the operating criteria and terms of reference for

individuals, committees, advisory groups and any other bodies concerned with the RAE should be made readily available to all individuals and groups concerned. Also, we recommend that they are published on the staff intranet and that the existence of the code is well publicised throughout the institution, with copies being made freely available.

### **Senior management**

11. It will commonly be the case that major responsibility for conducting aspects of the RAE process and making key decisions will be carried out by existing designated senior officers of the institution (such as pro-vice chancellors, deans and heads of school). The procedures and processes for the selection of the designated senior member of staff (even if, in this case, it is a senior officer such as the pro-vice chancellor [research]) should be described in the code of practice.

12. The equal opportunities training that this designated person will undertake, or has undertaken, or the level of understanding of the issues they will be required to attain should be included in the code.

13. Clear definitions of each person's role within the process must be provided.

### **Committees**

14. The structural differences within HEIs mean that the method of developing submissions will not be uniform across the sector. Where a committee or committees have designated RAE responsibilities, whether it is at departmental, faculty, UOA or central level, these should be detailed in the code of practice, including, for each committee:

- how the committee has been formed
- its membership
- the definition of its position within the advisory or decision-making process
- the steps taken to ensure that members are well informed about their own and the institution's legal obligations regarding equal opportunities.

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15. The following details should be provided about its mode of operation:

- the criteria that it will use in carrying out its functions
- the method by which these criteria are communicated
- the method and timescale in which feedback will be provided in respect of the decisions made.

16. Where faculties/UOAs consider reports from departmental RAE committees or designated staff, the parameters of the discussion must be clear, and records must be kept. When individual performance is discussed and the individual is absent, committees should be made fully aware of all the facts relating to the individual.

### **Guidelines for UOA coordinators, faculties and departments**

17. The code of practice should include guidelines for UOA coordinators, faculties and departments on selection and submission. The guidance should include definitions of the institution's policies and procedures for:

- appointing an external advisor, if required
- the transparent selection of staff who are responsible for deciding which work is to be submitted
- selecting staff for submission
- communicating the process to staff
- offering feedback.

18. In the light of these guidelines, each unit of assessment should produce a statement of intent giving information about how it will carry out its selection and submission process. This may require processes to be established at faculty and/or departmental level. Staff should be consulted on the statement.

19. Where decisions are made by a single UOA leader, the code should set out a procedure for checking for consistency or verifying that these decisions are in keeping with the institution's policy or benchmark for selection.

### **Impact assessment**

20. Each HEI should also provide an equality profile – in terms of disability, gender and ethnicity – of staff who are eligible for submission and indicate those who are submitted and those who are not. If any prima facie imbalance is found relative to the total potential pool, then the HEI may be required to account for it. HEIs may consider undertaking impact assessments at lower levels, for example if they perceive imbalance in particular UOAs.

### **Appeals**

21. The code of practice should include details on how appeals or complaints will be handled if they are on the grounds of potential discrimination. These could be a personal characteristic (such as gender or disability) or a work pattern/absence that has not been fully taken into account. This could be done through reference to the institution's existing complaint reporting mechanisms, if they are thought to be appropriate for this purpose.

### **Personal circumstances**

22. Main panels and sub-panels have produced guidance on how they will deal with individual circumstances that might have had an effect on an individual's contribution to a submission. While there will be some variation between UOAs, the institution's code of practice must clearly draw attention to the fact that each panel's guidance document has an equal opportunities statement.

23. In common with the panel guidance, the institutional code of practice must also include the standard list of circumstances that the institution and the panels will take into account. These are:

- absence due to maternity/adoption leave
- women returning to part-time work after maternity leave in the period **1 January 2001 to 31 October 2007**
- adoptive parents returning to part-time work after adoptive leave in the period **1 January 2001 to 31 October 2007**

- part-time work
- disability, including temporary incapacity that lasts for at least 12 months. Institutions are advised that the Disability Discrimination Act 2005 will cover people with cancer, Multiple Sclerosis and HIV from the point of diagnosis from October 2006
- young staff who entered the profession during the period **1 January 2001 to 31 October 2007**
- mature staff who were new entrants to the profession during the period **1 January 2001 to 31 October 2007**
- absence due to ill-health or injury.

24. When making submissions to UOAs that are laboratory-based, HEIs should be mindful of health and safety restrictions imposed on pregnant and breastfeeding women which may have prevented them from undertaking some types of research during the period 1 January 2001 to 31 October 2007. Similar consideration should be given to the restrictions that pregnancy and nursing might place on fieldwork.

25. Institutions will also need to develop policies in respect of absences for sabbaticals, career breaks and secondments.

26. The code of practice must define which absences, and for what duration, will be accounted for in submissions, and the institutional approach to them. This must be standard across all departments.

### **Fixed-term and part-time staff**

27. In the light of the Fixed-term and Part-time Regulations, consideration will also need to be given to the way in which the institution can demonstrate the implementation of equality of opportunity for those on fixed-term and part-time contracts.

28. The code of practice should therefore include a statement about how the institution supports its fixed-term and part-time staff, including contract research staff.

### **Joint submissions**

29. HEIs making joint submissions may wish to make their code of practice available to collaborating HEIs. In any case, they should ensure that joint decision-making across HEIs does not compromise their adherence to their respective codes of practice.

### **Mock exercises**

30. HEIs that conduct mock RAEs might consider using the mock exercise as an opportunity to apply their draft code and refine it thereafter.

### **Further information**

31. Further information, including the text of legislation, can be accessed through the Equality Challenge Unit's web-site at [www.ecu.ac.uk](http://www.ecu.ac.uk). Specific queries should, however, be addressed to the RAE team in the first instance.

Table 3 **Summary of equality legislation**

	<b>Direct discrimination</b>	<b>Indirect discrimination</b> (The wording in respect of indirect discrimination is taken directly from the relevant legislation.)
<b>Age</b>	Forthcoming in 2006	
<b>Disability</b> Disability Discrimination Act 1995	Occurs when a disabled person is treated less favourably for a reason relating to his/her disability than someone of whom that reason does not or would not apply.	
<b>Race*</b> Race Relations Act 1976	A person is treated less favourably than other people on racial grounds.	<p>1. A person discriminates against another if he applies to that other a requirement or condition which he applies or would apply equally to persons not of the same racial group as that other but:</p> <p>(i) which is such that the proportion of persons of the same racial group as that other who can comply with it is considerably smaller than the proportion of persons not of that racial group who can comply with it; and</p> <p>(ii) which he cannot show to be justifiable irrespective of the colour, race, nationality or ethnic or national origins of the person to whom it is applied; and</p> <p>(iii) which is to the detriment of that other because he cannot comply with it.</p> <p>2. A person discriminates against another if he applies a provision, criterion or practice which he applies or would apply equally to persons not of the same race or ethnic or national origins to that other person:</p> <p>i) which puts or would put persons of the same race or ethnic or national origins as that other at a particular disadvantage when compared with other persons,</p> <p>ii) which puts that other at that disadvantage, and</p> <p>iii) which he cannot show to be a proportionate means of achieving a legitimate aim.</p>
<b>Religion or belief</b> Employment Equality (Religion or Belief) Regulations 2003	A person is treated less favourably than other people on grounds of his or her religion or belief.	<p>A applies to B a provision, criterion or practice which he applies or would apply equally to persons not of the same religion or belief as B, but:</p> <p>i) which puts or would put persons of the same religion or belief as B at a particular disadvantage when compared with other persons,</p> <p>ii) which puts B at that disadvantage, and</p> <p>iii) which A cannot show to be a proportionate means of achieving a legitimate aim.</p>

Table 3 (continued)

<p><b>Sex**</b> Sex Discrimination Act 1975</p>	<p>A man or woman is discriminated against when he or she is treated less favourably than a woman or man would be, respectively.</p>	<p>1. A person discriminates against a woman [or a man] if he applies to her [or him] a requirement or condition which he applies or would apply equally to a man [or woman] but:</p> <ul style="list-style-type: none"> <li>i) which is such that the proportion of women [or men] who can comply with it is considerably smaller than the proportion of men [or women] who can comply with it, and</li> <li>ii) which he cannot show to be justifiable irrespective of the sex of the person to whom it is applied, and</li> <li>iii) which is to her [or his] detriment because she [or he] cannot comply with it.</li> </ul> <p>2. A person discriminates against a woman [or a man] if he applies to her [or him] a provision, criterion or practice which he applies or would apply equally to a man [or a woman], but</p> <ul style="list-style-type: none"> <li>i) which is such that it would be to the detriment of a considerably larger proportion of women than of men, [or men than of women] and</li> <li>ii) which he cannot show to be justifiable irrespective of the sex of the person to whom it is applied, and</li> <li>iii) which is to her [or his] detriment.</li> </ul>
<p><b>Sexual orientation</b> Employment Equality (Sexual Orientation) Regulations 2003 Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003</p>	<p>A person is treated less favourably than other people on grounds of his or her, actual or perceived, sexual orientation.</p>	<p>A applies to B a provision, criterion or practice which he applies or would apply equally to persons not of the same sexual orientation as B, but:</p> <ul style="list-style-type: none"> <li>i) which puts or would put persons of the same sexual orientation as B at a particular disadvantage when compared with other persons,</li> <li>ii) which puts B at that disadvantage, and</li> <li>iii) which A cannot show to be a proportionate means of achieving a legitimate aim.</li> </ul>

\* The Race Relations Act 1976 was amended by the EU Race Directive in 2003. This has resulted in an anomaly in that the amendment refers to persons of the same race or ethnic or national origins, while the original Act, which has not been repealed, refers to persons of the same colour or nationality.

\*\* Wording has been added, denoted by square brackets, which does not appear in the Act. This is to make explicit the fact that the Act covers men as well as women.

## Annex H

### Related and forthcoming publications

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The following publications give relevant further information about the 2008 RAE: titles of forthcoming publications are provisional. All are available (or will be when published) at [www.rae.ac.uk](http://www.rae.ac.uk):

- RAE 01/2004 'Initial decisions by the UK funding bodies'
- RAE 03/2004 'Units of assessment and recruitment of panel members'
- RAE 01/2005 'Guidance to panels'
- RAE 02/2005 'Equality briefing for panel chairs, members and secretaries'
- Panel members for the 2008 RAE (web only)
- RAE data collection – submission software XML schemes (web only)
- draft statements of main and sub-panel criteria and working methods (to be published in draft form – web only – by July 2005)
- final statements of main and sub-panel criteria and working methods (to be published by January 2006)
- guidance on completion of RAE submission software (to be published by August 2006).

## Annex I

### Glossary of terms

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Publication period	The period during which research outputs must be placed in the public domain (or in the case of confidential outputs, lodged with the sponsor) if they are to qualify for assessment in RAE 2008. The publication period runs from 1 January 2001 to 31 December 2007.
Census date	The date determining the affiliation of research staff to a particular institution. (Category A staff may be submitted to the RAE by the employing institution on this date, regardless of previous or forthcoming changes in their employment status.) The census date will be 31 October 2007.
Department	The staff included in a submission to one of the 67 discrete units of assessment recognised by the RAE, and, by extension, their work and the structures which support it. RAE departments are often not identified with a single administrative unit within an HEI.
Eligible staff	Academic staff whose primary employment function is research, teaching or both and who can be shown to have undertaken significant autonomous research, or otherwise to have made a significant independent research contribution to the research output of a unit or department.
Expert review	Assessment of outputs by experts in the discipline. Most will be active researchers but, in some cases, research users who are not currently active researchers but are expert users will participate in the assessment.
Financial year	For RAE purposes a financial year is 1 August to 31 July (not 1 April to 31 March).
Funding bodies	The four UK funding bodies for higher education: the Higher Education Funding Councils for England, Scotland and Wales, and the Department for Employment and Learning, Northern Ireland.
Joint submission	The collaborative work of two or more institutions in a single subject area, submitted in the form of a unified entity to a single unit of assessment.
Multiple submission	More than one, discrete submission made by one HEI to one unit of assessment. Each of the discrete submissions describes an academically and structurally distinct body of research.
Panel	Generic term covering both main panels and sub-panels in RAE 2008.
Quality profile	The results of each submission's assessment – replacing the rating used in previous RAEs. The quality profile shows the proportion of overall research activity described in a submission that meets each of four defined levels of quality (one, two, three and four star) and the proportion that is unclassified.
Research activity	The totality of the research and research-related activities reported in a submission. Research activity includes the conduct, management and dissemination of research.
Research output	The outcome of a research process, presented in the public domain (or in the case of confidential outputs, lodged with the sponsor).
Submission	The complete set of information provided to the RAE by a department within a unit of assessment.
Unit of assessment (UOA)	One of 67 discipline areas to which RAE submissions may be made by institutions.

## **Annex J**

### **List of abbreviations**

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<b>FTE</b>	Full-time equivalent
<b>HE</b>	Higher education
<b>HEI</b>	Higher education institution
<b>HEFCE</b>	Higher Education Funding Council for England
<b>HESA</b>	Higher Education Statistics Agency
<b>OST</b>	Office of Science and Technology
<b>RA</b>	Research Assessment
<b>RA review</b>	Sir Gareth Roberts' Research Assessment review
<b>RAE</b>	Research Assessment Exercise
<b>u/c</b>	Unclassified (quality level)
<b>UOA</b>	Unit of assessment

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