

# rae2008

Panel criteria and working methods

## Panel O

UOA 63 Art and Design

UOA 64 History of Art, Architecture and Design

UOA 65 Drama, Dance and Performing Arts

UOA 66 Communication, Cultural and Media Studies

UOA 67 Music

**January 2006**

*Ref RAE 01/2006 (O)*

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## RAE 2008 Assessment criteria and working methods: Main Panel O and UOAs 63-67

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<b>To</b>	Heads of HEFCE-funded higher education institutions Heads of HEFCW-funded higher education institutions Heads of SFC-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 01/2006 (O)
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### Executive summary

#### Purpose

1. This document describes the criteria and working methods of the following main panel and unit of assessment (UOA) sub-panels in the 2008 Research Assessment Exercise (RAE2008):

- Main Panel O
- UOA 63 Art and Design
- UOA 64 History of Art, Architecture and Design
- UOA 65 Drama, Dance and Performing Arts
- UOA 66 Communication, Cultural and Media Studies
- UOA 67 Music

#### Key points

2. These statements of criteria and working methods have been revised and finalised following a public consultation on earlier draft versions which we conducted over summer 2005. They take account of views expressed through the consultation by higher education institutions and their staff, subject associations and other stakeholder bodies.

3. The main and sub-panel statements of criteria and working methods should be read alongside both the generic statement in Section 2 and the guidance on data requirements for the 2008 RAE (RAE 03/2005 'Guidance on submissions').

#### Action required

4. This document is for information and guidance. No action is required.



## Section 1: Introduction

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5. Panels met to draft criteria and working methods in spring 2005. The UK higher education (HE) funding bodies invited comments on these drafts via a web-based consultation in summer 2005. The focus of the consultation was on aspects of the panels' criteria and working methods that the panels themselves could change, rather than on matters that had been fixed and published in other documents about the 2008 RAE (for example RAE 01/2004 'Initial decisions by the UK funding bodies', and RAE 01/2005 'Guidance to panels').

6. In autumn 2005, panels met to consider responses to the consultation and to finalise their criteria. A quantitative analysis of responses to the consultation and a summary of the generic issues that respondents raised is available on the RAE web-site at [www.rae.ac.uk/pubs/](http://www.rae.ac.uk/pubs/)

7. The purpose of publishing statements of criteria and working methods is to give higher education institutions (HEIs) information about how submissions will be assessed, in good time to assist with their planning. As with previous RAEs, the assessment process is based on expert review: each panel will use its professional judgement to form a view about the overall quality of the research activity described in each submission, taking account of all the evidence presented, against its published criteria and in line with its published working methods. Results for each submission will be published in the form of a quality profile, which is described in Annex 1.

8. Section 2 of this document contains a generic statement on the criteria and working methods (hereafter referred to as 'the generic statement') that all panels will adopt. Section 3 contains the specific criteria and working methods of one main panel and the sub-panels for the units of assessment (UOAs) that it covers. Main and sub-panel criteria and working methods must be read alongside the generic statement in Section 2.

9. Panels' criteria and working methods should be read in conjunction with the guidance to HEIs on the data requirements for the 2008 RAE (see RAE 03/2005 'Guidance on submissions'). The latter explains the purpose of the RAE and the principles underpinning it, the role of main and

sub-panels, and the data they will use to make assessments, and gives other details on the context in which the panels' criteria and working methods may be understood.

10. In this document, 'panels' is used to mean both main panels and sub-panels. Where we refer exclusively to main panels or to sub-panels, we identify them as such.

### Enquiries

11. Enquiries should be addressed to the RAE team ([info@rae.ac.uk](mailto:info@rae.ac.uk) or tel 0117 931 7267) and should be routed wherever possible through each HEI's designated RAE contact.



## Section 2: Generic statement on criteria and working methods

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### Definitions

12. For the purposes of the RAE, and throughout the panels' criteria and working methods, the following definitions apply:

- a. **Assessment period** means the period from 1 January 2001 to 31 July 2007. The research described in submissions, including data about research students and research income and the textual commentary, must relate to this period.
- b. **Census date** means the date determining the affiliation of research-active staff to a particular institution. Staff may be submitted in the RAE by the institution that employs them 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.
- 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. **Early career researchers.** These are individuals of any age who first entered the academic profession on employment terms that qualified them for submission to RAE2008 as Category A staff on or after 1 August 2003.
- e. **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 FTEs. The minimum contracted FTE that may be reported for Category A staff is 0.2.

- 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, as for example 0.67.

- 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 RAE2008. The publication period runs from 1 January 2001 to 31 December 2007 for all UOAs.
- g. **Returned** refers to any data included in any of the RAE submission forms RA0 to RA5c.
- 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, they may satisfy the data definitions and requirements), but HEIs are not required to include all their eligible staff. Further information, and guidance from the Equality Challenge Unit on preparing a code of practice, is given in Annex G of RAE 03/2005 'Guidance on submissions'.
- i. **Submission** means a complete set of forms RA0 to RA5c returned by an HEI in any of the 67 UOAs.
- j. **UOA** means one of the 67 subject units of assessment defined for the 2008 RAE, which are listed in Annex 2.

13. The definition of research for the 2008 RAE is at Annex 3. Research outputs and research income may be included in submissions, provided that the work they embody or fund meets this definition. Consultancy income and research outputs arising from consultancy contracts should normally be excluded, since consultancy is usually concerned with applying existing knowledge. However, they may be included if the work undertaken or published as a result meets the



RAE definition of research, irrespective of the nature of the contract or invoicing arrangement.

## Content of submissions

14. Each submission will contain the core data detailed in sub-paragraphs 14a to 14i below. (The RA code in brackets refers to the research assessment form through which the data will be collected.) For detailed definitions of the data required in each RA form, see RAE 03/2005 'Guidance on submissions'.

- 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 that 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 particular reasons in UOA criteria) 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 the source of funding for them.
- 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).

15. In line with recommendations from the Roberts' Review of research assessment, some panels request that HEIs detail in RA5a further

specific, quantitative information that will contribute to the assessment of the research environment. Such additional information requirements are specified in the relevant panels' criteria statements.

16. The word limits for RA5a, RA5b and RA5c are given in Annex 6.

## Categories of research-active individual

17. 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 focused 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.

For detailed definitions, please refer to Part 3, Section 1 of RAE 03/2005 'Guidance on submissions'.

## Unit of assessment description

18. Each of the sub-panels' criteria statements contains a description of the UOA and of its boundaries with other UOAs. The description indicates the main areas covered by the UOA and is not intended to give an exhaustive account of the sub-disciplinary coverage. HEIs should refer

to the UOA descriptions when deciding in which UOAs to make submissions.

## Assessment process

19. This is an expert review exercise. Sub-panel members will exercise their knowledge, judgement and expertise to reach a collective view on the quality profile of research described in each submission, that is the proportion of work in each submission that is judged to reach each of five quality levels from 4\* to Unclassified (see Annex 1). The definition of each level relies on a conception of quality (world-leading) which is the absolute standard of quality in each UOA. Each submission will be assessed against absolute standards and will not be ranked against other submissions.

20. The five quality levels from 4\* to Unclassified apply to all UOAs. Some panel criteria statements include a descriptive account of the quality level definitions, to inform their subject communities on how they will apply each level in judging quality. These descriptive accounts should be read alongside, but do not replace, the standard definitions.

21. In reaching a view on quality profiles, sub-panels will take account of all components of a submission: research output, research students and studentships, research income, and research environment and esteem indicators. An underpinning principle is that sub-panels should assess each submission in the round: they will not make collective judgements about the contributions of individual researchers, but about a range of indicators relating to the unit, research group or department that is put forward for assessment.

22. Each sub-panel will recommend provisional quality profiles for debate and endorsement by its main panel. Sub-panels must be able to demonstrate in all cases how their quality judgements relate to all the evidence before them and to their published criteria. The quality profile they recommend for any submission must reflect the sub-panel's expert and informed view of the characteristics of that submission as a whole.

23. In all cases, submissions will be assessed against the criteria for the UOA in which the submission was originally made. Responsibility for recommending a quality profile lies with the sub-panel for that UOA, regardless of whether the sub-panel sought advice on aspects of the submission from specialist advisers or other sub-panels (see paragraphs 52-55 below).

24. Although they reflect a common framework, the assessment criteria and working methods of each main panel and each sub-panel differ in varying degrees across the different UOAs. However, in general, sub-panels grouped under the same main panel have developed criteria that reflect broadly similar approaches to research. Aspects of significant variation, for example where research approaches vary substantially between subjects, are described in the relevant main panel criteria statement.

## Joint submissions

25. Joint submissions to one UOA by two or more UK HEIs, of research they have developed or undertaken collaboratively, are encouraged where this is the most appropriate way of describing the research. For further details on joint submissions, please refer to paragraphs 52-56 of RAE 03/2005 'Guidance on submissions'. Panels will receive joint submissions as a unified entity, and will assess them in the same way as submissions from single institutions.

## Research outputs

26. Submissions should list up to four items of research output by each submitted researcher, but there is no automatic disadvantage in failing to cite four items. Sub-panels will look at each case. The criteria statements offer further guidance on their respective approaches in cases where fewer than four items are listed. Staff citing no research outputs would not usually be considered as research active and should not be submitted to the exercise.

27. HEIs are allowed to list the maximum of four outputs against any researcher, irrespective of their status or the length of time they have had to conduct research. So, for example, four outputs

may be listed against part-time researchers or against individuals whose time for research has been constrained by their ill health – even if the panel's criteria indicate that the panel would not necessarily expect to see four items listed.

28. We have deliberately defined research output broadly: any form of publicly available, assessable output embodying research as defined for the RAE may be submitted, as may confidential outputs that are not publicly available. Where an output is published as a single coherent work it should be submitted as such and not subdivided for submission as two or more separate items.

29. Where a cited research output includes significant material that was previously published separately (for example, an article reissued as a chapter in a book):

- a. If both outputs were published within the publication period and both are cited, the panel may judge that these should be treated as a single output.
- b. If the earlier output was first published outside the publication period, the panel may take the view that not all of the work reported in the later output should be considered as having been issued within the publication period.
- c. In either of the above cases, the publication history should be appropriately noted in the 'Other relevant details' field in RA2, explaining where necessary how far any work published earlier may have been revised to incorporate new findings.

30. In the case of confidential outputs, HEIs must have the prior permission of the person(s) or organisation(s) to whom the work is confidential for the output to be made available for assessment (see paragraph 33).

31. Panels' criteria for judging the quality of research outputs are intended to be sufficiently broad to enable them to recognise high quality research outcomes in all forms of research – whether basic, strategic, applied, practice-based or interdisciplinary. In addition to printed academic work, research outputs may include, but are not

limited to: new materials, devices, images, products and buildings; intellectual property, whether in patents or other forms; performances, exhibits or events; work published in non-print media. Each sub-panel's criteria statement gives further guidance. In some cases, sub-panels may ask for brief supplementary material describing the research content and significance of certain works, particularly where research outputs do not exist in a conventional form.

32. Panels' criteria statements reflect an underpinning principle of the RAE that all forms of research output will be assessed on a fair and equal basis. Sub-panels will neither rank outputs, nor regard any particular form of output as of greater or lesser quality than another *per se*. Some panels may specify in their criteria that where they do not examine an output in detail, they may use, as one measure of quality, evidence that the output has already been reviewed or refereed by experts (who may include users of the research), and has been judged to embody research of high quality. No panel will use journal impact factors as a proxy measure for assessing quality.

33. So that panels can take full account of research that is of relevance to non-academic users, including industry and public bodies, the RAE team has made provision for confidential research outputs that are not publicly available to be submitted for assessment. These could include commercially sensitive research reports for companies, and reports for government departments or agencies which are not in the public domain. Where a confidential output is listed in a submission, the HEI will be responsible for securing permission from the sponsor, and making the output available on request for panels to examine. Please refer to paragraph 98 of RAE 03/2005 'Guidance on submissions' for further information.

### **Minimum proportions of work examined in detail**

34. It is not expected that sub-panels will examine in detail all the research outputs cited. Each sub-panel must, however, examine in detail

a proportion which, in its opinion, is sufficient to make an informed judgement on the quality profile of the work presented. Sub-panels indicate in their criteria statements how they will decide what work to examine in detail, and their approach to assessing work that is not examined in detail.

35. Each sub-panel indicates the minimum proportion of research outputs which it will examine in detail. This is a collective responsibility, not a requirement for each sub-panel member. The phrase 'examine in detail' indicates reading in full, reading substantially from or sufficiently to make an informed assessment, or (for outputs which by their nature cannot be read) an equivalent level of scrutiny. Sub-panel members are not required to re-examine work which they have already examined in detail outside the RAE process as part of their normal academic work. They may include such work in the minimum proportion that they report as having examined in detail. Where 'virtually all' is the phrase used to describe the proportion to be examined in detail, this means 90% or more. Where a sub-panel indicates that it intends to examine in detail all the submitted outputs, the only constraints on fulfilling this intention would be those outside the sub-panel's control, for example, if a fire were to destroy, before the sub-panel was able to assess it, an original artefact listed as an output.

36. Where a sub-panel does not examine a research output in detail, it may use information contained in RA2 in assessing it. Therefore, it is essential that HEIs adhere strictly to the specification that some sub-panels have supplied in their criteria statement for the field in RA2 entitled 'Other relevant details'.

37. For research outputs produced in languages other than English or Welsh, a 300 word abstract in English is required describing the content and nature of the work. A separate field for each output in RA2 will be available for this. Panels will use this abstract 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 in any of UOAs 51 to 57 if the output is produced in any of the languages in the remit of that UOA.

## Staffing issues

38. HEIs are invited to use RA5b to describe, confidentially, any circumstances of individual staff that have significantly adversely affected their contribution to the submission. Main and sub-panels' statements describe how they will apply their criteria in assessing the contribution of such staff to submissions. HEIs need not describe circumstances (for example, a disability) that have had no adverse effect on an individual's capacity to undertake research, as reflected by their contribution to the submission.

39. Panels will consider the following individual circumstances to the extent that they are stated to have had a material impact on the individual's ability to produce the expected volume of research outputs in the assessment period:

- a. Family and domestic matters, including:
  - i. Absence on maternity, paternity, parental or adoption leave and arrangements on return to work following these periods of leave.
  - ii. Part-time working or other flexible working arrangements.
  - iii. Time spent acting as a carer or other domestic commitments.
- b. Disability, ill-health and injury, including:
  - i. Any disability to which the Disability Discrimination Act 1995 applies, including both permanent disabilities and any temporary disability with a duration of 12 months or more.
  - ii. Absence from work on the advice of a registered medical practitioner.
- c. Engagement on long-term projects of significant scale and scope.
- d. Status as an early career researcher. These are individuals of any age who first entered the academic profession on employment terms that qualified them for submission to

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RAE2008 as Category A staff on or after 1 August 2003.

- e. Prolonged absences (absences for more than six months consecutively in the assessment period) which were agreed by the individual with the institution but which do not fall into one of the categories above. They include:
  - i. Secondment to non-academic positions outside the higher education sector.
  - ii. Career breaks for purposes unconnected with research, teaching or other academic duties.
- f. Other absences which the institution is legally obliged to permit, such as absences for religious observance or absence arising out of involvement as a representative of the workforce.
- g. Any other personal circumstances which are considered to have had a significant impact on an individual's ability to produce the expected volume of research outputs in the assessment period.

40. Other circumstances comparable with the examples in paragraph 39 will be considered, as long as an explanation is provided as to the way in which they are said to have impacted on the individual's ability to produce the expected volume of research outputs.

41. Panels will review the information provided regarding individual circumstances. They will determine whether those circumstances can reasonably be considered to have affected the individual's ability to produce the expected volume of research outputs and, if so, whether and to what extent they will reduce the volume requirement in respect of that individual.

42. While guidance is given below on the information to be provided by HEIs in respect of individual circumstances, it is for the panel to decide the extent of any reduction in the volume requirement.

43. Information about individual circumstances of Category A or C staff should be submitted in RA5b. HEIs must provide the panel with sufficient information regarding the individual

circumstances to enable them to assess the extent of the impact of those circumstances on the individual's research capability. This will normally include:

- a. A broad description of the nature of the circumstances (eg, ill-health, maternity leave).
- b. The timing of circumstances, ie, when they occurred.
- c. The duration of the circumstances.
- d. The extent of the impact of the circumstances on the individual's ability to carry out research activities (eg, impossible to carry out research at all, roughly 50% reduction in time available).

44. As indicated above, an outline description of the nature of the circumstances must be given. This is required so that the panel can ensure that it treats similar situations in a consistent manner. However, personal details such as the precise diagnosis of medical problems need not be given, as long as the HEI explains clearly the nature of the impact on the individual's research capability. It is for the HEI to satisfy itself that the relevant circumstances exist or have existed and that the impact is as described. The panel will seek further information about individual circumstances where it feels unable to make a decision on the basis of the information provided.

45. All information submitted in RA5b will be kept confidential by the RAE team and by the panel members, who are subject to confidentiality undertakings in respect of all information contained in submissions. It will be used only for the purposes of assessing the RAE submission in which it is contained, will not be published at any time and will be destroyed on completion of the RAE.

46. It is the responsibility of the HEI to ensure that the information in RA5b is submitted in compliance with the Data Protection Act 1998 and all other legal obligations.

47. Panels will use the information supplied confidentially in RA5b in assessing submissions against their published criteria. Panels will not take account of circumstances that may be known to them, but which are not referenced in submissions.



48. In the case of part-time working, HEIs must include an entry in RA5b if they wish a sub-panel to consider this as a mitigating factor for a researcher citing fewer than four outputs.

49. Academic and academic-related duties which might be expected for any staff member working in a UK HEI, including teaching and administration, are not regarded as an explanation in themselves for listing fewer than four items of research output against an individual.

50. The work of Category C staff will not be given less weight purely because the basis of their relationship with the institution is different from that of Category A staff. However, panels may reasonably form a view as to the extent and value of the contribution made by individuals listed in Category C in the light of evidence available.

51. For each individual returned as Category C, HEIs must provide information in RA5c demonstrating that their research is clearly and demonstrably focused in the department that returns them. Sub-panels' criteria statements give examples of the types of evidence to be supplied in each case. If a sub-panel is not convinced by the evidence provided for a Category C staff individual, it may take account of this in assessing that individual's contribution to the research of the department.

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

52. In view of concerns that the assessment of interdisciplinary research has presented challenges in previous RAEs (see paragraph 12 of RAE 01/2004 'Initial decisions by the UK funding bodies'), panels will continue to have access to mechanisms for cross-referring parts of submissions. There will also be enhanced arrangements for using specialist advisers to ensure that interdisciplinary research is assessed by those competent to do so.

53. An HEI may request that parts of submissions it makes to one UOA are cross-referred to other relevant sub-panels. The RAE team will consider all such requests but will not be bound by them. 'Parts of submissions' may range from all the research output listed against a submitted researcher, to all the research output and textual commentary relating to one or more research groups. HEIs may not request cross-referral of either entire submissions, or single outputs, although sub-panels may refer single outputs to specialist advisers (see paragraph 55).

54. Sub-panels may also request cross-referral of parts of submissions on the same grounds, even where submitting HEIs have not done so. In all cases, whether requested by a sub-panel or an HEI, the RAE manager will consider the request, and take advice from the relevant main and sub-panel chairs. Where it is thought that cross-referral will enhance the assessment process, the relevant parts will be cross-referred to all the sub-panels concerned. Although advice will be sought only on the quality of 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 context. Advice from other sub-panels on cross-referred parts will be sought and given on the basis of the assessment criteria for the UOA to which the work was originally submitted. The sub-panel for the UOA to which the work was originally submitted will retain responsibility for recommending the quality profile awarded.

55. Sub-panels may request that parts of submissions, including but not limited to interdisciplinary research, are referred to specialist advisers where they believe this will enhance the assessment process. This includes where HEIs identify single or multiple research outputs as being outcomes of interdisciplinary research. The RAE team has a database of individuals who were nominated as specialist advisers through the process described in RAE 03/2004 'Units of assessment and recruitment of panel members'.

## Assessment of applied research and practice-based research

56. As we indicated in RAE 01/2004 'Initial decisions by the UK funding bodies', we have striven to ensure that the panel membership 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 research and practice-based research from a practitioner, business or other user perspective.

57. Panels will treat on an equal footing excellence in research across the spectrum of applied research, practice-based and basic/strategic research, wherever that research is conducted. Panel criteria encompass a range of indicators of excellence that are sufficiently broad to enable them to recognise the distinctive characteristics of applied research and practice-based research, and to ensure that they apply their quality benchmarks equitably. 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. Certain main panels could reasonably expect submissions to cite evidence of applied research or practice-based research, and these panels have defined in their criteria statements a brief typology and appropriate criteria by which the sub-panels will assess such research.

## Assessment of pedagogic research

58. Submission of pedagogic research is encouraged where it meets the definition of research for the RAE at Annex 3. Pedagogic research pertaining to sectors other than higher education (for example, pre-school, compulsory education, or lifelong learning) falls squarely within the remit of UOA 45 (Education). We anticipate that submissions substantially comprising research on pedagogy in these sectors would normally be submitted to UOA 45, but see also paragraph 61 below. Higher education pedagogic research is also within the remit of UOA 45. However, in view of the arrangements described in paragraph 61, HEIs need not artificially disaggregate relatively small bodies of

subject-specific higher education pedagogic research from their submissions to other UOAs.

59. The RAE team has consulted the Higher Education Academy to provide a more descriptive account of higher education pedagogic research that HEIs may find helpful in preparing submissions (see paragraph 60).

60. Pedagogic research in HE will be assessed where it meets the definition of research for the RAE. It is research which enhances theoretical and/or conceptual understanding of:

- teaching and learning processes in HE
- teacher and learner experiences in HE
- the environment or contexts in which teaching and learning in HE take place
- teaching and learning outcomes in HE
- the relationships between these processes, outcomes and contexts.

Reports of studies providing descriptive and anecdotal accounts of teaching developments and evaluations do not constitute pedagogic research. Pedagogic research is firmly situated in its relevant literature, and high quality pedagogic research makes a substantial contribution to that literature.

61. In all cases pedagogic research will be assessed by experienced and expert reviewers. Some panels have appointed as panel members one or more experts in higher education pedagogy; others consider research in higher education pedagogy to be within the collective expertise of their membership. In some main panel areas, for example engineering (Main Panel G) and in the medical and related panels (Main Panels A and B), pedagogic research will be cross-referred to a specific member or members of one of the sub-panels. However, as with any other body of research where it considers that seeking external advice will enhance the assessment process, a sub-panel may also refer some pedagogic material to specialist advisers or to the Education sub-panel for advice. We expect that panel members and specialist advisers involved in the assessment of pedagogic research will co-ordinate their activity to ensure consistency of approach in its treatment.

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## **Dealing with declarations of interest and confidentiality**

62. All main and sub-panel members, panel secretaries, and specialist advisers have declared any major interests they have in HEIs eligible to participate in the RAE. A 'major interest' is one that could be deemed material to their participation in assessing the submission from that HEI. They will not participate in assessing a submission from any HEI in which they have declared such an interest, and will be required to withdraw from any panel meeting during discussion of that submission. Major interests will be continually updated and a register of interests will be maintained by the RAE manager.

63. The guidance to panels on declaring and dealing with major interests is at Annex 4. How each panel will implement this guidance is described in its criteria statement. Minor interests (for example supervision of doctoral students registered at, or co-holding of grants held at, submitting institutions) will not be kept on the register, but panels will declare, minute and handle them on a case-by-case basis.

64. All main and sub-panel members, panel secretaries, and specialist advisers are bound by a duty of confidentiality governing information contained in RAE submissions and panel discussions. Details are at Annex 5.





## Section 3: Criteria and working methods

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### Main Panel O

Covers the following UOAs:

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### Absences of the chair and declarations of interest

1. The main panel has nominated a permanent deputy chair to act in the absence of the chair or when the chair declares a conflict of interest in an institution's submission. Where both the chair and deputy chair declare a conflict of interest in the same institution, then one of the remaining sub-panel chairs will be nominated to officiate in that instance.

2. A current register of major interests for all main panel and sub-panel members will be collated by the RAE team and held by the panel secretary. Where a panel member declares a number of minor interests in a particular institution, the panel will judge whether this constitutes a major interest (as defined in Annex 4). The chair, deputy chair and panel secretary will ensure that declarations of interest by any panel member are identified before meetings. Member(s) will withdraw from the discussion of any submission in which they have declared a current or recent major interest.

### How the main panel will work with its sub-panels

3. The main panel recognises and welcomes both the richness and complexity of research across the arts, humanities and social sciences, along with developments in the research environment since RAE2001. In conducting their expert review of such research, the judgement of panel members will be informed by assessment criteria and working methods that are sufficiently flexible to encompass all types and forms of research, and precise enough to support members in forming their expert judgements on the quality of such research. The sub-panels' expert review of research will be guided by the following principles:

- a. Neither advantage nor disadvantage will be given to any type of research environment in terms of its size or approach; the panels believe there is no 'ideal' model for such work.

- b. Neither advantage nor disadvantage will be given to any form of output, whether it be physical or virtual, textual or non-textual, visual or sonic, static or dynamic, digital or analogue.
  - c. In seeking to identify research excellence, the sub-panels have allowed sufficient latitude in the working methods and criteria for submissions to describe their research environment and research outputs in ways most appropriate to that work.
4. Research will be assessed where it: has been published, exhibited, performed, recorded, screened or broadcast during the publication period; meets the definition of research for the RAE; has entered the public domain during the publication period; and can be judged against the assessment criteria and methods described in this statement alongside those for the sub-panels. With these conditions in mind, the sub-panels will assess the intrinsic quality of research wherever and however it is undertaken, and whatever its form of output.
  5. As experts in their respective fields, panel members will have been in continuous engagement with research throughout the entire assessment period and will remain conversant with research outputs and activities. Hence, they will be accumulating and sustaining an informed overview of research in the public domain, which will aid the application of their expert judgement during the assessment process.
  6. The sub-panels will examine both the quality and the sustainability of research reported in a submission. They will consider how its research environment has met the needs of current and future researchers. The sub-panels will assess strategies that seek to ensure a research submission's intellectual sustainability through, for example, enhancement of the research environment or development of future researchers.
  7. In designing common criteria and methods, the main panel and its sub-panels seek to enable the collective judgement and expertise of their members to be fully and fairly applied. The criteria and methods are designed to ensure that quality profiles reflect each submission's characteristics as a whole. They will not include judgements about individual researchers but will instead take full account of a range of indicators relating to each submission. These common criteria and methods will ensure consistency and equity between the UOAs, as well as accommodating their distinctive disciplines and interdisciplinary relationships.
  8. The main panel will review recommended quality profiles for each submission as proposed by the relevant sub-panels. Each recommendation will be accompanied by summary and statistical data relating to the assessment, with a report of the sub-panel's deliberations. Detailed reports will be required where, for example: both the chair and deputy chair declare an interest in a submission; research activity over the assessment period has been constrained for good reason; the scale and scope of a research output is such that it has been given additional weighting in the quality profile; the work of an assessment team has included cross-referral to another sub-panel or a request for specialist advice. In considering and comparing this information, the main panel will either confirm the recommendations, or, exceptionally, ask the sub-panel to give further consideration to specific points.
  9. In all cases it is intended that discussion of a submission will continue until consensus on its assessment is reached. Where the members of a sub-panel are unable to reach consensus after detailed and full debate, the submission will be forwarded to the main panel to advise on how agreement might be reached. If, after this advice and further consideration of all the material provided, a sub-panel remains unable to reach a consensus then the assessment will be decided through a vote of the sub-panel members.

## Specialist advice

10. The working methods for assessment will ensure that sub-panels within Main Panel O can readily collaborate in providing specialist advice to assess a submission where, in whole or part, the research crosses sub-panel boundaries. If such research is referred to other sub-panels or to specialist advisers, the criteria for assessment will continue to be that of the sub-panel to which the work was originally submitted. In such instances the advice resulting from cross-referral will assist sub-panel members in forming their own judgement on its quality.

11. The members charged by their sub-panel to undertake a detailed examination of the research submitted will identify:

- multidisciplinary research where some of the work falls outside the sub-panel's expertise, and so may be cross-referred to another sub-panel
- interdisciplinary research where the work may constitute a new field of research and so require the combined expertise of members from different sub-panels or other specialist advisers to collaborate in the assessment
- applied research where specialist advice is required from a research user working in the context of its application.

12. The sub-panels will, on a case-by-case basis, determine how specialist advice should best be incorporated into the sub-panel's assessment. Sub-panels will consider all requests for cross-referral, in the context of RAE policy (as stated in paragraphs 52-55 of the generic statement), and will normally take account of such requests. Sub-panels may themselves refer work to other sub-panels or specialist advisers as appropriate. In such instances specialist advice will be drawn from one of the following:

- another sub-panel of Main Panel O
- a sub-panel outside of Main Panel O
- outside the overall panel membership of RAE2008.

## Elements of variation in criteria statements

13. With the principles of equity and consistency in mind, the main panel and its sub-panels have worked to establish common criteria and methods across their domains. In this context there are no variations of any substance in the sub-panels' criteria and methods. Also, in the knowledge that the richness and complexity of research across the arts, humanities and social sciences will be evidenced in the research outputs themselves, not in the criteria described, the sub-panels have set out to explain as clearly and fully as possible how they will undertake the assessment. The sub-panels' assessment criteria and working methods have been designed to support members in forming their expert judgements over a rich and diverse research domain.

## Consistency of quality levels

14. In applying their expert judgement to determine an overall quality profile, sub-panels will assess three components in each submission: research outputs, research environment, and esteem indicators. In seeking to recognise both the quality and sustainability of the research, the components will each be allocated the assessment weightings shown in Table 1 and contain the elements listed.

## Indicators of excellence

15. To build quality profiles for the components of the assessment (as set out in Table 1), sub-panels will apply their expert judgement to assess each component against three indicators (not measures) of excellence, as shown in Table 2.

Table 1 Main Panel O allocated weightings

Research outputs	<b>70%</b>	RA2	Research outputs
Research environment	<b>20%</b>	RA5	Research strategy Research staff Research structure
		RA3a	Research students
		RA3b	Studentships
		RA4	Research income
Esteem indicators	<b>10%</b>	RA5	Indicators of esteem
		RA3b	Standing of competitive scholarships
		RA4	Standing of competitive grants and awards

Table 2 Indicators of excellence

Research outputs	<i>Significance</i>	The degree to which the work has enhanced, or is likely to enhance, knowledge, thinking, understanding and/or practice in its field.
	<i>Originality</i>	The degree to which the work has developed new formulations or data and/or initiated new methods and/or forms of expression.
	<i>Rigour</i>	The degree of intellectual precision and/or systematic method and/or integrity embodied in the research.
Research environment	<i>Strategy</i>	The degree to which the research environment has been designed and developed to contribute to research activity and sustainability.
	<i>People</i>	The degree to which support and training have enhanced and sustained the work of the people who undertake research.
	<i>Structure</i>	The degree to which intellectual and operational infrastructures, in their immediate and wider contexts, have enhanced and sustained research.
Esteem indicators	<i>Recognition</i>	The degree to which, individually and collectively, the work of researchers has been recognised externally.
	<i>Influence</i>	The degree of influence and/or contribution made to research practices and their debates in the wider context.
	<i>Benefit</i>	The degree to which researchers and the research environment have benefited through the department's reputation for research.

## Methods for ensuring consistency

16. To support sub-panels and to ensure consistency between the assessment teams within a sub-panel, and between the sub-panels, common assessment criteria and working methods will be employed to help interpret the quality levels and their indicators of excellence. Though guiding the members in forming their expert judgements, the criteria and methods set out below will support but not determine sub-panels' judgements.

17. Sub-panels will interpret the quality levels as follows:

- **4\*** – research that is world-leading because it meets the indicators of excellence to an outstanding degree in that it has been, or is likely to be, an essential point of reference for work being undertaken across its field and influential upon that work
- **3\*** – research that is internationally excellent because it meets the indicators of excellence to a high degree in that it has been, or is likely to be, a major point of reference for work being undertaken in its field
- **2\*** – research that is internationally recognised because it meets the indicators of excellence to a substantial degree in that it has been, or is likely to be, an important point of reference for work being undertaken in its field
- **1\*** – research that is nationally recognised because it meets the indicators of excellence to some degree in that it has been, or is likely to be, a useful point of reference for work being undertaken in its field
- **Unclassified** – work that is unclassified because it either falls below the threshold for research that is nationally recognised, is not research as defined for the RAE, or represents a research output 'missing' for no good reason.

18. In defining quality levels the terms 'world-leading', 'international' and 'national' will be taken as quality benchmarks within the generic definitions of the quality levels (see Annex 1). They will not denote geographic exposure in terms of publication or reception, or any necessary research content in terms of topic or approach, eg, work on international themes will not equate to either 'world-leading' or

'international' just as work on national themes will not equate to 'national excellence'.

19. To help distinguish each of the quality levels within the absolute standards set out above, and relative to each other, members will assess each of the indicators of excellence for each component of the assessment on the scale 0-4.

20. The overall score for the indicators of excellence in a component of assessment will then be used to identify an initial quality level as set out for RAE2008.

21. Members will review the assessment and judge whether the initial quality level should be adjusted up or down, to reflect their assessment of the overall quality of the work.

22. The members will apply their expert judgement within the assessment process set out above for all components of the assessment, and consistently between the sub-panels, in order to identify a quality level.

23. Throughout the assessment phase in 2008 the chair of Main Panel O will attend enough sub-panel meetings to ensure consistency in the above methods as they support members in applying their expert judgements on the quality of research.

## Applied and other types of research

24. The sub-panels welcome all types of research for assessment whether produced through writing, making, composing, or performing. Without privileging one type of research over any other, they will judge how such research embodies new knowledge, or enhances understanding/ appreciation, or enriches the intellectual/ creative infrastructure in which such work is conducted.

25. The sub-panels recognise that the types of research described in RAE 03/2005 'Guidance on submissions' (ie, scholarly research, basic research, strategic research, practice-based research and applied research) are suffused by the distinctive practices of their research domains, and that, for example, practice-as-research may be a distinctive feature of some. In this respect, further information on the distinctive practices of each UOA can be found in their own statements of criteria and working methods.

26. The sub-panels consider applied research to be a process of systematic investigation within a specific context in order to solve an identified problem or achieve a specific goal in that context. The aims of applied research may include the creation of new or improved systems (of thought or production), artefacts, events, products, processes, materials, devices, or services for economic and/or social and/or cultural benefit. Applied research should be informed by the intellectual infrastructure of scholarly research in the field – applying or transferring enhanced knowledge, methods, tools and resources from other types of research, and contributing to scholarly research through systematic dissemination of its results.

27. Research concerning the pedagogies of higher education that falls within the research domains of Main Panel O will be assessed where it meets the definition for such research as set out in paragraphs 59 and 60 of the generic statement and in Annex 3. Where pedagogic research other than in higher education is submitted to Main Panel O, it will be referred to the Education sub-panel (UOA 45).

28. Scholarly research will be assessed where it has created or developed the intellectual/creative infrastructures within which research is conducted. Scholarly research establishes the fields in which issues, problems or questions are located, and identifies and publishes the knowledge, resources, theories, methods, tools and models evolved through other types of research, along with the subsequent results.

### **Practice-as-research**

29. The sub-panels recognise that outputs reflecting practice-as-research will be an element of some submissions. In this context they acknowledge that a number of competing terms (including practice-based, practice-led and practice-as-research) have general currency for defining this area of research, and the sub-panels intend no judgement between them. All outputs of practice-as-research are welcomed by sub-panels, provided they meet the definition of research as defined for the RAE, and they will be assessed against the same criteria and indicators of excellence as all other outputs.

### **Interdisciplinary research**

30. The panel recognises that, since RAE2001, interdisciplinary research has continued to advance within the arts, humanities and social sciences as well as with other disciplines beyond this domain. Research Council support for interdisciplinary work between, for example, the social sciences and linguistics or history, or between design and business or engineering, has been further accompanied by support for other fresh interdisciplinary initiatives between, for example, the creative arts and natural and physical sciences.

31. In this light the sub-panels anticipate receiving interdisciplinary work to assess. They recognise that the descriptors of the research covered by other sub-panels are inherently interdisciplinary, often having no firm or rigidly definable boundaries.

32. It is expected that the assessment criteria of the sub-panel which receives the submission will be flexible enough to accommodate interdisciplinary work, and these criteria will be shared with other sub-panels to facilitate its assessment. Within Main Panel O, the working methods shared by sub-panels will further enable the configuration of assessment teams with the range of expertise appropriate to such research.

### **Individual staff circumstances**

33. The panel expects that four outputs will normally be submitted for each researcher but where, for valid reasons, the work of a researcher has been limited or circumstances have significantly affected the nature of their contribution to a submission, this will be taken into account in the assessment. The sub-panels will take account of individual staff circumstances that prevent researchers from submitting four outputs in the categories listed in paragraph 39 of the generic statement. The following discipline-specific reason will also be considered by Main Panel O and its sub-panels:

- Category A staff completing their PhD during the assessment period.

34. The submission of outputs from early career researchers (as defined in paragraph 39 of the



generic statement) is both welcomed and encouraged, and the main panel acknowledges that such individuals may reasonably be submitted with fewer than four outputs. Early career researchers are defined as individuals who entered the academic profession on employment terms that qualified them for submission to the RAE2008 as Category A staff on or after 1 August 2003. The numbers of outputs normally expected for early career researchers will depend on their level of academic experience, and are outlined below:

- researchers entering the academic profession on or after 1 August 2005 may be submitted with one output without penalty
- researchers entering the academic profession between 1 August 2004 and 31 July 2005 may be submitted with two outputs without penalty
- researchers entering the academic profession between 1 August 2003 and 31 July 2004 may be submitted with three outputs without penalty.

However, where such researchers are submitted with more than the expected number of outputs, they will be treated in exactly the same way as other researchers.

35. The panel recognises that Category A staff holding fractional contracts may reasonably be expected to produce fewer than four research outputs during the publication period. Where such instances are accepted by a sub-panel, account will be taken of this in the assessment, broadly in proportion to the fraction of the post held. However, where such staff do submit four outputs, they will be treated in the same way as a full-time researcher. Where Category C staff have a *bona fide* research relationship with a department that is less than full-time, then the same principle will apply.

36. Institutions should make full use of RA5b to explain how any of the circumstances described above has led to a researcher producing fewer than the normally expected number of outputs. Explanations should include details of the timing, duration and impact on research of the particular

circumstance, and must be sufficient to allow sub-panels to judge whether the quantity of outputs listed is acceptable. Confidential information need not be supplied. Information in RA5b will not be published, but it will be subject to the same verification process as other submission data. The outputs of early career researchers should be identified in the 'Other relevant details' field in RA2, with additional context in RA5a. In calculating the overall quality profile, the sub-panels will recognise the appointment and development of early career researchers, and take account of the circumstances of all staff described in RA5b.

### **Observers on the main panel**

37. Research Council observers may be called upon to verify relevant factual claims made in submissions, or to provide advice on the operation of particular research grant schemes, where specifically asked to do so by the main panel. They may also be invited, on occasion, to attend sub-panel meetings, where requested by the relevant sub-panel chair.





This statement should be read alongside the statement for Main Panel O and the generic statement.

### Absences of the chair and declarations of interest

1. The sub-panel has nominated a permanent deputy chair to act in the absence of the chair or where the chair declares a conflict of interest in an institution's submission. Where both the chair and deputy chair declare a conflict of interest in the same institution, then the sub-panel will nominate one of the remaining members to officiate in that instance.

2. A current register of major interests for all sub-panel members will be collated by the RAE team and held by the panel secretary. Where a sub-panel member declares a number of minor interests in a particular institution, the sub-panel will judge whether this constitutes a major interest. The chair, deputy chair and panel secretary will ensure that declarations of interest by any sub-panel member are identified before meetings. Members will withdraw from the discussion of any submission in which they have declared a current or recent major interest.

### UOA descriptor and boundaries

3. The sub-panel recognises the rich diversity of research in art and design, and welcomes all outputs arising from this research, in whatever genre or medium, that can be demonstrated to meet the definition of research for the RAE at Annex 3, and that have entered the public domain during the publication period. The sub-panel is committed to applying criteria and working methods that are appropriate to all submitting departments, whatever their size or structure, and that facilitate the formation of a balanced range of judgements, without privileging any particular form of research output or type of research environment.

4. UOA 63 encompasses all disciplines within art and design, in which methods of making, representation, interrogation and interpretation are integral to their productions. The sub-panel will assess research from all areas of art and design, which include (but are not confined to):

- fine arts
- applied arts and crafts

- design
- spatial, two- and three-dimensional art and design
- photography, time-based and digital media
- critical, historical and cultural studies, where these relate to or inform art, media, design, production and practice
- contributions to policy, management and entrepreneurship in the creative industries, arts and design
- contributions to the construction of a scholarly infrastructure for arts and design through, for example, collections, archives, curation and pedagogy
- curatorship
- appropriate pedagogic research in any of the areas identified above.

5. The sub-panel recognises that, in many cases, the fields of work described above may be interdisciplinary, and thus have no firm or rigidly definable boundaries. It has taken account of the Quality Assurance Agency's subject benchmarking statement for these fields, and regards the statement as a useful but not limiting guide to its remit. For these reasons, while many submissions will reflect the work of departments, the sub-panel will also assess submissions that do not map neatly onto departmental structures within HEIs, where they properly and informatively reflect the organisation and conduct of research within the institution.

### Cross-referral and specialist advice

6. Working within the framework established by the main panel (see paragraphs 10-12 of the main panel statement), the sub-panel will, on a case-by-case basis, determine how specialist advice should best be incorporated into its assessments. The sub-panel will consider all requests for cross-referral, in the context of RAE policy, and will normally take account of such requests. The sub-panel may itself cross-refer work to other sub-panels as appropriate. For example, the sub-panel may seek additional expertise in areas such as conservation science and ergonomic design.

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### Research staff

7. The research outputs of Category A staff should be submitted in RA2, where they will be assessed. The work of Category C staff should also be submitted in RA2, accompanied by a description in RA5c that provides evidence of their research connection with the department (see paragraph 41 below). Where the sub-panel accepts this evidence, the contributions of Category C staff will be assessed on an equal footing with Category A staff. The contributions of staff in Categories B and D should be described in RA5a.

### Research output

8. The sub-panel will neither advantage nor disadvantage any type of research or form of output, whether it be physical or virtual, textual or non-textual, visual or sonic, static or dynamic, digital or analogue. Outputs may include, but are not limited to (in no particular order): books (authored or edited); chapters in books; journal articles; conference contributions; curatorship and conservation; digital and broadcast media; performances and other types of live presentation; artefacts, designs and exhibitions; films, videos and other types of media presentation; advisory reports; and the creation of archival or specialist collections to support the research infrastructure. In all cases the research outputs will be assessed against the indicators of excellence and degrees of quality described in Table 2 and paragraphs 15-23 of the main panel statement.

9. The sub-panel will assess all outputs against the absolute standards set out for quality levels (as described in paragraph 17 of the main panel statement) through the indicators of excellence described in Table 2 of the main panel statement.

10. The sub-panel would normally expect to see four outputs for each submitted researcher. Where there are valid reasons for the submission of fewer than four outputs, there will be no disadvantage. Valid reasons are set out in paragraphs 33-35 of the main panel statement. Where the sub-panel can identify no valid reasons for the 'missing' outputs, then their quality level will be set as

Unclassified and incorporated as such into the quality profile.

11. The sub-panel recognises that there may be some highly exceptional cases – for example where a researcher has been engaged in a long-term research project – where the intellectual scale and scope of the research activity represented in one or more of the submitted outputs is considerably greater than the others. The sub-panel will note such highly exceptional cases during its assessment of outputs, taking account of any relevant information provided in RA5b and will use its expert judgement to decide whether to recognise such exceptional scale and scope within the outputs quality profile.

12. The sub-panel welcomes the submission of co-authored and collaborative research. It recognises that collaborative research within a department may result in the same output being listed against more than one researcher in the same submission. In such cases, the sub-panel recommends that the statement permitted in the 'Other relevant details' field in RA2 is used to clarify each author's contribution. However, the sub-panel encourages departments to present the widest possible range of research within their submission, in order to provide the sub-panel with a full understanding of the research environment's breadth and richness.

13. In undertaking its detailed examination of the research outputs, sub-panel members will draw upon the evidence made available to them in order to form expert judgements on the quality of the research submitted. 'Evidence' is taken to mean that which makes manifest the research content and imperatives of the submission. Researchers should accordingly submit such evidence as they deem necessary to enable sub-panel members to assess it within the following guidelines:

- a. **Research output:** this may be submitted alone where it is deemed to constitute sufficient evidence of the research in itself.
- b. **Statement:** it is *recommended* that a statement of up to 300 words is submitted in the 'Other relevant details' field of RA2 in

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cases where the research imperatives and the research significance of an output (such as an artefact, curation, digital format, installation, performance or event, screening, tape, textbook, translation or video) might further be made evident by a descriptive complement. The statement might include: a brief description of the project and its stage of development; a rationale outlining questions addressed; a summary of approaches/strategies undertaken in the work; a digest of further evidence (if any) to be found in sub-paragraph 13c below. As previously indicated, the 300-word statement should also be used to clarify the relative contributions of researchers working on a collaborative research project. The sub-panel will ignore any evaluative commentary on the perceived quality of the research.

- c. **Portfolio:** additional scholarly materials deemed to assist the sub-panel may be identified under the 'Other relevant details' field in RA2, and be made available on request in either digital and/or physical form. This may be of particular use to the sub-panel in cases where the research output is no longer available, or is one in a series of interconnected outputs. The portfolio might include complementary writings about the processes and outcomes of the work and/or other documentary materials (such as DVDs, tapes, photographs, sketchbooks, web-sites, interviews or programme notes). The material should be presented to best assist members in accessing the research and/or scholarly dimensions of the work.

14. To build a quality profile for research outputs the sub-panel will:

- assess outputs against the three indicators of excellence (significance, originality, and rigour), identifying each with a quality level (see paragraphs 15-23 of the main panel statement)
  - weight all outputs equally unless, exceptionally, an output has been judged to be of a considerably greater scale and scope
  - use the outputs examined in detail to compile a percentage profile that represents the quality of all outputs in each submission
- take account of all the information provided in RA5b, as set out in paragraphs 33-35 of the main panel statement
  - agree a quality profile in 5% bands so that it constitutes 70% of the overall quality profile.

### Research environment

15. In assessing the research environment the sub-panel recognises there are no absolute standards applicable to all submissions. It will take account of variables such as the numbers of research-active staff submitted, their relative career stages and their levels of experience, along with relevant information in RA5b.

16. Institutions should provide information in RA5a concerning both the research environment and indicators of esteem, working to the maximum word lengths stipulated in Annex 6. To assist the work of the sub-panel, institutions are requested to structure the research environment element of RA5a to demonstrate how the research environment meets the indicators of excellence given for it, ie, strategy, people, and structure. Examples of the kind of information that could be included under each heading are given below. The examples given are purely indicative and may not apply for all departments; institutions are not required to provide information under every example given.

### Strategy

#### *The research strategy and its operation*

17. Examples may include, but are not limited to:

- the research strategy during the assessment period 2001 to 2007, identifying any key issues as described in a submission to the 2001 RAE, if applicable
- an outline of the research strategy envisaged from 2007 onwards. This statement may also mention new and developing initiatives that are not yet producing immediate outcomes; or which may not yet be performing at a national or international level, but which are nevertheless of strategic importance to the submitting institution.

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### *Sustainability of the research environment*

18. Examples may include, but are not limited to:

- evidence of long-term planning for promoting research and sustaining an active and vital research culture, including evidence of institutional commitment to the department/discipline
- mechanisms for developing the research culture, eg. publications, journals, newsletters, online reviews, and symposia.

### *Research grant applications and other forms of research income*

19. Examples may include, but are not limited to:

- procedures and support for research grant applications
- the diversity of sources of research income, including income from industrial sources and from commercialisation activities such as patents and spin-outs, and any research income not cited in RA4 (eg. Arts Councils awards made directly to individual researchers)
- numbers of successful grant applications
- numbers of completed projects
- the leadership, supervision, dissemination, evaluation and successful delivery of funded research projects.

## People

### *Support and training for research staff*

20. Examples may include, but are not limited to:

- arrangements for developing and supporting staff in their research, including how this support sits with their non-research duties
- arrangements for developing the research of colleagues new to research and for integrating them into a wider supportive research culture
- recruitment or secondment of research staff to business or industry
- recruitment or secondment of research staff to museums or public bodies

- details of the contributions made by staff in Categories B and D during the census period, and/or details of how their departure has affected the strength, coherence and research culture of the department
- details of the role and contribution of staff recruited within a year of the census date.

### *Support and training for associates, fellows and research students*

21. Examples may include, but are not limited to:

- structures in place to support research associates, fellows and students, and to help them complete their projects and theses
- funding support
- graduate research seminars
- schemes for training research supervisors and for quality assurance
- the integration of research associates, fellows and students within the research environment of the department.

### *Other research activities*

22. Examples may include, but are not limited to:

- the achievements of research staff during the assessment period
- research outcomes not already referred to in RA2 or elsewhere
- membership of Research Council panels or other peer review bodies
- research projects not completed within the publication period
- joint projects or publications with practitioners in business or industry
- joint projects or publications with museums and public bodies.

## Structure

### *The intellectual infrastructure*

23. Examples may include, but are not limited to:

- the department, and the researchers working within it

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- distinctive research fields that characterise the research environment
- the scholarly infrastructure supporting research, eg, significant collections or archives (their development and use)
- means for promoting and sustaining the intellectual infrastructure
- joint research programmes or projects with industry or business practitioners
- associated fellowships or studentships with other universities, business, industry, museums or public bodies.

***The wider context of the research infrastructure***

24. Examples may include, but are not limited to:

- information on the local, regional, national and international research contexts or communities within which the research takes place
- relationships with research users (including business, industry, museums and public bodies) or Knowledge Transfer Partnerships
- the creation of research centres, partnerships, affiliations, performances, exhibitions, conferences or symposia
- arrangements for supporting interdisciplinary or collaborative research
- account taken of government policy, initiatives and objectives
- other UOAs to which related work has been submitted, and any difficulties of fit between the departmental structure and the UOA framework.

***The operational infrastructure***

25. Examples may include, but are not limited to:

- quality assurance mechanisms and their use
- facilities for research staff and research students
- the supporting administrative and technical facilities

- advanced equipment or IT resources that support the research
- resources or facilities gained through collaboration with organisations external to the university.

**Research students and research studentships**

26. Research student numbers and studentships will be assessed as part of the research environment. Externally-funded studentships awarded through rigorous competition, or by prestigious bodies including those from industry, will also be considered as esteem indicators. In undertaking its assessment, the sub-panel will take into account relevant standard analyses provided by the RAE team (as listed in Annex 7), including data on registrations and numbers of completions, and students per research-active staff.

**Research income**

27. The assessment will be focused on outcomes rather than income, and will recognise that the levels of income required to assist research sustainability are relative to the scale and size of a department and the nature of the research. Research income will be assessed as part of the research environment. Grants awarded through rigorous competition, or by prestigious bodies including those from industry, will also be considered as esteem indicators. In undertaking its assessment, the sub-panel will take account of the total number of grants relative to the size of the department, along with the range and level of external income available to its researchers. Where relevant, the sub-panel will also take into account the standard analyses provided by the RAE team.

**Formulating a quality profile for research environment**

28. In exercising its expert judgement to build a quality profile for the research environment, the sub-panel will:

- Identify each of the three indicators of excellence (strategy, people and structure) with a quality level. (see Table 2 and paragraphs 15-23 of the main panel statement). In undertaking its assessment, the



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sub-panel will take account of all the information provided on the research environment in RA5a, as well as the data on student numbers and studentships in RA3a and RA3b, and the data on research income in RA4.

- b. Allocate each of the three quality levels with 25% of the quality profile.
- c. Allocate a further 25% to represent the sub-panel's overall assessment of the research environment, with the qualification that this could be moderated in either direction to take account of particular aspects of the environment, as described in the submission.
- d. The profile for the research environment will then constitute 20% of the overall quality profile.

### Esteem indicators

29. In assessing esteem indicators the sub-panel recognises that there are no absolute standards applicable to all departments. It will take into account variables such as the numbers of research-active staff submitted, their relative career stages and their levels of experience, along with relevant information in RA5b.

30. To assist the work of the sub-panel, institutions are requested to structure the esteem element of RA5a to provide examples of esteem against the three indicators of excellence: recognition, influence, and benefit. Institutions should look to provide a range of indicators representative of the department as a whole, and are not required to provide separate lists for each individual researcher under each category:

- a. **Recognition:** examples may include but are not restricted to: honours, prizes, visiting fellowships or appointments; invitations to deliver external lectures and lecture series, residencies, masterclasses and practice-based colloquia, addresses to major conferences, or to chair major conference sessions; commissions; selection for major exhibitions and events; invitations to join prestigious selection panels; and consultancies with business, industry, and public bodies.

- b. **Influence:** examples may include but are not restricted to: membership of Research Council, British Council, Arts Council or similar committees; membership of selection panels or competition juries; involvement on university, government, cultural or industry advisory panels, or national research strategy or review boards; non-executive positions on the board of a collaborating company; leading positions in professional and subject associations, public bodies or major foundations; involvement in knowledge exchanges and partnerships; major collaborations with business, industry or other prestigious partners; editorial positions; refereeing academic publications or research proposals; and consultancies.
- c. **Benefit:** examples may include but are not restricted to: the establishment of externally funded endowments for research fellows, students or projects, including business or industry sponsorship; research exploitation by industry, or impact of research activities on commercial/industrial practice; knowledge transfer and cultural engagement metrics; commercialisation activities such as the award of patents and the creation of spin-out companies; access to, or receipt of, archives and other research resources; numbers of externally funded studentships or fellowships won for the department in open competition; major externally funded projects won in open competition; and other competitively won external research income.

### Formulating a quality profile for research esteem

31. Esteem will be identified with a single quality level representing 10% of the overall quality profile. This will be determined by assessing its three indicators of excellence (recognition, influence and benefit), as described in Table 2 and paragraphs 15-23 of the main panel statement. In undertaking its assessment, the sub-panel will take account of all the information provided on esteem in RA5a, as well as the data on externally-funded studentships in RA3b.

## Applied and other types of research

32. Definitions of differing types of research, which are recognised and supported by the sub-panel, are given in the statement for Main Panel O, paragraphs 24-29.

33. The sub-panel welcomes all types of research for assessment whether produced through writing, making, composing, or performing. Without privileging one type of research over any other, the sub-panel will judge how such research embodies new knowledge, or enhances understanding/appreciation, or enriches the intellectual/creative infrastructure in which such research is conducted.

34. The sub-panel recognises that types of research described in RAE 03/2005 'Guidance on submissions' (ie, scholarly research, basic research, strategic research, practice-based research and applied research) are suffused by the distinctive practices of research in art and design. It also recognises that the types of research set out for the RAE cannot always be rigidly defined in an art and design context, often being integrated within a research project and its outputs. The sub-panel expects and welcomes all types of research, in whatever their form of output, that meet the definition of research as defined for the RAE.

35. Outputs of pedagogic research in higher education concerning art and design will be assessed where they meet the definition for such research as set out in paragraphs 59 and 60 of the generic statement and in Annex 3.

36. Outputs of scholarly research in art and design are also welcomed by the sub-panel and might include, but are not limited to: dictionaries or encyclopaedias, or entries in these; databases, catalogues or archives, or contributions to these; scholarly editions and translations.

## Interdisciplinary research

37. The sub-panel recognises that, since RAE2001, interdisciplinary research has continued to advance within the arts, humanities and social sciences, as well as with other disciplines beyond this domain. Research Council

support for interdisciplinary work between, for example, design and business or engineering, has been further accompanied by support for interdisciplinary initiatives between, for example, the creative arts and natural and physical sciences.

38. In this light, the sub-panel anticipates receiving interdisciplinary work to assess. It recognises that the descriptors of the research covered by other sub-panels are inherently interdisciplinary, often having no firm or rigidly definable boundaries.

39. It is expected that the assessment criteria of the sub-panel which receives the submission will be flexible enough to accommodate interdisciplinary work, and these criteria will be shared with other sub-panels to facilitate its assessment. Within Main Panel O, the working methods shared by sub-panels will further enable the configuration of assessment teams with the range of expertise appropriate to such research.

## Individual staff circumstances

40. Where, for valid reasons, the work of a researcher has been limited or circumstances have significantly affected the nature of their contribution to a submission, this will be taken into account in the assessment. Valid reasons are outlined in paragraph 39 of the generic statement and, for the sub-panels in Main Panel O, in the paragraphs 33-35 of the main panel statement. In all such cases, institutions should use RA5b to describe the individual circumstances of staff.

41. For each member of Category C staff submitted, institutions are asked to provide evidence in RA5c of a close relationship with the submitting department, beyond that of passing engagement or token association. Evidence may include, for example, supervision of research students, co-authorship with established Category A staff, involvement in collaborative departmental research projects, departmental support for their research, or other contributions to the research environment. If the sub-panel is not satisfied with the evidence provided, the Category C staff concerned will be discounted from the assessment.



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### Working methods

42. In order to exercise their expert judgements on research quality, the sub-panel will use the assessment criteria previously described. This will be done through a four-stage assessment process incorporating the following:

- a preliminary overview
- detailed assessment
- a final review
- an agreed profile for recommendation to the main panel.

### Preliminary overview

43. In preparing the ground for a balanced and fair assessment, sub-panel members will each bring their expert knowledge to bear on a holistic preliminary overview of the information provided in RA0-RA5 of each submission. At this stage RA5 will help panel members both to assimilate the full context of the research submitted and help identify those outputs listed in RA2 to be examined in detail. The purpose of the preliminary overview will be to engage fully all members of the sub-panel in each submission. It will also help to prepare the agenda and arrangements for assessment, as well as ensuring equity and fairness in the process.

- a. Prior to the first assessment meeting all sub-panel members will have considered all submissions, and will come prepared to discuss the way in which the practical arrangements for assessment can best be configured.
- b. Prior to the first assessment meeting, the sub-panel chair and panel secretary will have provisionally identified the members to be primarily responsible for each submission (one will be appointed to lead and co-ordinate the assessment). These recommendations will be circulated before this first meeting, and confirmed or amended after the preliminary overview.
- c. In undertaking the overview, the sub-panel will identify issues for more detailed examination, any further specialist expertise needed to undertake this examination

(including, for example, other members of the sub-panel, members of other sub-panels, or independent experts not on any sub-panel), and decide how the workload will be distributed.

### Detailed assessment

44. The assessment teams confirmed by the sub-panel (calling upon any additional expertise that has been agreed) will undertake a detailed examination of all components of the submission, along with a selection of the cited outputs, in order to explore the sub-panel's preliminary overview and to probe any issues it has raised. In examining the research submission and its outputs, sub-panel members will do so in sufficient detail so as to form reliable expert judgements on the quality of research.

45. In conducting its preliminary overview, the sub-panel will consider all of the information provided in RA2. Sub-panel members will use this information, together with their expert judgement, to select a proportion and range of outputs for detailed examination which they believe is representative of the quality of all outputs presented in a submission. The detailed examination of research outputs will be based entirely upon the panel members' direct engagement with those outputs cited in the submission, and related evidence where it has been identified (in accordance with paragraph 13). In particular:

- a. The research outputs to be examined in detail will include:
  - at least two outputs authored by each staff member submitted as Category A or C (or one output in cases where only one output has been submitted)
  - outputs that on initial scrutiny are deemed to be of the highest quality level
  - a selection taken in light of issues identified in the preliminary overview
  - a further selection taken to assist the sub-panel's full understanding of the research environment as described in RA5.
- b. The selection and proportion of research outputs to be examined in detail will be as

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needed to establish a reliable quality profile for all research outputs listed in a submission. This will never be less than 50% of the outputs listed in each research submission and will be substantially more than this (up to 100%) if required to establish a robust and reliable quality profile for all of the outputs listed in a submission. Generally, across the unit of assessment, the sub-panel anticipates examining not less than 75% of outputs in detail. The sub-panel will ensure breadth and consistency of judgement through the practice of outputs being examined by at least two members and, in some cases, through additional expertise.

### Final review

46. The sub-panel will scrutinise all the work undertaken by its members, considering their comparative judgements and recommendations, in order to reach a consensus on the quality profiles. In particular:

- a. The sub-panel will receive and review summary data concerning the members' detailed examination that will include, for example: the percentage of outputs examined in detail; the relative proportions of Category A and C staff in a submission; the contributions of early career researchers; and instances where valid reasons have been given for the submission of fewer than four outputs.
- b. The sub-panel will be informed of any aspect of the assessment where the members have:
  - been unable to agree any part of that assessment
  - been required to undertake an examination of specific issues
  - identified further issues in the course of the assessment
  - worked with members of other sub-panels, or independent advisers, on the assessment of outputs.
- c. The members will present the sub-panel with their recommendations for quality profiles in

each component of the submission, along with supporting reasons. Then, with full information before it, the sub-panel will apply its collective judgement and expertise to forming an overall quality profile for recommendation.

- d. The sub-panel will seek to achieve consensus on the recommended profiles through debate. It will then either:
  - pass a recommended profile on to the main panel for confirmation
  - ask the main panel to advise on ways of achieving consensus if the sub-panel is unable to agree
  - request its members, or members of another sub-panel, to review some aspect of a submission before a recommendation can be made.

### Agreed profile

47. In seeking to confirm the sub-panel's recommended profiles, the main panel will automatically review any submissions where:

- a. The chair and deputy chair have declared an interest in a single submission.
- b. The sub-panel has been unable to achieve consensus (see paragraph 9 of the Main Panel O statement).

48. Otherwise the main panel will:

- a. Review the summary data resulting from the sub-panel's assessment of each submission.
- b. Consider the quality profiles recommended for each component of the submission along with the overall quality profile.
- c. Seek advice from research users and international experts who are members of the main panel.
- d. Either confirm the recommendation or, exceptionally, request the sub-panel to review specific issues that have arisen from the data provided.



This statement should be read alongside the statement for Main Panel O and the generic statement.

**Absences of the chair and declarations of interest**

1. The sub-panel has nominated a permanent deputy chair to act in the absence of the chair or where the chair declares a conflict of interest in an institution’s submission. Where both the chair and deputy chair declare a conflict of interest in the same institution, then the sub-panel will nominate one of the remaining members to officiate in that instance.
2. A current register of major interests for all sub-panel members will be collated by the RAE team and held by the panel secretary. Where a sub-panel member declares a number of minor interests in a particular institution, the sub-panel will judge whether this constitutes a major interest. The chair, deputy chair and panel secretary will ensure that declarations of interest by any sub-panel member are identified before meetings. Members will withdraw from the discussion of any submission in which they have declared a current or recent major interest.

**UOA descriptor and boundaries**

3. The sub-panel recognises that research in the history of art, architecture and design has developed both in its scope and its methods of dissemination in recent years. The sub-panel therefore proposes to adopt an inclusive definition of its remit, as indicated in the descriptor below. It welcomes all outputs arising from research in the history of art, architecture and design, in whatever genre or medium, that can be demonstrated to meet the definition of research for the RAE at Annex 3 and that have entered the public domain during the publication period. The sub-panel is committed to applying criteria and working methods that are appropriate to all submitting departments, whatever their size or structure, and that facilitate the formation of a balanced range of judgements, without privileging any particular form of research output or type of research environment.
4. The UOA encompasses the history, criticism, theory, historiography, pedagogy and aesthetics of art, design and architecture in their widest chronological and geographical framework.

The sub-panel will assess research from all areas of the history of art, architecture and design that include (but are not confined to):

- visual and material culture
- applied and decorative arts, and craft
- dress and fashion
- photography, time-based and digital media
- landscape and garden design
- museology and curatorship
- conservation and technical art history
- work in cognate fields such as cultural, social and gender studies, and archaeology and anthropology, where these relate to the visual arts.

5. The sub-panel recognises that, in many cases, the fields of work described above may be interdisciplinary, and thus have no firm or rigidly definable boundaries. It has taken account of the Quality Assurance Agency’s subject benchmarking statement for these fields, and regards the statement as a useful but not limiting guide to its remit. For these reasons, while many submissions will reflect the work of departments, the sub-panel will also assess submissions that do not map neatly onto departmental structures within HEIs, where they properly and informatively reflect the organisation and conduct of research within the institution.

**Cross-referral and specialist advice**

6. Working within the framework established by the main panel (see paragraphs 10-12 of the main panel statement), the sub-panel will, on a case-by-case basis, determine how specialist advice should best be incorporated into its assessments. The sub-panel will consider all requests for cross-referral, in the context of RAE policy, and will normally take account of such requests. The sub-panel may itself cross-refer work to other sub-panels as appropriate. For example, the sub-panel may seek additional expertise in areas such as conservation science, and in the curation of material relating particularly to other units of assessment, such as medicine.

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### Research staff

7. The research outputs of Category A staff should be submitted in RA2, where they will be assessed. The work of Category C staff should also be submitted in RA2, accompanied by a description in RA5c that provides evidence of their research connection with the department (see paragraph 42 below). Where the sub-panel accepts this evidence, the contributions of Category C staff will be assessed on an equal footing with Category A staff. The contributions of staff in Categories B and D should be described in RA5a.

### Research output

8. The sub-panel will neither advantage nor disadvantage any type of research or form of output, whether it be physical or virtual, textual or non-textual, visual or sonic, static or dynamic, digital or analogue. Outputs may include, but are not limited to (in no particular order): books (authored or edited); chapters in books; journal articles; conference contributions; curatorship and conservation; exhibitions; digital and broadcast media; artefacts; performances and other types of live presentation; films, videos and other types of media presentation; and advisory reports. Note that where the research results in varied forms of output, such as an exhibition and an accompanying book or catalogue, they may be submitted as separate outputs provided they comprise distinct research content. In all cases the research outputs will be assessed against the indicators of excellence and degrees of quality described in Table 2 and paragraphs 15-23 of the main panel statement.

9. The sub-panel will assess all outputs against the absolute standards set out for quality levels (as described in paragraph 17 of the main panel statement) through the indicators of excellence described in Table 2 of the main panel statement.

10. The sub-panel would normally expect to see four outputs for each submitted researcher. Where there are valid reasons for the submission of fewer than four outputs, there will be no disadvantage. Valid reasons are set out in paragraphs 33-35 of

the main panel statement. Where the sub-panel can identify no valid reasons for the 'missing' outputs, then their quality level will be set as Unclassified and incorporated as such into the quality profile.

11. The sub-panel recognises that there may be some highly exceptional cases – for example where a researcher has been engaged in a long-term research project – where the intellectual scale and scope of the research activity represented in one or more of the submitted outputs is considerably greater than the others. The sub-panel will note such highly exceptional cases during its assessment of outputs, taking account of any relevant information provided in RA5b, and will use its expert judgement to decide whether to recognise such exceptional scale and scope within the outputs quality profile.

12. The sub-panel welcomes the submission of co-authored and collaborative research. It recognises that collaborative research within a department may result in the same output being listed against more than one researcher in the same submission. In such cases, the sub-panel recommends that the statement permitted in the 'Other relevant details' field in RA2 is used to clarify each author's contribution. However, the sub-panel encourages departments to present the widest possible range of research within their submission, in order to provide the sub-panel with a full understanding of the research environment's breadth and richness.

13. In undertaking its detailed examination of the research outputs, sub-panel members will draw upon the evidence made available to them in order to form expert judgements on the quality of the research submitted. 'Evidence' is taken to mean that which makes manifest the research content and imperatives of the submission. Researchers should accordingly submit such evidence as they deem necessary to enable sub-panel members to assess it within the following guidelines:

- a. **Research output:** this should be submitted alone where it is deemed to constitute sufficient evidence of the research in itself (as

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is expected to be the case for the majority of text-based outputs).

- b. **Statement:** it is *recommended* that a statement of up to 300 words is submitted in the 'Other relevant details' field of RA2 only in cases where the research imperatives and the research significance of an output (such as: an artefact, curation, digital format, installation, performance or event, screening, tape, textbook, translation or video) might further be made evident by a descriptive complement. The statement might include: a brief description of the project and its stage of development; a rationale outlining questions addressed; a summary of approaches/strategies undertaken in the work; a digest of further evidence (if any) to be found in sub-paragraph 13c below. As previously indicated, the 300-word statement should also be used to clarify the relative contributions of researchers working on a collaborative research project. The sub-panel will ignore any evaluative commentary on the perceived quality of the research.
- c. **Portfolio:** additional scholarly materials deemed to assist the sub-panel may be identified under the 'Other relevant details' field in RA2, and be made available on request in either digital and/or physical form. This may be of particular use to the sub-panel in cases where the research output is no longer available, or is one in a series of interconnected outputs. The portfolio might include complementary writings about the processes and outcomes of the work and/or other documentary materials (such as DVDs, tapes, photographs, sketchbooks, web-sites, interviews or programme notes). The material should be presented to best assist members in accessing the research and/or scholarly dimensions of the work.
14. To build a quality profile for research outputs the sub-panel will:
- assess outputs against the three indicators of excellence (significance, originality, and rigour), identifying each with a quality level (see Table 2 and paragraphs 15-23 of the main panel statement)

- weight all outputs equally unless, exceptionally, an output has been judged to be of a considerably greater scale and scope
- use the outputs examined in detail to compile a percentage profile that represents the quality of all outputs in each submission
- take account of all the information provided in RA5b, as set out in paragraph 33-35 of the main panel statement
- agree a quality profile in 5% bands so that it constitutes 70% of the overall quality profile.

### Research environment

15. In assessing the research environment the sub-panel recognises there are no absolute standards applicable to all submissions. It will take account of variables such as the numbers of research-active staff submitted, their relative career stages and their levels of experience, along with relevant information in RA5b.

16. Institutions should provide information in RA5a concerning both the research environment and indicators of esteem, working to the maximum word lengths stipulated in Annex 6. To assist the work of the sub-panel, institutions are requested to structure the research environment element of RA5a to demonstrate how the research environment meets the indicators of excellence given for it, ie, strategy, people, and structure. Examples of the kind of information that could be included under each heading are given below. The examples given are purely indicative and may not apply for all departments; institutions are not required to provide information under every example given.

### Strategy

#### *The research strategy and its operation*

17. Examples may include, but are not limited to:
- the research strategy during the assessment period 2001 to 2007, identifying any key issues as described in a submission to the 2001 RAE, if applicable
  - an outline of the research strategy envisaged from 2007 onwards. This statement may also



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mention new and developing initiatives that are not yet producing immediate outcomes; or which may not yet be performing at a national or international level, but which are nevertheless of strategic importance to the submitting institution.

***Sustainability of the research environment***

18. Examples may include, but are not limited to:

- evidence of long-term planning for promoting research and sustaining an active and vital research culture, including evidence of institutional commitment to the department/discipline
- mechanisms for developing the research culture, eg. publications, journals, newsletters, online reviews, and symposia.

***Research grant applications and other forms of research income***

19. Examples may include, but are not limited to:

- procedures and support for research grant applications
- the diversity of sources of research income, including any research income not cited in RA4 (eg, Arts Council awards made directly to individual researchers)
- numbers of successful grant applications
- numbers of completed projects
- the leadership, supervision, dissemination, evaluation and successful delivery of funded research projects.

**People*****Support and training for research staff***

20. Examples may include, but are not limited to:

- arrangements for developing and supporting staff in their research, including how this support sits with their non-research duties
- arrangements for developing the research of colleagues new to research and for integrating them into a wider supportive research culture

- recruitment or secondment of research staff to business or industry
- recruitment or secondment of research staff to museums or public bodies
- details of the contributions made by staff in Categories B and D during the census period, and/or details of how their departure has affected the strength, coherence and research culture of the department
- details of the role and contribution of staff recruited within a year of the census date.

***Support and training for associates, fellows and research students***

21. Examples may include, but are not limited to:

- structures in place to support research associates, fellows and students, and to help them complete their projects and theses
- funding support
- graduate research seminars
- schemes for training research supervisors and for quality assurance
- the integration of research associates, fellows and students within the research environment of the department.

***Other research activities***

22. Examples may include, but are not limited to:

- the achievements of research staff during the assessment period
- research outcomes not already referred to in RA2 or elsewhere
- membership of Research Council panels or other peer review bodies
- research projects not completed within the publication period
- joint projects or publications with practitioners in business or industry
- joint projects or publications with museums and public bodies.

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**Structure*****The intellectual infrastructure***

23. Examples may include, but are not limited to:

- the department, and the researchers working within it
- distinctive research fields that characterise the research environment
- the scholarly infrastructure supporting research, eg, significant collections or archives (their development and use)
- means for promoting and sustaining the intellectual infrastructure
- joint research programmes or projects with industry or business practitioners
- associated fellowships or studentships with other universities, business, industry, museums or public bodies.

***The wider context of the research infrastructure***

24. Examples may include, but are not limited to:

- information on the local, regional, national and international research contexts or communities within which the research takes place
- relationships with research users (including business, industry, museums and public bodies) or Knowledge Transfer Partnerships
- the creation of research centres, partnerships, affiliations, performances, exhibitions, conferences or symposia
- arrangements for supporting interdisciplinary or collaborative research
- account taken of government policy, initiatives and objectives
- other UOAs to which related work has been submitted, and any difficulties of fit between the departmental structure and the UOA framework.

***The operational infrastructure***

25. Examples may include, but are not limited to:

- quality assurance mechanisms and their use
- facilities for research staff and research students
- the supporting administrative and technical facilities
- advanced equipment or IT resources that support the research
- resources or facilities gained through collaboration with organisations external to the university.

**Research students and research studentships**

26. Research student numbers and studentships will be assessed as part of the research environment. Externally-funded studentships awarded through rigorous competition, or by prestigious bodies including those from industry, will also be considered as esteem indicators. In undertaking its assessment, the sub-panel will take into account relevant standard analyses provided by the RAE team (as listed in Annex 7), including data on registrations and numbers of completions, and students per research-active staff.

**Research income**

27. The assessment will be focused on outcomes rather than income, and will recognise that the levels of income required to assist research sustainability are relative to the scale and size of a department and the nature of the research. Research income will be assessed as part of the research environment. Grants awarded through rigorous competition, or by prestigious bodies including those from industry, will also be considered as esteem indicators. In undertaking its assessment, the sub-panel will take account of the total number of grants relative to the size of the department, along with the range and level of external income available to its researchers. Where relevant, the sub-panel will also take into account the standard analyses provided by the RAE team.



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### Formulating a quality profile for research environment

28. In exercising its expert judgement to build a quality profile for the research environment, the sub-panel will:

- a. Identify each of the three indicators of excellence (strategy, people and structure) with a quality level (see Table 2 and paragraphs 15-23 of the main panel statement). In undertaking its assessment, the sub-panel will take account of all the information provided on the research environment in RA5a, as well as the data on student numbers and studentships in RA3a and RA3b, and the data on research income in RA4.
- b. Allocate each of the three quality levels with 25% of the quality profile.
- c. Allocate a further 25% to represent the sub-panel's overall assessment of the research environment, with the qualification that this could be moderated in either direction to take account of particular aspects of the environment, as described in the submission.
- d. The profile for the research environment will then constitute 20% of the overall quality profile.

### Esteem indicators

29. In assessing esteem indicators the sub-panel recognises that there are no absolute standards applicable to all departments. It will take into account variables such as the numbers of research-active staff submitted, their relative career stages and their levels of experience, along with relevant information in RA5b.

30. To assist the work of the sub-panel, institutions are requested to structure the esteem element of RA5a to provide examples of esteem against the three indicators of excellence given for it: recognition, influence, and benefit. Institutions should look to provide a range of indicators representative of the department as a whole, and

are not required to provide separate lists for each individual researcher under each category:

- a. **Recognition:** examples may include but are not restricted to: honours, prizes, visiting fellowships or appointments; invitations to deliver external lectures, lecture series, addresses to major conferences, or to chair major conference sessions; and consultancies with business, industry, and public bodies.
- b. **Influence:** examples may include but are not restricted to: membership of Research Council committees, university or industry advisory panels, or national research strategy or review boards; membership of advisory boards for major collaborative projects; contributions to social or cultural policy; non-executive positions on the boards of companies, public bodies or major foundations; leading positions in professional and subject associations; editorial positions; refereeing academic publications or research proposals; and consultancies.
- c. **Benefit:** examples may include but are not restricted to: the establishment of externally funded endowments for research fellows, students or projects, including sponsorship from business or industry, or major foundations; invitations to collaborate on major projects; access to, or receipt of, archives and other research resources; numbers of externally funded studentships or fellowships won for the department in open competition; major externally funded projects won in open competition; and other competitively won external research income.

### Formulating a quality profile for research esteem

31. Esteem will be identified with a single quality level representing 10% of the overall quality profile. This will be determined by assessing its three indicators of excellence (recognition, influence and benefit), as described in Table 2 and paragraphs 15-23 of the main panel statement. In undertaking its assessment, the sub-panel will take

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account of all the information provided on esteem in RA5a, as well as the data on externally-funded studentships in RA3b.

### Applied and other types of research

32. Definitions of differing types of research, which are recognised and supported by the sub-panel, are given in the statement for Main Panel O, paragraphs 24-29.

33. The sub-panel welcomes all types of research for assessment whether produced through writing, making, composing, or performing. Without privileging one type of research over any other, the sub-panel will judge how such research embodies new knowledge, or enhances understanding/appreciation, or enriches the intellectual/creative infrastructure in which such research is conducted.

34. The sub-panel recognises that types of research described in RAE 03/2005 'Guidance on Submissions' (ie, scholarly research, basic research, strategic research, practice-based research and applied research) are applicable to the distinctive practices of research in the history of art, architecture and design. However, it also recognises that the types of research set out for the RAE cannot always be rigidly defined, often being integrated within a research project and its outputs.

35. The sub-panel recognises that outputs reflecting applied and practice-based research will be an element of some submissions. All outputs of these areas of research, in forms such as curatorship, conservation or exhibitions, are welcomed by the sub-panel, provided they meet the definition of research as defined for the RAE. They will be assessed against the same criteria and indicators of excellence as all other outputs. As indicated previously, the sub-panel recommends that the 300-word statement permitted in the 'Other relevant details' field of RA2 is used to clarify the research content of such outputs, where it is not readily apparent.

36. Outputs of pedagogic research in higher education concerning the history of art, architecture and design are welcomed by the

sub-panel, and will be assessed where they meet the definition for such research as set out in paragraphs 59 and 60 of the generic statement and in Annex 3.

37. Outputs of scholarly research in the history of art, architecture and design are also welcomed by the sub-panel and might include, but are not limited to: dictionaries or encyclopaedias, or entries in these; databases, catalogues or archives, or contributions to these; scholarly editions and translations.

### Interdisciplinary research

38. The sub-panel recognises that, since RAE2001, interdisciplinary research has continued to advance within the arts, humanities and social sciences, as well as with other disciplines beyond this domain. Research Council support for interdisciplinary work between, for example, design and business or engineering, has been further accompanied by support for interdisciplinary initiatives between, for example, the creative arts and natural and physical sciences.

39. In this light, the sub-panel anticipates receiving interdisciplinary work to assess. It recognises that the descriptors of the research covered by other sub-panels are inherently interdisciplinary, often having no firm or rigidly definable boundaries.

40. It is expected that the assessment criteria of the sub-panel which receives the submission will be flexible enough to accommodate interdisciplinary work, and these criteria will be shared with other sub-panels to facilitate its assessment. Within Main Panel O, the working methods shared by sub-panels will further enable the configuration of assessment teams with the range of expertise appropriate to such research.

### Individual staff circumstances

41. Where, for valid reasons, the work of a researcher has been limited or circumstances have significantly affected the nature of their contribution to a submission, this will be taken into account in the assessment. Valid reasons are outlined in paragraph 39 of the generic statement

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and, for the sub-panels in Main Panel O, in paragraphs 33-35 of the main panel statement. In all such cases, institutions should use RA5b to describe the individual circumstances of staff.

42. For each member of Category C staff submitted, institutions are asked to provide evidence in RA5c of a close relationship with the submitting department, beyond that of passing engagement or token association. Evidence may include, for example, supervision of research students, co-authorship with established Category A staff, involvement in collaborative departmental research projects, departmental support for their research, or other contributions to the research environment. If the sub-panel is not satisfied with the evidence provided, the Category C staff concerned will be discounted from the assessment.

### Working methods

43. In order to exercise their expert judgements on research quality, the sub-panel will use the assessment criteria previously described. This will be done through a four-stage assessment process incorporating the following:

- a preliminary overview
- detailed assessment
- a final review
- an agreed profile for recommendation to the main panel.

### Preliminary overview

44. In preparing the ground for a balanced and fair assessment, sub-panel members will each bring their expert knowledge to bear on a holistic preliminary overview of the information provided in RA0-RA5 of each submission. At this stage RA5 will help panel members both to assimilate the full context of the research submitted and help identify those outputs listed in RA2 to be examined in detail. The purpose of the preliminary overview will be to engage fully all members of the sub-panel in each submission. It will also help to prepare the agenda and arrangements for assessment, as well as ensuring

equity and fairness in the process.

- a. Prior to the first assessment meeting all sub-panel members will have considered all submissions, and will come prepared to discuss the way in which the practical arrangements for assessment can best be configured.
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- c. In undertaking the overview, the sub-panel will identify issues for more detailed examination, any further specialist expertise needed to undertake this examination (including, for example, other members of the sub-panel, members of other sub-panels, or independent experts not on any sub-panel), and decide how the workload will be distributed.

### Detailed assessment

45. The assessment teams confirmed by the sub-panel (calling upon any additional expertise that has been agreed) will undertake a detailed examination of all components of the submission, along with a selection of the cited outputs, in order to explore the sub-panel's preliminary overview and to probe any issues it has raised. In examining the research submission and its outputs, sub-panel members will do so in sufficient detail so as to form reliable expert judgements on the quality of research.

46. In conducting its preliminary overview, the sub-panel will consider all of the information provided in RA2. Sub-panel members will use this information, together with their expert judgement, to select a proportion and range of outputs for detailed examination which they believe is representative of the quality of all outputs presented in a submission. The detailed

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examination of research outputs will be based entirely upon the members' direct engagement with those outputs cited in the submission, and related evidence where it has been identified (in accordance with paragraph 13). In particular:

- a. The research outputs to be examined in detail will include:
  - at least two outputs authored by each staff member submitted as Category A or C (or one output in cases where only one output has been submitted)
  - outputs that on initial scrutiny are deemed to be of the highest quality level
  - a selection made in light of issues identified in the preliminary overview
  - a further selection taken to assist the sub-panel's full understanding of the research environment as described in RA5.
- b. The selection and proportion of research outputs to be examined in detail will be as needed to establish a reliable quality profile for all research outputs listed in a submission. This will never be less than 50% of the outputs listed in each research submission and will be substantially more than this (up to 100%) if required to establish a robust and reliable quality profile for all of the outputs listed in a submission. Generally, across the unit of assessment, the sub-panel anticipates examining not less than 75% of outputs in detail. The sub-panel will ensure breadth and consistency of judgement by ensuring that at least 25% of outputs are examined by at least two members and, in some cases, through additional expertise.

### Final review

47. The sub-panel will scrutinise all the work undertaken by its members, considering their comparative judgements and recommendations, in order to reach a consensus on the quality profiles. In particular:

- a. The sub-panel will receive and review summary data concerning the members' detailed examination that will include, for example: the percentage of outputs examined

in detail; the relative proportions of Category A and C staff in a submission; the contributions of early career researchers; and instances where valid reasons have been given for the submission of fewer than four outputs.

- b. The sub-panel will be informed of any aspect of the assessment where the members have:
  - been unable to agree any part of that assessment
  - been required to undertake an examination of specific issues
  - identified further issues in the course of the assessment
  - worked with members of other sub-panels, or independent advisers, on the assessment of outputs.
- c. The members will present the sub-panel with their recommendations for quality profiles in each component of the submission, along with supporting reasons. Then, with full information before it, the sub-panel will apply its collective judgement and expertise to forming an overall quality profile for recommendation.
- d. The sub-panel will seek to achieve consensus on the recommended profiles through debate. It will then either:
  - pass a recommended profile on to the main panel for confirmation
  - ask the main panel to advise on ways of achieving consensus if the sub-panel is unable to agree
  - request its members, or members of another sub-panel, to review some aspect of a submission before a recommendation can be made.

### Agreed profile

48. In seeking to confirm the sub-panel's recommended profiles, the main panel will automatically review any submissions where:

- a. The chair and deputy chair have declared an interest in a single submission.

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- b. The sub-panel has been unable to achieve consensus (see paragraph 9 of the Main Panel O statement).
49. Otherwise the main panel will:
- a. Review the summary data resulting from the sub-panel's assessment of each submission.
  - b. Consider the quality profiles recommended for each component of the submission along with the overall quality profile.
  - c. Seek advice from research users and international experts who are members of the main panel.
  - d. Either confirm the recommendation or, exceptionally, request the sub-panel to review specific issues that have arisen from the data provided.

This statement should be read alongside the statement for Main Panel O and the generic statement.

**Absences of the chair and declarations of interest**

1. The sub-panel has nominated a permanent deputy chair to act in the absence of the chair or where the chair declares a conflict of interest in an institution's submission. Where both the chair and deputy chair declare a conflict of interest in the same institution, then the sub-panel will nominate one of the remaining members to officiate in that instance.
2. A current register of major interests for all sub-panel members will be collated by the RAE team and held by the panel secretary. Where a sub-panel member declares a number of minor interests in a particular institution, the sub-panel will judge whether this constitutes a major interest. The chair, deputy chair and panel secretary will ensure that declarations of interest by any sub-panel member are identified before meetings. Members will withdraw from the discussion of any submission in which they have declared a current or recent major interest.

**UOA descriptor and boundaries**

3. The sub-panel recognises the rich diversity of research in drama, dance and performing arts, and welcomes all outputs arising from this research, in whatever form or medium, that can be demonstrated to meet the definition of research for the RAE at Annex 3, and that have entered the public domain during the publication period. The sub-panel is committed to applying criteria and working methods that are appropriate to all submitting departments, whatever their size or structure, and that facilitate the formation of a balanced range of judgements, without privileging any particular form of research output or type of research environment.
4. The sub-panel will assess research from all areas of drama, theatre, dance, performance, film, TV and video. The UOA encompasses the theories, histories, ethnographies, practices, analyses, technologies and pedagogies in the widest domains of drama, theatre, dance, performance, film, TV and video; and the broadest understanding of the subject disciplines

and their relationship to the widest geographical, historical and cultural contexts.

5. The sub-panel recognises that, in many cases, the fields of work described above may be interdisciplinary, and thus have no firm or rigidly definable boundaries. It has taken account of the Quality Assurance Agency's subject benchmarking statement for these fields, and regards the statement as a useful but not limiting guide to its remit. For these reasons, while many submissions will reflect the work of departments, the sub-panel will also assess submissions that do not map neatly onto departmental structures within HEIs, where they properly and informatively reflect the organisation and conduct of research within the institution.

**Cross-referral and specialist advice**

6. Working within the framework established by the main panel (see paragraphs 10-12 of the main panel statement), the sub-panel will, on a case-by-case basis, determine how specialist advice should best be incorporated into its assessments. The sub-panel will consider all requests for cross-referral, in the context of RAE policy, and will normally take account of such requests. The sub-panel may itself cross-refer work to other sub-panels as appropriate. For example, the sub-panel may seek additional expertise in areas such as dance medicine, and drama and dance movement therapies.

**Research staff**

7. The research outputs of Category A staff should be submitted in RA2, where they will be assessed. The work of Category C staff should also be submitted in RA2, accompanied by a description in RA5c that provides evidence of their research connection with the department (see paragraph 41 below). Where the sub-panel accepts this evidence, the contributions of Category C staff will be assessed on an equal footing with Category A staff. The contributions of staff in Categories B and D should be described in RA5a.



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### Research output

8. The sub-panel will neither advantage nor disadvantage any type of research or form of output, whether it be physical or virtual, textual or non-textual, visual or sonic, static or dynamic, digital or analogue. Outputs may include, but are not limited to (in no particular order): books (authored or edited); chapters in books; journal articles; conference contributions; advisory reports; digital and broadcast media; documentation and reconstruction; films, videos and other types of media presentation; performances and other types of live presentation; translation and adaptation; play scripts or other texts for performance; scenography; digital and virtual performance; advisory reports; and the creation of archival or specialist collections to support the research infrastructure. In all cases the research outputs will be assessed against the indicators of excellence and degrees of quality described in Table 2 and paragraphs 15-23 of the main panel statement.

9. The sub-panel will assess all outputs against the absolute standards set out for quality levels (as described in paragraph 17 of the main panel statement) through the indicators of excellence described in Table 2 of the main panel statement.

10. The sub-panel would normally expect to see four outputs for each submitted researcher. Where there are valid reasons for the submission of fewer than four outputs, there will be no disadvantage. Valid reasons are set out in paragraphs 33-35 of the main panel statement. Where the sub-panel can identify no valid reasons for the 'missing' outputs, then their quality level will be set as Unclassified and incorporated as such into the quality profile.

11. The sub-panel recognises that there may be some highly exceptional cases – for example where a researcher has been engaged in a long-term research project – where the intellectual scale and scope of the research activity represented in one or more of the submitted outputs is considerably greater than the others. The sub-panel will note such highly exceptional cases during its assessment of outputs, taking account of any relevant information provided in RA5b,

and will use its expert judgement to decide whether to recognise such exceptional scale and scope within the outputs quality profile.

12. The sub-panel welcomes the submission of co-authored and collaborative research. It recognises that collaborative research within a department may result in the same output being listed against more than one researcher in the same submission. In such cases, the sub-panel recommends that the statement permitted in the 'Other relevant details' field in RA2 is used to clarify each author's contribution. However, the sub-panel encourages departments to present the widest possible range of research within their submission, in order to provide the sub-panel with a full understanding of the research environment's breadth and richness.

13. In undertaking its detailed examination of the research outputs, sub-panel members will draw upon the evidence made available to them in order to form expert judgements on the quality of the research submitted. 'Evidence' is taken to mean that which makes manifest the research content and imperatives of the submission. Researchers should accordingly submit such evidence as they deem necessary to enable sub-panel members to assess it within the following guidelines:

- a. **Research output:** this may be submitted alone where it is deemed to constitute sufficient evidence of the research in itself.
- b. **Statement:** it is *recommended* that a statement of up to 300 words is submitted in the 'Other relevant details' field of RA2, in cases where the research imperatives and the research significance of an output (such as: an artefact, curation, digital format, installation, performance or event, screening, tape, textbook, translation or video) might further be made evident by a descriptive complement. The statement might include: a brief description of the project and its stage of development; a rationale outlining questions addressed; a summary of approaches/strategies undertaken in the work; a digest of further evidence (if any) to be found in sub-paragraph 13c below. As

## UOA 65, Drama, Dance and Performing Arts

previously indicated, the 300-word statement should also be used to clarify the relative contributions of researchers working on a collaborative research project. The sub-panel will ignore any evaluative commentary on the perceived quality of the research.

- c. **Portfolio:** an evidence box of materials deemed to assist the sub-panel may be identified under the 'Other relevant details' field in RA2, and be made available on request in either digital and/or physical form. This may be of particular use to the sub-panel in cases where the research output is no longer available, or is one in a series of interconnected outputs. The portfolio might include complementary writings about the processes and outcomes of the work and/or other documentary materials (such as DVDs, tapes, photographs, sketchbooks, web-sites, interviews or programme notes). Contents sheets and annotations should be included to assist members in accessing the material, with an emphasis upon making evident the research and/or scholarly dimensions of the work.

14. To build a quality profile for research outputs the sub-panel will:

- assess outputs against the three indicators of excellence (significance, originality, and rigour), identifying each with a quality level (see paragraphs 15-23 of the main panel statement)
- weight all outputs equally unless, exceptionally, an output has been judged to be of a considerably greater scale and scope
- use the outputs examined in detail to compile a percentage profile that represents the quality of all outputs in each submission
- take account of all the information provided in RA5b, as set out in paragraph 33-35 of the main panel statement
- agree a quality profile in 5% bands so that it constitutes 70% of the overall quality profile.

### Research environment

15. In assessing the research environment the sub-panel recognises there are no absolute standards applicable to all submissions. It will take account of variables such as the numbers of research-active staff submitted, their relative career stages and their levels of experience, along with relevant information in RA5b.

16. Institutions should provide information in RA5a concerning both the research environment and indicators of esteem, working to the maximum word lengths stipulated in Annex 6. To assist the work of the sub-panel, institutions are requested to structure the research environment element of RA5a to demonstrate how the research environment meets the indicators of excellence given for it, ie, strategy, people, and structure. Examples of the kind of information that could be included under each heading are given below. The examples given are purely indicative and may not apply for all departments; institutions are not required to provide information under every example given.

### Strategy

#### *The research strategy and its operation*

17. Examples may include, but are not limited to:

- the research strategy during the assessment period 2001 to 2007, identifying any key issues as described in a submission to the 2001 RAE, if applicable
- an outline of the research strategy envisaged from 2007 onwards. This statement may also mention new and developing initiatives that are not yet producing immediate outcomes; or which may not yet be performing at a national or international level, but which are nevertheless of strategic importance to the submitting institution.

#### *Sustainability of the research environment*

18. Examples may include, but are not limited to:

- evidence of long-term planning for promoting research and sustaining an active

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and vital research culture, including evidence of institutional commitment to the department/discipline

- mechanisms for developing the research culture, eg, publications, journals, newsletters, online reviews, and symposia.

### *Research grant applications and other forms of research income*

19. Examples may include, but are not limited to:

- procedures and support for research grant applications
- the diversity of sources of research income, including any research income not cited in RA4 (eg, Arts Council awards made directly to individual researchers)
- numbers of successful grant applications
- numbers of completed projects
- the leadership, supervision, dissemination, evaluation and successful delivery of funded research projects.

## People

### *Support and training for research staff*

20. Examples may include, but are not limited to:

- arrangements for developing and supporting staff in their research, including how this support sits with their non-research duties
- arrangements for developing the research of colleagues new to research and for integrating them into a wider supportive research culture
- recruitment or secondment of research staff to business or industry
- recruitment or secondment of research staff to museums or public bodies
- details of the contributions made by staff in Categories B and D during the census period, and/or details of how their departure has affected the strength, coherence and research culture of the department
- details of the role and contribution of staff recruited within a year of the census date.

### *Support and training for associates, fellows and research students*

21. Examples may include, but are not limited to:

- structures in place to support research associates, fellows and students and to help them complete their projects and theses
- funding support
- graduate research seminars
- schemes for training research supervisors and for quality assurance
- the integration of research associates, fellows and students within the research environment of the department.

### *Other research activities*

22. Examples may include, but are not limited to:

- the achievements of research staff during the assessment period
- research outcomes not already referred to in RA2 or elsewhere
- membership of Research Council panels or other peer review bodies
- research projects not completed within the publication period
- joint projects or publications with practitioners in business or industry
- joint projects or publications with museums and public bodies.

## Structure

### *The intellectual infrastructure*

23. Examples may include, but are not limited to:

- the department, and the researchers working within it
- distinctive research fields that characterise the research environment
- the scholarly infrastructure supporting research, eg, significant collections or archives (their development and use)
- means for promoting and sustaining the intellectual infrastructure

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- joint research programmes or projects with industry or business practitioners
- associated fellowships or studentships with other universities, business, industry, museums or public bodies.

***The wider context of the research infrastructure***

24. Examples may include, but are not limited to:

- information on the local, regional, national and international research contexts or communities within which the research takes place
- relationships with research users (including business, industry, museums and public bodies) or Knowledge Transfer Partnerships
- the creation of research centres, partnerships, affiliations, performances, exhibitions, conferences or symposia
- arrangements for supporting interdisciplinary or collaborative research
- account taken of government policy, initiatives and objectives
- other UOAs to which related work has been submitted, and any difficulties of fit between the departmental structure and the UOA framework.

***The operational infrastructure***

25. Examples may include, but are not limited to:

- quality assurance mechanisms and their use
- facilities for research staff and research students
- the supporting administrative and technical facilities
- advanced equipment or IT resources that support the research
- resources or facilities gained through collaboration with organisations external to the university.

**Research students and research studentships**

26. Research student numbers and studentships will be assessed as part of the research environment. Externally-funded studentships awarded through rigorous competition, or by prestigious bodies including those from industry, will also be considered as esteem indicators. In undertaking its assessment, the sub-panel will take into account relevant standard analyses provided by the RAE team (as listed in Annex 7), including data on registrations and numbers of completions, and students per research-active staff.

**Research income**

27. The assessment will be focused on outcomes rather than income, and will recognise that the levels of income required to assist research sustainability are relative to the scale and size of a department and the nature of the research. Research income will be assessed as part of the research environment. Grants awarded through rigorous competition, or by prestigious bodies including those from industry, will also be considered as esteem indicators. In undertaking its assessment, the sub-panel will take account of the total number of grants relative to the size of the department, along with the range and level of external income available to its researchers. Where relevant, the sub-panel will also take into account the standard analyses provided by the RAE team.

**Formulating a quality profile for research environment**

28. In exercising its expert judgement to build a quality profile for the research environment, the sub-panel will:

- a. Identify each of the three indicators of excellence (strategy, people and structure) with a quality level (see Table 2 and paragraphs 15-23 of the main panel statement). In undertaking its assessment, the sub-panel will take account of all the information provided on the research environment in RA5a, as well as the data on

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student numbers and studentships in RA3a and RA3b, and the data on research income in RA4.

- b. Allocate each of the three quality levels with 25% of the quality profile.
- c. Allocate a further 25% to represent the sub-panel's overall assessment of the research environment, with the qualification that this could be moderated in either direction to take account of particular aspects of the environment, as described in the submission.
- d. The profile for the research environment will then constitute 20% of the overall quality profile.

### Esteem indicators

29. In assessing esteem indicators the sub-panel recognises that there are no absolute standards applicable to all departments. It will take into account variables such as the numbers of research-active staff submitted, their relative career stages and their levels of experience, along with relevant information in RA5b.

30. To assist the work of the sub-panel, institutions are requested to structure the esteem element of RA5a to provide examples of esteem against the three indicators of excellence given for it: recognition, influence, and benefit. Institutions should look to provide a range of indicators representative of the department as a whole, and are not required to provide separate lists for each individual researcher under each category:

- a. **Recognition:** examples may include but are not restricted to: honours, prizes, visiting fellowships or appointments; invitations to deliver external lectures, workshops, masterclasses, addresses to major conferences, or to chair major conference sessions; invitations to edit special journal editions; invitations to write programme notes; and consultancies with business, industry, and public bodies.
- b. **Influence:** examples may include but are not restricted to: advisory or assessment positions on the committees of Research Councils, Arts

Councils or other public bodies; membership of university or industry advisory panels, or national research strategy or review boards; advisory work or consultancy for theatre companies and other arts organisations; non-executive positions on the boards of companies or other relevant organisations; leading positions in professional and subject associations; editorial positions; refereeing academic publications or research proposals; and consultancies.

- c. **Benefit:** examples may include but are not restricted to: the establishment of externally funded endowments for research fellows, students or projects, including business or industry sponsorship; access to, or receipt of, archives and other research resources; numbers of externally funded studentships or fellowships won for the department in open competition; major externally funded projects won in open competition; and other competitively won external research income.

### Formulating a quality profile for research esteem

31. Esteem will be identified with a single quality level representing 10% of the overall quality profile. This will be determined by assessing its three indicators of excellence (recognition, influence and benefit), as described in Table 2 and paragraphs 15-23 of the main panel statement. In undertaking its assessment, the sub-panel will take account of all the information provided on esteem in RA5a, as well as the data on externally-funded studentships in RA3b.

### Applied and other types of research

32. Definitions of differing types of research, which are recognised and supported by the sub-panel, are given in the statement for Main Panel O, paragraphs 24-29.

33. The sub-panel welcomes all types of research for assessment whether produced through writing, making, composing, or performing. Without privileging one type of research over any other, the sub-panel will judge how such research embodies new knowledge, or enhances



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understanding/appreciation, or enriches the intellectual/creative infrastructure in which such research is conducted.

34. The sub-panel recognises that types of research described in RAE 03/2005 'Guidance on submissions' (ie, scholarly research, basic research, strategic research, practice-based research and applied research) are suffused by the distinctive practices of research in drama, dance and performing arts and that, for example, practice-as-research is a distinctive feature. It also recognises that the types of research set out for the RAE will not always be rigidly defined, often being integrated within a research project and its outputs.

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36. Outputs of scholarly research in drama, dance and performing arts are also welcomed by the sub-panel and might include, but are not limited to: dictionaries or encyclopaedias, or entries in these; databases, catalogues or archives, or contributions to these; scholarly editions and translations.

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37. The sub-panel recognises that, since RAE2001, interdisciplinary research has continued to advance within the arts, humanities and social sciences, as well as with other disciplines beyond this domain. Research Council support for interdisciplinary work between, for example, design and business or engineering, has been further accompanied by support for interdisciplinary initiatives between, for example, the creative arts and natural and physical sciences.

38. In this light, the sub-panel anticipates receiving interdisciplinary work to assess. It recognises that the descriptors of the research covered by other sub-panels are inherently interdisciplinary, often having no firm or rigidly definable boundaries.

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### Individual staff circumstances

40. Where, for valid reasons, the work of a researcher has been limited or circumstances have significantly affected the nature of their contribution to a submission, this will be taken into account in the assessment. Valid reasons are outlined in paragraph 39 of the generic statement and, for the sub-panels in Main Panel O, in paragraphs 33-35 of the main panel statement. In all such cases, institutions should use RA5b to describe the individual circumstances of staff.

41. For each member of Category C staff submitted, institutions are asked to provide evidence in RA5c of a close relationship with the submitting department, beyond that of passing engagement or token association. Evidence may include, for example, supervision of research students, co-authorship with established Category A staff, involvement in collaborative departmental research projects, departmental support for their research, or other contributions to the research environment. If the sub-panel is not satisfied with the evidence provided, the Category C staff concerned will be discounted from the assessment.

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### Preliminary overview

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- a. Prior to the first assessment meeting all sub-panel members will have considered all submissions, and will come prepared to discuss the way in which the practical arrangements for assessment can best be configured.
- b. Prior to the first assessment meeting, the sub-panel chair and panel secretary will have provisionally identified the members to be primarily responsible for each submission (one will be appointed to lead and co-ordinate the assessment). These recommendations will be circulated before this first meeting, and confirmed or amended after the preliminary overview.
- c. In undertaking the overview, the sub-panel will identify issues for more detailed examination, any further specialist expertise needed to undertake this examination (including, for example, other members of the sub-panel, members of other sub-panels, or independent experts not on any sub-panel), and decide how the workload will be distributed.

### Detailed assessment

44. The assessment teams confirmed by the sub-panel (calling upon any additional expertise that has been agreed) will undertake a detailed examination of all components of the submission, along with a selection of the cited outputs, in order to explore the sub-panel's preliminary

overview and to probe any issues it has raised. In examining the research submission and its outputs, sub-panel members will do so in sufficient detail so as to form reliable expert judgements on the quality of research.

45. In conducting its preliminary overview, the sub-panel will consider all of the information provided in RA2. Sub-panel members will use this information, together with their expert judgement, to select a proportion and range of outputs for detailed examination which they believe is representative of the quality of all outputs presented in a submission. The detailed examination of research outputs will be based entirely upon the members' direct engagement with those outputs cited in the submission, and related evidence where it has been identified (in accordance with paragraph 13). In particular:

- a. The research outputs to be examined in detail will include:
  - at least two outputs authored by each staff member submitted as Category A or C (or one output in cases where only one output has been submitted)
  - outputs that on initial scrutiny are deemed to be of the highest quality level
  - a selection taken in light of issues identified in the preliminary overview
  - a further selection taken to assist the sub-panel's full understanding of the research environment as described in RA5.
- b. The selection and proportion of research outputs to be examined in detail will be as needed to establish a reliable quality profile for all research outputs listed in a submission. This will never be less than 50% of the outputs listed in each research submission and will be substantially more than this (up to 100%) if required to establish a robust and reliable quality profile for all of the outputs listed in a submission. Generally, across the unit of assessment, the sub-panel anticipates examining not less than 75% of outputs in detail. The sub-panel will ensure breadth and consistency of judgement through the practice of outputs being examined by at

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least two members and, in some cases, through additional expertise.

### Final review

46. The sub-panel will scrutinise all the work undertaken by its members, considering their comparative judgements and recommendations, in order to reach a consensus on the quality profiles. In particular:

- a. The sub-panel will receive and review summary data concerning the members' detailed examination that will include, for example: the percentage of outputs examined in detail; the relative proportions of Category A and C staff in a submission; the contributions of early career researchers; and instances where valid reasons have been given for the submission of fewer than four outputs.
- b. The sub-panel will be informed of any aspect of the assessment where the members have:
  - been unable to agree any part of that assessment
  - been required to undertake an examination of specific issues
  - identified further issues in the course of the assessment
  - worked with members of other sub-panels, or independent advisers, on the assessment of outputs.
- c. The members will present the sub-panel with their recommendations for quality profiles in each component of the submission, along with supporting reasons. Then, with full information before it, the sub-panel will apply its collective judgement and expertise to forming an overall quality profile for recommendation.
- d. The sub-panel will seek to achieve consensus on the recommended profiles through debate. It will then either:
  - pass a recommended profile on to the main panel for confirmation

- ask the main panel to advise on ways of achieving consensus if the sub-panel is unable to agree
- request its members, or members of another sub-panel, to review some aspect of a submission before a recommendation can be made.

### Agreed profile

47. In seeking to confirm the sub-panel's recommended profiles, the main panel will automatically review any submissions where:

- a. The chair and deputy chair have declared an interest in a single submission.
- b. The sub-panel has been unable to achieve consensus (see paragraph 9 of the Main Panel O statement).

48. Otherwise the main panel will:

- a. Review the summary data resulting from the sub-panel's assessment of each submission.
- b. Consider the quality profiles recommended for each component of the submission along with the overall quality profile.
- c. Seek advice from research users and international experts who are members of the main panel.
- d. Either confirm the recommendation or, exceptionally, request the sub-panel to review specific issues that have arisen from the data provided.



This statement should be read alongside the statement for Main Panel O and the generic statement.

**Absences of the chair and declarations of interest**

1. The sub-panel has nominated a permanent deputy chair to act in the absence of the chair or where the chair declares a conflict of interest in an institution’s submission. Where both the chair and deputy chair declare a conflict of interest in the same institution, then the sub-panel will nominate one of the remaining members to officiate in that instance.
2. A current register of major interests for all sub-panel members will be collated by the RAE team and held by the panel secretary. Where a sub-panel member declares a number of minor interests in a particular institution, the sub-panel will judge whether this constitutes a major interest. The chair, deputy chair and panel secretary will ensure that declarations of interest by any sub-panel member are identified before meetings. Members will withdraw from the discussion of any submission in which they have declared a current or recent major interest.

**UOA descriptor and boundaries**

3. The sub-panel recognises the rich diversity of communication, cultural and media studies, and welcomes all outputs arising from this research, in whatever genre or medium, that can be demonstrated to meet the definition of research for the RAE at Annex 3, and that have entered the public domain during the publication period. The sub-panel is committed to applying criteria and working methods that are appropriate to all submitting departments, whatever their size or structure, and that facilitate the formation of a balanced range of judgements, without privileging any particular form of research output or type of research environment.
4. The sub-panel for UOA 66, Communication, Cultural and Media Studies has adopted an inclusive definition of its remit. The sub-panel will assess research addressing or deploying theory, history, institutional, policy, textual, critical and/or empirical analysis, or practice within communication, culture, media, journalism and film studies. Within UK higher education much, but not all, of this work is likely to emanate from

units or departments in communication studies, cultural studies, media studies, journalism or film and television studies. This work will include research on print media, broadcasting, the moving image, ‘new media’ including computer-mediated communication, popular culture, and information and communication technologies, which will be variably titled and organised. Much will also be conducted in units or departments situated elsewhere within the social sciences, arts or humanities. The sub-panel will assess research as defined above which will include (but is not confined to):

- policy for regulation of culture and the media
- the organisation, institutions, political economy and practice of cultural production
- media and cultural texts, forms and practices
- media and cultural audiences, consumption and reception, including questions of power, identity and difference.

5. The sub-panel recognises that, in many cases, the fields of work described above may be interdisciplinary, and thus have no firm or rigidly definable boundaries. It has taken account of the Quality Assurance Agency’s subject benchmarking statement for these fields, and regards the statement as a useful but not limiting guide to its remit. For these reasons, while many submissions will reflect the work of departments, the sub-panel will also assess submissions that do not map neatly onto departmental structures within HEIs, where they properly and informatively reflect the organisation and conduct of research within the institution.

**Cross-referral and specialist advice**

6. Working within the framework established by the main panel (see paragraphs 10-12 of the main panel statement), the sub-panel will, on a case-by-case basis, determine how specialist advice should best be incorporated into its assessments. The sub-panel will consider all requests for cross-referral, in the context of RAE policy, and will normally take account of such requests. The sub-panel may itself cross-refer work to other sub-panels as appropriate.

## UOA 66, Communication, Cultural and Media Studies

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### Research staff

7. The research outputs of Category A staff should be submitted in RA2, where they will be assessed. The work of Category C staff should also be submitted in RA2, accompanied by a description in RA5c that provides evidence of their research connection with the department (see paragraph 42 below). Where the sub-panel accepts this evidence, the contributions of Category C staff will be assessed on an equal footing with Category A staff. The contributions of staff in Categories B and D should be described in RA5a.

### Research output

8. The sub-panel will neither advantage nor disadvantage any type of research or form of output, whether it be physical or virtual, textual or non-textual, visual or sonic, static or dynamic, digital or analogue. In all cases the research outputs will be assessed against the indicators of excellence and degrees of quality described in Table 2 and paragraphs 15-23 of the main panel statement.

9. The sub-panel will assess all outputs against the absolute standards set out for quality levels (as described in paragraph 17 of the main panel statement) through the indicators of excellence described in Table 2 of the main panel statement.

10. The sub-panel would normally expect to see four outputs for each submitted researcher. Where there are valid reasons for the submission of fewer than four outputs, there will be no disadvantage. Valid reasons are set out in paragraphs 33-35 of the main panel statement. Where the sub-panel can identify no valid reasons for the 'missing' outputs, then their quality level will be set as Unclassified and incorporated as such into the quality profile.

11. The sub-panel recognises that there may be some highly exceptional cases – for example where a researcher has been engaged in a long-term research project – where the intellectual scale and scope of the research activity represented in one or more of the submitted outputs is considerably greater than the others. The sub-

panel will note such highly exceptional cases during its assessment of outputs, taking account of any relevant information provided in RA5b, and will use its expert judgement to decide whether to recognise such exceptional scale and scope within the outputs quality profile.

12. The sub-panel welcomes the submission of co-authored and collaborative research. It recognises that collaborative research within a department may result in the same output being listed against more than one researcher in the same submission. In such cases, the sub-panel recommends that the statement permitted in the 'Other relevant details' field in RA2 is used to clarify each author's contribution. However, the sub-panel encourages departments to present the widest possible range of research within their submission, in order to provide the sub-panel with a full understanding of the research environment's breadth and richness.

13. In undertaking its detailed examination of the research outputs, sub-panel members will draw upon the evidence made available to them in order to form expert judgements on the quality of the research submitted. 'Evidence' is taken to mean that which makes manifest the research content and imperatives of the submission. Researchers should accordingly submit such evidence as they deem necessary to enable sub-panel members to assess it within the following guidelines:

- a. **Research output:** this may be submitted alone where it is deemed to constitute sufficient evidence of the research in itself.
- b. **Statement:** it is *recommended* that a statement of up to 300 words is submitted in the 'Other relevant details' field of RA2, in cases where the research imperatives and the research significance of an output (such as: an artefact, digital format, installation, performance or event, screening, tape, textbook, translation or video) might further be made evident by a descriptive complement. The statement might include: a brief description of the project and its stage of development; a rationale outlining questions addressed; a summary of

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**UOA 66, Communication, Cultural and Media Studies**


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approaches/strategies undertaken in the work; a digest of further evidence (if any) to be found in sub-paragraph 13c below. As previously indicated, the 300-word statement should also be used to clarify the relative contributions of researchers working on a collaborative research project. The sub-panel will ignore any evaluative commentary on the perceived quality of the research.

- c. **Portfolio:** additional scholarly materials deemed to assist the sub-panel may be identified under the 'Other relevant details' field in RA2, and be made available on request in either digital and/or physical form. This may be of particular use to the sub-panel in cases where the research output is no longer available, or is one in a series of interconnected outputs. The portfolio might include complementary writings about the processes and outcomes of the work and/or other documentary materials (such as DVDs, tapes, photographs, sketchbooks, web-sites, interviews or programme notes). The material should be presented to best assist members in accessing the research and/or scholarly dimensions of the work.
14. To build a quality profile for research outputs the sub-panel will:
- assess outputs against the three indicators of excellence (significance, originality, and rigour), identifying each with a quality level (see paragraphs 15-23 of the main panel statement)
  - weight all outputs equally unless, exceptionally, an output has been judged to be of a considerably greater scale and scope
  - use the outputs examined in detail to compile a percentage profile that represents the quality of all outputs in each submission
  - take account of all the information provided in RA5b, as set out in paragraph 33-35 of the main panel statement
  - agree a quality profile in 5% bands so that it constitutes 70% of the overall quality profile.

## Research environment

15. In assessing the research environment the sub-panel recognises there are no absolute standards applicable to all submissions. It will take account of variables such as the numbers of research-active staff submitted, their relative career stages and their levels of experience, along with relevant information in RA5b.

16. Institutions should provide information in RA5a concerning both the research environment and indicators of esteem, working to the maximum word lengths stipulated in Annex 6. To assist the work of the sub-panel, institutions are requested to structure the research environment element of RA5a to demonstrate how the research environment meets the indicators of excellence given for it, ie, strategy, people, and structure. Examples of the kind of information that could be included under each heading are given below. The examples given are purely indicative and may not apply for all departments; institutions are not required to provide information under every example given.

## Strategy

### *The research strategy and its operation*

17. Examples may include, but are not limited to:
- the research strategy during the assessment period 2001 to 2007, identifying any key issues as described in a submission to the 2001 RAE, if applicable
  - an outline of the research strategy envisaged from 2007 onwards. This statement may also mention new and developing initiatives that are not yet producing immediate outcomes; or which may not yet be performing at a national or international level, but which are nevertheless of strategic importance to the submitting institution.

### *Sustainability of the research environment*

18. Examples may include, but are not limited to:
- evidence of long-term planning for promoting research and sustaining an active



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and vital research culture, including evidence of institutional commitment to the department/discipline

- mechanisms for developing the research culture, eg, publications, journals, newsletters, online reviews, and symposia.

***Research grant applications and other forms of research income***

19. Examples may include, but are not limited to:

- procedures and support for research grant applications
- the diversity of sources of research income, including any research income not cited in RA4 (eg, awards made directly to individual researchers)
- numbers of successful grant applications
- numbers of completed projects
- the leadership, supervision, dissemination, evaluation and successful delivery of funded research projects.

**People*****Support and training for research staff***

20. Examples may include, but are not limited to:

- arrangements for developing and supporting staff in their research, including how this support sits with their non-research duties
- arrangements for developing the research of colleagues new to research and for integrating them into a wider supportive research culture
- recruitment or secondment of research staff to business or industry
- recruitment or secondment of research staff to public bodies
- details of the contributions made by staff in Categories B and D during the census period, and/or details of how their departure has affected the strength, coherence and research culture of the department
- details of the role and contribution of staff recruited within a year of the census date.

***Support and training for associates, fellows and research students***

21. Examples may include, but are not limited to:

- structures in place to support research associates, fellows and students and to help them complete their projects and theses
- funding support
- graduate research seminars
- schemes for training research supervisors and for quality assurance
- the integration of research associates, fellows and students within the research environment of the department.

***Other research activities***

22. Examples may include, but are not limited to:

- the achievements of research staff during the assessment period
- research outcomes not already referred to in RA2 or elsewhere
- membership of Research Council panels or other peer review bodies
- research projects not completed within the publication period
- joint projects or publications with practitioners in business or industry
- joint projects or publications with public bodies.

**Structure*****The intellectual infrastructure***

23. Examples may include, but are not limited to:

- the department, and the researchers working within it
- distinctive research fields that characterise the research environment
- the scholarly infrastructure supporting research, eg, significant collections or archives (their development and use)
- means for promoting and sustaining the intellectual infrastructure

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- joint research programmes or projects with industry or business practitioners
- associated fellowships or studentships with other universities, business, industry or public bodies.

***The wider context of the research infrastructure***

24. Examples may include, but are not limited to:

- information on the local, regional, national and international research contexts or communities within which the research takes place
- relationships with research users (including business, industry and public bodies) or Knowledge Transfer Partnerships
- the creation of research centres, partnerships, affiliations, performances, exhibitions, conferences or symposia
- arrangements for supporting interdisciplinary or collaborative research
- account taken of government policy, initiatives and objectives
- other UOAs to which related work has been submitted, and any difficulties of fit between the departmental structure and the UOA framework.

***The operational infrastructure***

25. Examples may include, but are not limited to:

- quality assurance mechanisms and their use
- facilities for research staff and research students
- the supporting administrative and technical facilities
- advanced equipment or IT resources that support the research
- resources or facilities gained through collaboration with organisations external to the university.

**Research students and research studentships**

26. Research student numbers and studentships will be assessed as part of the research environment. Externally-funded studentships awarded through rigorous competition, or by prestigious bodies, will also be considered as esteem indicators. In undertaking its assessment, the sub-panel will take into account relevant standard analyses provided by the RAE team (as listed in Annex 7), including data on registrations and numbers of completions, and students per research-active staff.

**Research income**

27. The assessment will be focused on outcomes rather than income, and will recognise that the levels of income required to assist research sustainability are relative to the scale and size of a department and the nature of the research. Research income will be assessed as part of the research environment. Grants awarded through rigorous competition, or by prestigious bodies, will also be considered as esteem indicators. In undertaking its assessment, the sub-panel will take account of the total number of grants relative to the size of the department, along with the range and level of external income available to its researchers. Where relevant, the sub-panel will also take into account the standard analyses provided by the RAE team.

**Formulating a quality profile for research environment**

28. In exercising its expert judgement to build a quality profile for the research environment, the sub-panel will:

- Identify each of the three indicators of excellence (strategy, people and structure) with a quality level (see Table 2 and paragraphs 15-23 of the main panel statement). In undertaking its assessment, the sub-panel will take account of all the information provided on the research environment in RA5a, as well as the

## UOA 66, Communication, Cultural and Media Studies

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data on student numbers and studentships in RA3a and RA3b, and the data on research income in RA4.

- b. Allocate each of the three quality levels with 25% of the quality profile.
- c. Allocate a further 25% to represent the sub-panel's overall assessment of the research environment, with the qualification that this could be moderated in either direction to take account of particular aspects of the environment, as described in the submission.
- d. The profile for the research environment will then constitute 20% of the overall quality profile.

### Esteem indicators

29. In assessing esteem indicators the sub-panel recognises that there are no absolute standards applicable to all departments. It will take into account variables such as the numbers of research-active staff submitted, their relative career stages and their levels of experience, along with relevant information in RA5b.

30. To assist the work of the sub-panel, institutions are requested to structure the esteem element of RA5a to provide examples of esteem against the three indicators of excellence given for it: recognition, influence, and benefit. Institutions should look to provide a range of indicators representative of the department as a whole, and are not required to provide separate lists for each individual researcher under each category:

- a. **Recognition:** examples may include but are not restricted to: honours, prizes, visiting fellowships or appointments; invitations to deliver external lectures, lecture series, addresses to major conferences, or to chair major conference sessions; and consultancies with business, industry, and public bodies.
- b. **Influence:** examples may include but are not restricted to: membership of Research Council committees, university or industry advisory panels, or national research strategy or review boards; non-executive positions on

the boards of relevant bodies; leading positions in professional and subject associations; editorial positions; refereeing academic publications or research proposals; and consultancies.

- c. **Benefit:** examples may include but are not restricted to: the establishment of externally funded endowments for research fellows, students or projects, including business or industry sponsorship; access to, or receipt of, archives and other research resources; numbers of externally funded studentships or fellowships won for the department in open competition; major externally funded projects won in open competition; and other competitively won external research income.

### Formulating a quality profile for research esteem

31. Esteem will be identified with a single quality level representing 10% of the overall quality profile. This will be determined by assessing its three indicators of excellence (recognition, influence and benefit), as described in Table 2 of the main panel statement. In undertaking its assessment, the sub-panel will take account of all the information provided on esteem in RA5a, as well as the data on externally-funded studentships in RA3b.

### Applied and other types of research

32. Definitions of differing types of research, which are recognised and supported by the sub-panel, are given in the statement for Main Panel O, paragraphs 24-29.

33. The sub-panel welcomes all types of research for assessment whether produced through writing, making, composing, or performing. Without privileging one type of research over any other, the sub-panel will judge how such research embodies new knowledge, or enhances understanding/appreciation, or enriches the intellectual/creative infrastructure in which such research is conducted.

34. The sub-panel recognises that types of research described in RAE 03/2005 'Guidance on

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submissions' (ie, scholarly research, basic research, strategic research, practice-based research and applied research) are suffused by the distinctive practices of research in communication, cultural and media studies. It also recognises that the types of research set out for the RAE will not always be rigidly defined, often being integrated within a research project and its outputs.

35. Outputs of pedagogic research in higher education concerning communication, cultural and media studies will be assessed where they meet the definition for such research as set out in paragraphs 59 and 60 of the generic statement and in Annex 3.

36. Outputs of scholarly research in communication, cultural and media studies are also welcomed by the sub-panel and might include, but are not limited to: dictionaries or encyclopaedias, or entries in these; databases, catalogues or archives, or contributions to these; scholarly editions and translations.

### Practice-as-research

37. The sub-panel recognises that outputs reflecting practice-as-research may be an element of some submissions. It also acknowledges that a number of competing terms (including practice-based, practice-led and practice-as-research) have general currency for defining this area of research, and the sub-panel intends no judgement between them. All outputs of practice-as-research are welcomed by the sub-panel, provided they meet the definition of research as defined for the RAE, and they will be assessed against the same criteria and indicators of excellence as all other outputs. As indicated previously, the sub-panel recommends that the 300-word statement permitted in the 'Other relevant details' field of RA2 is used to clarify the research content of such outputs, where it is not readily apparent.

### Interdisciplinary research

38. The sub-panel recognises that, since RAE2001, interdisciplinary research has continued to advance within the arts, humanities and social sciences, as well as with other disciplines beyond this domain. Research Council

support for interdisciplinary work between, for example, design and business or engineering, has been further accompanied by support for interdisciplinary initiatives between, for example, the creative arts and natural and physical sciences.

39. In this light, the sub-panel anticipates receiving interdisciplinary work to assess. It recognises that the descriptors of the research covered by other sub-panels are inherently interdisciplinary, often having no firm or rigidly definable boundaries.

40. It is expected that the assessment criteria of the sub-panel which receives the submission will be flexible enough to accommodate interdisciplinary work, and these criteria will be shared with other sub-panels to facilitate its assessment. Within Main Panel O, the working methods shared by sub-panels will further enable the configuration of assessment teams with the range of expertise appropriate to such research.

### Individual staff circumstances

41. Where, for valid reasons, the work of a researcher has been limited or circumstances have significantly affected the nature of their contribution to a submission, this will be taken into account in the assessment. Valid reasons are outlined in paragraph 39 of the generic statement and, for the sub-panels in Main Panel O, in paragraphs 33-35 of the main panel statement. In all such cases, institutions should use RA5b to describe the individual circumstances of staff.

42. For each member of Category C staff submitted, institutions are asked to provide evidence in RA5c of a close relationship with the submitting department, beyond that of passing engagement or token association. Evidence may include, for example, supervision of research students, co-authorship with established Category A staff, involvement in collaborative departmental research projects, departmental support for their research, or other contributions to the research environment. If the sub-panel is not satisfied with the evidence provided, the Category C staff concerned will be discounted from the assessment.

## UOA 66, Communication, Cultural and Media Studies

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### Working methods

43. In order to exercise their expert judgements on research quality, the sub-panel will use the assessment criteria previously described. This will be done through a four-stage assessment process incorporating the following:

- a preliminary overview
- detailed assessment
- a final review
- an agreed profile for recommendation to the main panel.

### Preliminary overview

44. In preparing the ground for a balanced and fair assessment, sub-panel members will each bring their expert knowledge to bear on a holistic preliminary overview of the information provided in RA0-RA5 of each submission. At this stage RA5 will help panel members both to assimilate the full context of the research submitted and help identify those outputs listed in RA2 to be examined in detail. The purpose of the preliminary overview will be to engage fully all members of the sub-panel in each submission. It will also help to prepare the agenda and arrangements for assessment, as well as ensuring equity and fairness in the process.

- a. Prior to the first assessment meeting all sub-panel members will have considered all submissions, and will come prepared to discuss the way in which the practical arrangements for assessment can best be configured.
- b. Prior to the first assessment meeting, the sub-panel chair and panel secretary will have provisionally identified the members to be primarily responsible for each submission (one will be appointed to lead and co-ordinate the assessment). These recommendations will be circulated before this first meeting, and confirmed or amended after the preliminary overview.
- c. In undertaking the overview, the sub-panel will identify issues for more detailed examination, any further specialist expertise needed to undertake this examination

(including, for example, other members of the sub-panel, members of other sub-panels, or independent experts not on any sub-panel), and decide how the workload will be distributed.

### Detailed assessment

45. The assessment teams confirmed by the sub-panel (calling upon any additional expertise that has been agreed) will undertake a detailed examination of all components of the submission, along with a sample of the cited outputs, in order to explore the sub-panel's preliminary overview and to probe any issues it has raised. In examining the research submission and its outputs, sub-panel members will do so in sufficient detail so as to form reliable expert judgements on the quality of research.

46. In conducting its preliminary overview, the sub-panel will consider all of the information provided in RA2. Sub-panel members will use this information, together with their expert judgement, to select a proportion and range of outputs for detailed examination which they believe is representative of the quality of all outputs presented in a submission. The detailed examination of research outputs will be based entirely upon the members' direct engagement with those outputs cited in the submission, and related evidence where it has been identified (in accordance with paragraph 13). The sub-panel will form its judgements on the basis of an assessment of the full range of outputs. Such assessment will include examination in detail of a proportion of the outputs in each submission. This will never be less than 50% of the outputs listed and will be substantially more than this (up to 100%) if required to establish a robust and reliable quality profile for all of the outputs listed in a submission. Generally, across the unit of assessment, the sub-panel anticipates examining not less than 75% of outputs in detail. Selection criteria for outputs so examined in detail may include: items relevant to issues identified in the preliminary overview; a spread of outputs over the assessment period; research across varied research topics; items that might assist the sub-panel's full understanding of the research environment described in RA5a; and research of differing types.



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**UOA 66, Communication, Cultural and Media Studies**


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The sub-panel will ensure breadth and consistency of judgement through the practice of outputs being examined by at least two members and, in some cases, through additional expertise.

### Final review

47. The sub-panel will scrutinise all the work undertaken by its members, considering their comparative judgements and recommendations, in order to reach a consensus on the quality profiles. In particular:

- a. The sub-panel will receive and review summary data concerning the members' detailed examination that will include, for example: the percentage of outputs examined in detail; the relative proportions of Category A and C staff in a submission; the contributions of early career researchers; and instances where valid reasons have been given for the submission of fewer than four outputs.
- b. The sub-panel will be informed of any aspect of the assessment where the members have:
  - been unable to agree any part of that assessment
  - been required to undertake an examination of specific issues
  - identified further issues in the course of the assessment
  - worked with members of other sub-panels, or independent advisers, on the assessment of outputs.
- c. The members will present the sub-panel with their recommendations for quality profiles in each component of the submission, along with supporting reasons. Then, with full information before it, the sub-panel will apply its collective judgement and expertise to forming an overall quality profile for recommendation.
- d. The sub-panel will seek to achieve consensus on the recommended profiles through debate. It will then either:
  - pass a recommended profile on to the main panel for confirmation

- ask the main panel to advise on ways of achieving consensus if the sub-panel is unable to agree
- request its members, or members of another sub-panel, to review some aspect of a submission before a recommendation can be made.

### Agreed profile

48. In seeking to confirm the sub-panel's recommended profiles, the main panel will automatically review any submissions where:

- a. The chair and deputy chair have declared an interest in a single submission.
  - b. The sub-panel has been unable to achieve consensus (see paragraph 9 of the Main Panel O statement).
49. Otherwise the main panel will:
- a. Review the summary data resulting from the sub-panel's assessment of each submission.
  - b. Consider the quality profiles recommended for each component of the submission along with the overall quality profile.
  - c. Seek advice from research users and international experts who are members of the main panel.
  - d. Either confirm the recommendation or, exceptionally, request the sub-panel to review specific issues that have arisen from the data provided.





This statement should be read alongside the statement for Main Panel O and the generic statement.

### **Absences of the chair and declarations of interest**

1. The sub-panel has nominated a permanent deputy chair to act in the absence of the chair or where the chair declares a conflict of interest in an institution's submission. Where both the chair and deputy chair declare a conflict of interest in the same institution, then the sub-panel will nominate one of the remaining members to officiate in that instance.

2. A current register of major interests for all sub-panel members will be collated by the RAE team and held by the panel secretary. Where a sub-panel member declares a number of minor interests in a particular institution, the sub-panel will judge whether this constitutes a major interest. The chair, deputy chair and panel secretary will ensure that declarations of interest by any sub-panel member are identified before meetings. Members will withdraw from the discussion of any submission in which they have declared a current or recent major interest.

### **UOA descriptor and boundaries**

3. The sub-panel recognises the rich diversity of research in music, and welcomes all outputs arising from this research, in whatever genre or medium, that can be demonstrated to meet the definition of research for the RAE at Annex 3, and that have entered the public domain during the publication period. The sub-panel is committed to applying criteria and working methods that reflect the unique character and full breadth of the discipline, and that facilitate the formation of a balanced range of judgements, without privileging any particular form of research output or type of research environment.

4. The UOA encompasses the history, theory, analysis, creation, performance and production of music, in any genre or medium, and the broadest understanding of the subject discipline and its relationship to current practices and cultures. The sub-panel will assess research from all areas of music, which include (but are not confined to):

- composition and creative practice
- performance

- musicology (including historical, critical, empirical, ethnographic, theoretical, analytical and organological approaches)
- scientific approaches to the study of music
- new technology and music
- musical acoustics and audio engineering (where the subject matter is music-related)
- appropriate pedagogic research in any of the areas identified above.

5. The sub-panel recognises that, in many cases, the fields of work described above may be interdisciplinary, and thus have no firm or rigidly definable boundaries. It has taken account of the Quality Assurance Agency's subject benchmarking statement for these fields, and regards the statement as a useful but not limiting guide to its remit. For these reasons, while many submissions will reflect the work of departments, the sub-panel will also assess submissions that do not map neatly onto departmental structures within HEIs, where they properly and informatively reflect the organisation and conduct of research within the institution.

### **Cross-referral and specialist advice**

6. Working within the framework established by the main panel (see paragraphs 10-12 of the main panel statement), the sub-panel will, on a case-by-case basis, determine how specialist advice should best be incorporated into its assessments. The sub-panel will consider all requests for cross-referral, in the context of RAE policy, and will normally take account of such requests. The sub-panel may itself cross-refer work to other sub-panels as appropriate.

### **Research staff**

7. The research outputs of Category A staff should be submitted in RA2, where they will be assessed. The work of Category C staff should also be submitted in RA2, accompanied by a description in RA5c that provides evidence of their research connection with the department (see paragraph 42 below). Where the sub-panel accepts this evidence, the contributions of Category C staff will be assessed on an equal

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footing with Category A staff. The contributions of staff in Categories B and D should be described in RA5a.

### Research output

8. The sub-panel will neither advantage nor disadvantage any type of research or form of output, whether it be physical or virtual, textual or non-textual, visual or sonic, static or dynamic, digital or analogue. Outputs may include, but are not limited to (in no particular order): books (authored or edited); chapters in books; journal articles; conference contributions; digital and broadcast media; performances; artefacts; recordings; software; music scores; films, videos and other types of media presentation; advisory reports; and the creation of archival or specialist collections to support the research infrastructure. In all cases the research outputs will be assessed against the indicators of excellence and degrees of quality described in Table 2 and paragraphs 15-23 of the main panel statement.

9. The sub-panel will assess all outputs against the absolute standards set out for quality levels (as described in paragraph 17 of the main panel statement) through the indicators of excellence described in Table 2 of the main panel statement.

10. The sub-panel would normally expect to see four outputs for each submitted researcher. Where there are valid reasons for the submission of fewer than four outputs, there will be no disadvantage. Valid reasons are set out in paragraphs 33-35 of the main panel statement. Where the sub-panel can identify no valid reasons for the 'missing' outputs, then their quality level will be set as Unclassified and incorporated as such into the quality profile.

11. The sub-panel recognises that there may be some highly exceptional cases – for example where a researcher has been engaged in a long-term research project – where the intellectual scale and scope of the research activity represented in one or more of the submitted outputs is considerably greater than the others. The sub-panel will note such highly exceptional cases during its assessment of outputs, taking account

of any relevant information provided in RA5b, and will use its expert judgement to decide whether to recognise such exceptional scale and scope within the outputs quality profile.

12. The sub-panel welcomes the submission of co-authored and collaborative research. It recognises that collaborative research within a department may result in the same output being listed against more than one researcher in the same submission. In such cases, the sub-panel recommends that the statement permitted in the 'Other relevant details' field in RA2 is used to clarify each author's contribution. However, the sub-panel encourages departments to present the widest possible range of research within their submission, in order to provide the sub-panel with a full understanding of the research environment's breadth and richness.

13. In undertaking its detailed examination of the research outputs, sub-panel members will draw upon the evidence made available to them in order to form expert judgements on the quality of the research submitted. 'Evidence' is taken to mean that which makes manifest the research content and imperatives of the submission. Researchers should accordingly submit such evidence as they deem necessary to enable sub-panel members to assess it within the following guidelines:

- a. **Research output:** this may be submitted alone where it is deemed to constitute sufficient evidence of the research in itself.
- b. **Statement:** it is *recommended* that a statement of up to 300 words is submitted in the 'Other relevant details' field of RA2, in cases where the research imperatives and the research significance of an output (such as: an artefact, curation, digital format, installation, performance or event, screening, tape, textbook, translation or video) might further be made evident by a descriptive complement. The statement might include: a brief description of the project and its stage of development; a rationale outlining questions addressed; a summary of approaches/strategies undertaken in the

work; a digest of further evidence (if any) to be found in sub-paragraph 13c below. As previously indicated, the 300-word statement should also be used to clarify the relative contributions of researchers working on a collaborative research project. The sub-panel will ignore any evaluative commentary on the perceived quality of the research.

- c. **Portfolio:** additional scholarly materials deemed to assist the sub-panel may be identified under the 'Other relevant details' field in RA2, and be made available on request in either digital and/or physical form. This may be of particular use to the sub-panel in cases where the research output is no longer available, or is one in a series of interconnected outputs. The portfolio might include complementary writings about the processes and outcomes of the work and/or other documentary materials (such as DVDs, tapes, photographs, sketchbooks, web-sites, interviews or programme notes). The material should be presented to best assist members in accessing the research and/or scholarly dimensions of the work.
14. To build a quality profile for research outputs the sub-panel will:
- assess outputs against the three indicators of excellence (significance, originality, and rigour), identifying each with a quality level (see paragraphs 15-22 of the main panel statement)
  - weight all outputs equally unless, exceptionally, an output has been judged to be of a considerably greater scale and scope
  - use the outputs examined in detail to compile a percentage profile that represents the quality of all outputs in each submission
  - take account of all the information provided in RA5b, as set out in paragraph 33-35 of the main panel statement
  - agree a quality profile in 5% bands so that it constitutes 70% of the overall quality profile.

## Research environment

15. In assessing the research environment the sub-panel recognises there are no absolute standards applicable to all submissions. It will take account of variables such as the numbers of research-active staff submitted, their relative career stages and their levels of experience, along with relevant information in RA5b.

16. Institutions should provide information in RA5a concerning both the research environment and indicators of esteem, working to the maximum word lengths stipulated in Annex 6. To assist the work of the sub-panel, institutions are requested to structure the research environment element of RA5a to demonstrate how the research environment meets the indicators of excellence given for it, ie, strategy, people, and structure. Examples of the kind of information that could be included under each heading are given below. The examples given are purely indicative and may not apply for all departments; institutions are not required to provide information under every example given.

## Strategy

### *The research strategy and its operation*

17. Examples may include, but are not limited to:
- the research strategy during the assessment period 2001 to 2007, identifying any key issues as described in a submission to the 2001 RAE, if applicable
  - an outline of the research strategy envisaged from 2007 onwards. This statement may also mention new and developing initiatives that are not yet producing immediate outcomes; or which may not yet be performing at a national or international level, but which are nevertheless of strategic importance to the submitting institution.

### *Sustainability of the research environment*

18. Examples may include, but are not limited to:
- evidence of long-term planning for promoting research and sustaining an active

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and vital research culture, including evidence of institutional commitment to the department/discipline

- mechanisms for developing the research culture, eg, publications, journals, newsletters, online reviews, and symposia.

### *Research grant applications and other forms of research income*

19. Examples may include, but are not limited to:

- procedures and support for research grant applications
- the diversity of sources of research income, including any research income not cited in RA4 (eg, Arts Council awards made directly to individual researchers)
- numbers of successful grant applications
- numbers of completed projects
- the leadership, supervision, dissemination, evaluation and successful delivery of funded research projects.

## People

### *Support and training for research staff*

20. Examples may include, but are not limited to:

- arrangements for developing and supporting staff in their research, including how this support sits with their non-research duties
- arrangements for developing the research of colleagues new to research and for integrating them into a wider supportive research culture
- recruitment or secondment of research staff to business or industry
- recruitment or secondment of research staff to museums or public bodies
- details of the contributions made by staff in Categories B and D during the census period, and/or details of how their departure has affected the strength, coherence and research culture of the department
- details of the role and contribution of staff recruited within a year of the census date.

### *Support and training for associates, fellows and research students*

21. Examples may include, but are not limited to:

- structures in place to support research associates, fellows and students and to help them complete their projects and theses
- funding support
- graduate research seminars
- schemes for training research supervisors and for quality assurance
- the integration of research associates, fellows and students within the research environment of the department.

### *Other research activities*

22. Examples may include, but are not limited to:

- the achievements of research staff during the assessment period
- research outcomes not already referred to in RA2 or elsewhere
- membership of Research Council panels or other peer review bodies
- research projects not completed within the publication period
- joint projects or publications with practitioners in business or industry
- joint projects or publications with museums and public bodies.

## Structure

### *The intellectual infrastructure*

23. Examples may include, but are not limited to:

- the department, and the researchers working within it
- distinctive research fields that characterise the research environment
- the scholarly infrastructure supporting research, eg, significant collections or archives (their development and use)
- means for promoting and sustaining the intellectual infrastructure

- joint research programmes or projects with industry or business practitioners
- associated fellowships or studentships with other universities, business, industry, museums or public bodies.

### *The wider context of the research infrastructure*

24. Examples may include, but are not limited to:

- information on the local, regional, national and international research contexts or communities within which the research takes place
- relationships with research users (including business, industry, museums and public bodies) or Knowledge Transfer Partnerships
- the creation of research centres, partnerships, affiliations, performances, exhibitions, conferences or symposia
- arrangements for supporting interdisciplinary or collaborative research.
- account taken of government policy, initiatives and objectives
- other UOAs to which related work has been submitted, and any difficulties of fit between the departmental structure and the UOA framework.

### *The operational infrastructure*

25. Examples may include, but are not limited to:

- quality assurance mechanisms and their use
- facilities for research staff and research students
- the supporting administrative and technical facilities
- advanced equipment or IT resources that support the research
- resources or facilities gained through collaboration with organisations external to the university.

### **Research students and research studentships**

26. Research student numbers and studentships will be assessed as part of the research environment. Externally-funded studentships awarded through rigorous competition, or by prestigious bodies including those from industry, will also be considered as esteem indicators. In undertaking its assessment, the sub-panel will take into account relevant standard analyses provided by the RAE team (as listed in Annex 7), including data on registrations and numbers of completions, and students per research-active staff.

### **Research income**

27. The assessment will be focused on outcomes rather than income, and will recognise that the levels of income required to assist research sustainability are relative to the scale and size of a department and the nature of the research. Research income will be assessed as part of the research environment. Grants awarded through rigorous competition, or by prestigious bodies including those from industry, will also be considered as esteem indicators. In undertaking its assessment, the sub-panel will take account of the total number of grants relative to the size of the department, along with the range and level of external income available to its researchers. Where relevant, the sub-panel will also take into account the standard analyses provided by the RAE team.

### **Formulating a quality profile for research environment**

28. In exercising its expert judgement to build a quality profile for the research environment, the sub-panel will:

- a. Identify each of the three indicators of excellence (strategy, people and structure) with a quality level (see Table 2 and paragraphs 15-23 of the main panel statement). In undertaking its assessment, the sub-panel will take account of all the information provided on the research environment in RA5a, as well as the data on



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student numbers and studentships in RA3a and RA3b, and the data on research income in RA4.

- b. Allocate each of the three quality levels with 25% of the quality profile.
- c. Allocate a further 25% to represent the sub-panel's overall assessment of the research environment, with the qualification that this could be moderated in either direction to take account of particular aspects of the environment, as described in the submission.
- d. The profile for the research environment will then constitute 20% of the overall quality profile.

**Esteem indicators**

29. In assessing esteem indicators the sub-panel recognises that there are no absolute standards applicable to all departments. It will take into account variables such as the numbers of research-active staff submitted, their relative career stages and their levels of experience, along with relevant information in RA5b.

30. To assist the work of the sub-panel, institutions are requested to structure the esteem element of RA5a to provide examples of esteem against the three indicators of excellence given for it: recognition, influence, and benefit. Institutions should look to provide a range of indicators representative of the department as a whole, and are not required to provide separate lists for each individual researcher under each category:

- a. **Recognition:** examples may include but are not restricted to: honours, prizes, visiting fellowships or appointments; commissions; performances at major festivals; residencies; invitations to deliver external lectures, lecture series, addresses to major conferences, or to chair major conference sessions; and consultancies with business, industry, and public bodies.
- b. **Influence:** examples may include but are not restricted to: membership of Research Council committees, university or industry

advisory panels, or national research strategy or review boards; service on competition juries; directorships or membership of programme committees for major festivals and other prestigious events; non-executive positions on the board of a collaborating company; leading positions in professional and subject associations; editorial positions; refereeing academic publications or research proposals; and consultancies.

- c. **Benefit:** examples may include but are not restricted to: the establishment of externally funded endowments for research fellows, students or projects, including business or industry sponsorship; access to, or receipt of, archives and other research resources; numbers of externally funded studentships or fellowships won for the department in open competition; major externally funded projects won in open competition; and other competitively won external research income.

**Formulating a quality profile for research esteem**

31. Esteem will be identified with a single quality level representing 10% of the overall quality profile. This will be determined by assessing its three indicators of excellence (recognition, influence and benefit), as described in Table 2 and paragraphs 15-23 of the main panel statement. In undertaking its assessment, the sub-panel will take account of all the information provided on esteem in RA5a, as well as the data on externally-funded studentships in RA3b.

**Applied and other types of research**

32. Definitions of differing types of research, which are recognised and supported by the sub-panel, are given in the statement for Main Panel O, paragraphs 24-29.

33. The sub-panel welcomes all types of research for assessment whether produced through writing, making, composing, or performing. Without privileging one type of research over any other, the sub-panel will judge how such research embodies new knowledge, or enhances understanding/appreciation, or enriches the

intellectual/creative infrastructure in which such research is conducted.

34. The sub-panel recognises that types of research described in the definition of research for the RAE (ie, scholarly research, basic research, strategic research, practice-based research and applied research) are suffused by the distinctive practices of research in music. It also recognises that these types of research may not always be discrete or separable in research in music, and further that they may often be integrated within a research project and its outputs.

35. The sub-panel recognises that, in music, a large proportion of submissions will contain a practice-based element. The outputs of practice-based research will be given exactly the same weight as all other outputs; the quality indicators of significance, originality and rigour will be applied appropriately in the sub-panel's assessment. A very wide range of outputs of practice-based research are expected and welcomed by the sub-panel, provided they meet the definition of research for the RAE. Examples of such outputs in music may include, but are not limited to: composition, performances of any repertoire or kind; improvisation; mixed media installation, web-sites; sound design; and exhibitions or other events.

36. Outputs of pedagogic research in higher education concerning music are welcomed by the sub-panel, where they meet the definition for such research as set out in paragraphs 59 and 60 of the generic statement and in Annex 3.

37. Outputs of scholarly research in music are also welcomed by the sub-panel and might include, but are not limited to: dictionaries or encyclopaedias, or entries in these; databases, catalogues or archives, or contributions to these; scholarly editions and translations.

### **Interdisciplinary research**

38. The sub-panel recognises that, since RAE2001, interdisciplinary research has continued to advance within the arts, humanities and social sciences, as well as with other disciplines beyond this domain. Research Council

support for interdisciplinary work between, for example, design and business or engineering, has been further accompanied by support for interdisciplinary initiatives between, for example, the creative arts and natural and physical sciences.

39. In this light, the sub-panel anticipates receiving interdisciplinary work to assess. It recognises that the descriptors of the research covered by other sub-panels are inherently interdisciplinary, often having no firm or rigidly definable boundaries.

40. It is expected that the assessment criteria of the sub-panel which receives the submission will be flexible enough to accommodate interdisciplinary work, and these criteria will be shared with other sub-panels to facilitate its assessment. Within Main Panel O, the working methods shared by sub-panels will further enable the configuration of assessment teams with the range of expertise appropriate to such research.

### **Individual staff circumstances**

41. Where, for valid reasons, the work of a researcher has been limited or circumstances have significantly affected the nature of their contribution to a submission, this will be taken into account in the assessment. Valid reasons are outlined in paragraph 39 of the generic statement and, for the sub-panels in Main Panel O, in paragraphs 33-35 of the main panel statement. In all such cases, institutions should use RA5b to describe the individual circumstances of staff.

42. For each member of Category C staff submitted, institutions are asked to provide evidence in RA5c of a close relationship with the submitting department, beyond that of passing engagement or token association. Evidence may include, for example, supervision of research students, co-authorship with established Category A staff, involvement in collaborative departmental research projects, departmental support for their research, or other contributions to the research environment. If the sub-panel is not satisfied with the evidence provided, the Category C staff concerned will be discounted from the assessment.

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**Working methods**

43. In order to exercise their expert judgements on research quality, the sub-panel will use the assessment criteria previously described. This will be done through a four-stage assessment process incorporating the following:

- a preliminary overview
- detailed assessment
- a final review
- an agreed profile for recommendation to the main panel.

**Preliminary overview**

44. In preparing the ground for a balanced and fair assessment, sub-panel members will each bring their expert knowledge to bear on a holistic preliminary overview of the information provided in RA0-RA5 of each submission. At this stage RA5 will help panel members both to assimilate the full context of the research submitted and help identify those outputs listed in RA2 to be examined in detail. The purpose of the preliminary overview will be to engage fully all members of the sub-panel in each submission. It will also help to prepare the agenda and arrangements for assessment, as well as ensuring equity and fairness in the process.

- a. Prior to the first assessment meeting all sub-panel members will have considered all submissions, and will come prepared to discuss the way in which the practical arrangements for assessment can best be configured.
- b. Prior to the first assessment meeting, the sub-panel chair and panel secretary will have provisionally identified the members to be primarily responsible for each submission (one will be appointed to lead and co-ordinate the assessment). These recommendations will be circulated before this first meeting, and confirmed or amended after the preliminary overview.
- c. In undertaking the overview, the sub-panel will identify issues for more detailed examination, any further specialist expertise

needed to undertake this examination (including, for example, other members of the sub-panel, members of other sub-panels, or independent experts not on any sub-panel), and decide how the workload will be distributed.

**Detailed assessment**

45. The assessment teams confirmed by the sub-panel (calling upon any additional expertise that has been agreed) will undertake a detailed examination of all components of the submission, along with a selection of the cited outputs, in order to explore the sub-panel's preliminary overview and to probe any issues it has raised. In examining the research submission and its outputs, sub-panel members will do so in sufficient detail so as to form reliable expert judgements on the quality of research.

46. In conducting its preliminary overview, the sub-panel will consider all of the information provided in RA2. Sub-panel members will use this information, together with their expert judgement, to select a proportion and range of outputs for detailed examination which they believe is representative of the quality of all outputs presented in a submission. The detailed examination of research outputs will be based entirely upon the members' direct engagement with those outputs cited in the submission, and related evidence where it has been identified (in accordance with paragraph 13). In particular:

- a. The research outputs to be examined in detail will include:
  - at least two outputs authored by each staff member submitted as Category A or C (or one output in cases where only one output has been submitted)
  - outputs that on initial scrutiny are deemed to be of the highest quality level
  - a selection made in light of issues identified in the preliminary overview
  - a further selection taken to assist the sub-panel's full understanding of the research environment as described in RA5.

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- b. The selection and proportion of research outputs to be examined in detail will be as needed to establish a reliable quality profile for all research outputs listed in a submission. This will never be less than 50% of the outputs listed in each research submission and will be substantially more than this (up to 100%) if required to establish a robust and reliable quality profile for all of the outputs listed in a submission. Generally, across the unit of assessment, the sub-panel anticipates that it will wish to examine virtually all outputs in detail. The sub-panel will ensure breadth and consistency of judgement through the practice of outputs being examined by at least two members and, in some cases, through additional expertise.
- c. The members will present the sub-panel with their recommendations for quality profiles in each component of the submission, along with supporting reasons. Then, with full information before it, the sub-panel will apply its collective judgement and expertise to forming an overall quality profile for recommendation.
- d. The sub-panel will seek to achieve consensus on the recommended profiles through debate. It will then either:
- pass a recommended profile on to the main panel for confirmation
  - ask the main panel to advise on ways of achieving consensus if the sub-panel is unable to agree
  - request its members, or members of another sub-panel, to review some aspect of a submission before a recommendation can be made.

**Final review**

47. The sub-panel will scrutinise all the work undertaken by its members, considering their comparative judgements and recommendations, in order to reach a consensus on the quality profiles. In particular:

- a. The sub-panel will receive and review summary data concerning the members' detailed examination that will include, for example: the percentage of outputs examined in detail; the relative proportions of Category A and C staff in a submission; the contributions of early career researchers; and instances where valid reasons have been given for the submission of fewer than four outputs.
- b. The sub-panel will be informed of any aspect of the assessment where the members have:
- been unable to agree any part of that assessment
  - been required to undertake an examination of specific issues
  - identified further issues in the course of the assessment
  - worked with members of other sub-panels, or independent advisers, on the assessment of outputs.

**Agreed profile**

48. In seeking to confirm the sub-panel's recommended profiles, the main panel will automatically review any submissions where:

- a. The chair and deputy chair have declared an interest in a single submission.
- b. The sub-panel has been unable to achieve consensus (see paragraph 9 of the Main Panel O statement).

49. Otherwise the main panel will:

- a. Review the summary data resulting from the sub-panel's assessment of each submission.
- b. Consider the quality profiles recommended for each component of the submission along with the overall quality profile.
- c. Seek advice from research users and international experts who are members of the main panel.
- d. Either confirm the recommendation, or exceptionally, request the sub-panel to review specific issues that have arisen from the data provided.



## Annex 1

### 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:				
		4*	3*	2*	1*	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**

4*	Quality that is world-leading in terms of originality, significance and rigour.
3*	Quality that is internationally excellent in terms of originality, significance and rigour but which nonetheless falls short of the highest standards of excellence.
2*	Quality that is recognised internationally in terms of originality, significance and rigour.
1*	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.

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.

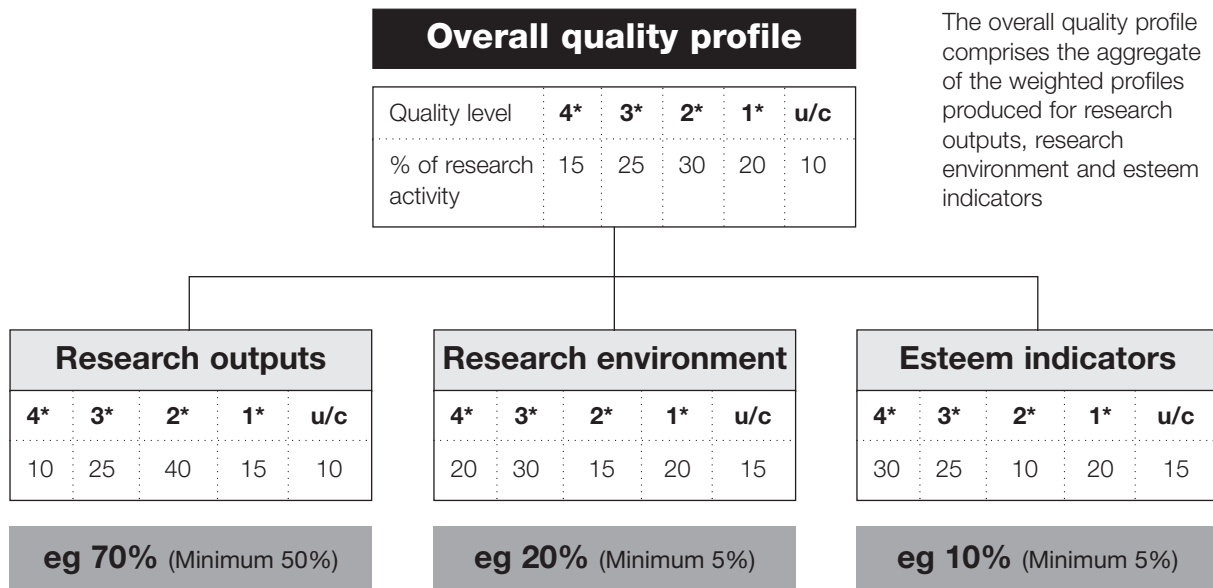
3. ‘World leading’, ‘internationally’ and ‘nationally’ in this context refer to quality standards. They do not refer to the nature or

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 1\* threshold will be 100% Unclassified. A submission that contains no research (that is, no work that meets the definition of research for the RAE) will not be awarded a quality profile.



Figure 1 **Building a quality profile**



The percentage weightings for the three elements are illustrative. Panels should allocate these weightings. 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 12-15 below.

## Building a quality profile

5. Panels are required to consider all the components of the submission when reaching an overall quality profile (see Figure 1). 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), and the supporting statement on research environment and esteem indicators (RA5a).

6. These different components will be assessed under three over-arching elements: research outputs, research environment, and esteem indicators. Research outputs (RA2) will always be assessed as one of these three elements.

7. Main panels have decided 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 the 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 explain in their statements of criteria and working methods their reasoning for assigning components of the submission to a particular element.

8. Main panels have allocated a percentage weighting to each of three elements – research outputs, research environment and esteem indicators – which indicates 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% of the overall quality profile: some main panels have decided that research outputs should be weighted more highly. Main panels had to allocate a significant weighting to each of the other aspects (environment and esteem) as they saw fit, but since the quality profile will be defined in multiples of 5%, the minimum weighting in either case will be 5%. Main panels have defined their reasoning in their criteria statements.

9. 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.

10. 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 12-15 of this annex to round the overall quality profile. Overall quality profiles will be published in steps of 5%.

11. 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

12. All sub-panels will adopt a cumulative rounding methodology to ensure that the overall quality profile for any submission will always round to 100%, 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

13. 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

14. 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 %, (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

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

## Annex 2

### 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 3

### 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 4

### Declarations of interest

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#### Major interests

All panel chairs, members, secretaries, observers and specialist advisers are bound by the following arrangements for avoiding conflicts of interest.

1. All main panel chairs and members, sub-panel chairs and members, panel secretaries and assistant secretaries, observers and specialist advisers (hereafter collectively called panel members) are asked to make a declaration of their interests. For the purpose of the RAE, interests are defined as:
  - a. The institution(s) at which the individual is employed.
  - b. Any institution at which the individual has been employed since January 2001.
  - c. Any institution(s) at which the individual has been engaged in substantial teaching or research since the start of the assessment period (1 January 2001); this might include institutions at which the individual has the status of visiting lecturer/fellow/professor or similar.
  - d. Any institution(s) at which the individual's partner and/or immediate family member is employed.

#### Panel procedures

2. A complete list of the declared interests of panel members and others involved in the assessment will be prepared by the RAE team and made available, in confidence, to panels when they start their work.
3. Individuals will be asked to update the RAE team regularly on any additional interests. Complete lists of declared interests will be updated and circulated accordingly on an *ad hoc* basis.
4. As a matter of principle, individuals will withdraw from panel meetings when submissions are discussed from the HEIs in which they declare to have an interest. Each main and sub-panel will publish in its criteria statement its protocol for dealing with declared interests, in line with this principle.

#### Requests for information

5. Panel members are likely to receive numerous invitations to discuss issues concerned with RAE 2008. Although the RAE team seeks improved clarity and transparency during this exercise through the dissemination of information, we do not wish panel members to compromise their position by entering into discussions which could be perceived to give a particular individual or institution an unfair advantage.
6. It is therefore strongly recommended that panel members should not discuss issues concerning individual departmental or institutional submissions. However, they may accept invitations to talk at meetings where a number of different institutions are represented, for example those arranged by a professional body or subject association.
7. If any member has concerns over a potential conflict of interests or the propriety of a proposed action s/he should discuss it with the RAE manager.
8. Panel members are not expected to suspend normal relations with their colleagues and peers during the exercise. They should not feel in any way obliged, for example, to withdraw from external examining, or participation in appointment committees. They are, however, asked to exercise caution in dealings with individual departments, or with subject associations or similar bodies, where there is an actual or clearly inferrable connection with their panel membership.

#### Minor interests

9. The RAE team has also invited main and sub-panels to consider operating a policy whereby panel members declare minor interests on an *ad hoc* basis, so that they can be minuted in panel meetings and handled on a case by case basis. The following were offered as examples of minor interests and possible methods of dealing with them. They are illustrative and do not constitute an exhaustive or prescriptive list:
  - a. Panel member supervises or co-supervises one or more doctoral students from a submitting



- 
- institution. Panel member declares this for the panel to note.
- b. Panel member supervised a doctoral student who went on to become a research active staff member within a submission made to the panel. Panel member declares this and does not take lead/sole responsibility for assessing the published output linked to that individual.
  - c. Panel member was supervised as a doctoral student by a research active staff member within a submission made to the panel. Panel member declares this and does not take lead/sole responsibility for assessing the published output linked to that individual.
  - d. Panel member is co-investigator or co-holder of a grant with the submitting institution. Panel member declares this and does not take lead/sole responsibility for assessing the published output linked to that individual.
  - e. Panel member is on the editorial board of a journal series published by a submitting department or unit, or has co-organised a conference or conference series with a submitting department. Panel member declares this and does not take lead responsibility for assessing the research environment and esteem indicators element of that submission.
  - f. Panel member has acted during the assessment period as a member of an appointment or promotions committee for a submitting department or unit, or has provided references for staff members returned in the submission. Panel member declares this for the panel to note.
  - g. Panel member acts as an external examiner for research degrees for a submitting department or unit. Panel member declares this and does not take lead/sole responsibility for assessing the research environment and esteem indicators element of that submission
  - h. Panel member studied at a submitting department or unit before the assessment period. Panel member declares this and does not take lead/sole responsibility for assessing the research environment and esteem indicators element of that submission.
  - i. A member of the panel member's wider family studies or works at a submitting department or unit. Panel member declares this for the panel to note.
10. Panels might wish to invite a panel member who declares a number of minor interests in one institution to treat that institution as a major interest.

## Annex 5

### Confidentiality arrangements

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All panel chairs, members, secretaries, observers and specialist advisers are bound by the confidentiality arrangements described in the following letter.

#### **CONFIDENTIAL**

Dear

#### **Research Assessment Exercise 2008: Confidentiality arrangements**

##### *Purpose*

1. This letter sets out arrangements for ensuring that all information contained in RAE submissions made by institutions for the 2008 RAE is maintained and treated confidentially by panels<sup>1</sup>. As for the 2001 RAE, apart from personal data and details of confidential outputs, information from submissions will be published on the internet following completion of the assessment: we expect to publish this early in 2009. The arrangements described below provide for maintaining the confidentiality of all submission information unless or until such time as it becomes freely available in the public domain.
2. The letter also deals specifically with the treatment by panels of any confidential research outputs that may be cited in submissions. Research outputs in the 2008 RAE are defined as publicly available, assessable outputs of research in whatever form. However, institutions may submit for assessment confidential outputs provided they mark them as 'confidential' in submissions and make them available to panels.
3. The letter also describes arrangements for ensuring the confidentiality of panels' discussions about submissions, or other information deduced from or generated as a result of submissions.
4. We have two objectives in placing confidentiality obligations on panel members. Firstly, subject only to any legal obligations on HEFCE to disclose further, we wish to ensure that the starred quality profile awarded to each submission and the brief feedback given in confidence to heads of institutions by the panel via the RAE team stand as the only public

comment from panels and their constituent members on any individual submission. Secondly, we aim to discourage parties who are not involved in the assessment process from approaching or placing pressure on panel members to disclose information about the panel's discussion of particular submissions. In other words, maintenance of confidentiality is essential if panel members are not to be inhibited from expressing their opinions freely in panel discussions, and therefore essential to the effective operation of the RAE as a peer review. In legal terms, a breach of confidentiality by a panel member may, in certain circumstances, constitute a breach of data protection legislation and/or a breach of a common law duty of confidentiality, may give rise to financial losses, or may infringe or impact upon intellectual property rights in research outputs.

5. The obligations set out below will subsist indefinitely.

#### **Obligations on panel members**

##### *Information contained in RAE submissions*

6. The higher education funding bodies, through the RAE team, collect a range of information from institutions in RAE submissions for the purpose of assessing the quality of research. In recognition of this purpose, you shall use any information which you receive in RAE submissions from institutions only for the purposes of carrying out your functions as a panel member.
7. You shall not make copies of such information except as is necessary to carry out your function as a panel member. You shall destroy, or return to the RAE manager, originals and any copies you may make of such information, as soon as they are no longer needed for that function or on the request of the RAE manager, whichever may be sooner. This provision applies equally to paper copies or those stored in electronic or other non-paper formats.
8. You shall not disclose the information received to any other person except your fellow panel members and panel observers and secretaries. You

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<sup>1</sup> In this context, 'panels' refers both to main and sub-panels. The same arrangements for ensuring confidentiality will apply, so far as they are relevant, to chairs, members, observers and secretaries of main and sub-panels and to specialist advisers.

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shall take all reasonable steps to ensure that other people cannot have access to the information, whether held in paper or electronic copy. In particular, it is important to remember that computer systems and specifically e-mail are not necessarily secure, and you agree to exercise appropriate caution when using them. Full guidance on the storage and transmission of RAE information will be included in the guidance to panels which will be provided to panel members and made publicly available in January 2005.

### ***Confidential research outputs***

9. Confidential research outputs will be indicated as such in submissions and will clearly be marked 'confidential'. You shall treat as confidential all such information, including the research outputs themselves and details of their sponsors or commissioning organisations. Even if you personally consider that the designation 'confidential' may be wrong, you agree to accept any designation of confidentiality which an institution has placed upon part or all of its submission. If you feel in a particular case that this inhibits you from carrying out your function as a panel member, you should raise the issue with the RAE manager who will be able to provide or seek advice.

10. An institution's submission may contain material which is patented or patentable, which is subject to other intellectual property rights, which is commercially sensitive, or which the interests of the institution and/or its researchers require to be kept confidential or given a restricted circulation. Institutions make submissions to the RAE on the understanding that their position in these regards will not be prejudiced by the fact of submission. You shall respect and honour that understanding and act accordingly. You are in particular reminded of the danger of 'prior disclosure' in the case of potentially patentable material, and the paramount need therefore to respect the confidentiality of such material.

### ***Discussion about submissions and information deduced from submissions***

11. You agree that you shall restrict your discussion of submissions and of research groups

described within submissions to panel meetings and to related dialogue between yourself, the RAE team, panel secretary and assistant secretary and members of the main and sub-panels with which you work. You shall not discuss with anyone who is not involved in the assessment process, as described above, either the submission or the assessment of an identifiable institution or group of institutions whose individual members could be identified, still less the work of individual researchers named in submissions, even if ostensibly anonymised. You may, of course, comment on the process and conduct of the 2008 RAE in general terms. If you are at all unsure as to what is covered by 'in general terms' you should seek advice from the RAE manager.

12. Nothing in this agreement prevents you from disclosing information after it becomes freely available in the public domain (without the breach of any obligation of confidentiality), or which you are required by law to disclose, or which was already known to you and not subject to confidentiality obligations before being disclosed to you in the context of the RAE. It would be prudent, however, to contact the RAE manager in advance to discuss any possible disclosure. Some information provided to or generated by RAE panels may be disclosable under the Freedom of Information Act 2000. However, if you receive any request for information which falls or may fall under that Act you must pass it to the RAE manager for consideration and action, and you should not respond to such requests yourself. If you are in any doubt with regard to any issue of confidentiality, either in general terms or in relation to a particular piece of information, you should seek advice from the RAE manager or, following completion of the RAE, the Director (Research and Knowledge Transfer) at HEFCE.

13. Acceptance of these confidentiality obligations is a condition of your appointment as a panel member. The four higher education funding bodies reserve the right to amend the membership of RAE panels in the event of any breach of the confidentiality obligations on panel chairs and members.

## Annex 6

### Word limits for RA5a, RA5b and RA5c and RA2 'Other relevant details' field

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#### RA5a

The maximum word count for the textual commentary section (RA5a) will vary based on the number of Category A FTE staff in the submission as follows:

FTE Category A staff	Word limit
1-5	3,600
6-10	4,200
11-15	4,800
16-20	5,400
21-30	6,600
31-40	7,800
41-50	9,000
51-60	9,800
61-75	11,000
76-90	12,000
Over 90	12,750

Note that these word counts equate to at least the page limits per FTE used in the 2001 RAE for RA5 and RA6 combined.

#### RA5b and RA5c

For all UOAs, RA5b (individual staff circumstances) and RA5c (information concerning Category C staff) will be a maximum of 300 words per researcher.

Institutions should refer to the generic statement and to each sub-panel's statement of criteria and working methods for further advice about the information to be returned in each case.

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## RA2 ‘Other relevant details’ field

Each sub-panel has set a maximum word limit for the ‘Other relevant details’ field in RA2.

Please refer to the appropriate sub-panel statement for details of the information required in this field.

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Sub-panel	UOA	Word limit
1	Cardiovascular Medicine	50
2	Cancer Studies	50
3	Infection and Immunology	50
4	Other Hospital Based Clinical Subjects	50
5	Other Laboratory Based Clinical Subjects	50
6	Epidemiology and Public Health	50
7	Health Services Research	50
8	Primary Care and Other Community Based Clinical Subjects	50
9	Psychiatry, Neuroscience and Clinical Psychology	50
10	Dentistry	50
11	Nursing and Midwifery	50
12	Allied Health Professions and Studies	50
13	Pharmacy	50
14	Biological Sciences	50
15	Pre-clinical and Human Biological Sciences	50
16	Agriculture, Veterinary and Food Science	50
17	Earth Systems and Environmental Sciences	50
18	Chemistry	50
19	Physics	50
20	Pure Mathematics	300
21	Applied Mathematics	300
22	Statistics and Operational Research	300
23	Computer Science and Informatics	300
24	Electrical and Electronic Engineering	100
25	General Engineering and Mineral & Mining Engineering	100
26	Chemical Engineering	100
27	Civil Engineering	100
28	Mechanical, Aeronautical and Manufacturing Engineering	100
29	Metallurgy and Materials	100
30	Architecture and the Built Environment	300
31	Town and Country Planning	50

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<b>Sub-panel</b>	<b>UOA</b>	<b>Word limit</b>
32	Geography and Environmental Studies	50
33	Archaeology	50
34	Economics and Econometrics	50
35	Accounting and Finance	50
36	Business and Management Studies	50
37	Library and Information Management	50
38	Law	50
39	Politics and International Studies	100
40	Social Work and Social Policy & Administration	100
41	Sociology	100
42	Anthropology	100
43	Development Studies	200
44	Psychology	100
45	Education	150
46	Sports-Related Studies	100
47	American Studies and Anglophone Area Studies	300
48	Middle Eastern and African Studies	300
49	Asian Studies	300
50	European Studies	300
51	Russian, Slavonic and East European Languages	300
52	French	300
53	German, Dutch and Scandinavian Languages	300
54	Italian	300
55	Iberian and Latin American Languages	300
56	Celtic Studies	300
57	English Language and Literature	200
58	Linguistics	300
59	Classics, Ancient History, Byzantine and Modern Greek Studies	300
60	Philosophy	300
61	Theology, Divinity and Religious Studies	300
62	History	300
63	Art and Design	300
64	History of Art, Architecture and Design	300
65	Drama, Dance and Performing Arts	300
66	Communication, Cultural and Media Studies	300
67	Music	300



## Annex 7

### Standard data analyses for all sub-panels

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The following data analyses will be available to sub-panels for each submission (and a total for each UOA).

1. Headcount number of research-active staff, by category.
2. Full-time equivalent (FTE) number of research-active staff in Category A.
3. Headcount number of research-active staff in Categories A and C together.
4. Headcount number of research-active staff in Categories A, B, C and D together.
5. Headcount number of research-active staff in Categories A and C together, with each of 0, 1, 2, 3, and 4 outputs submitted for assessment (five separate totals).
6. Headcount number of research fellows.
7. FTE number of research fellows.
8. Total number of outputs submitted for assessment.
9. FTE research assistants (from RA1).
10. FTE research assistants (from RA1) per FTE research-active staff.
11. FTE research students (from RA1).
12. FTE research students (from RA1) per FTE research-active staff.
13. FTE research students (from RA3a).
14. FTE research students (from RA3a) per FTE research-active staff.
15. Median FTE number of research students (from RA3a) per FTE research-active staff.
16. Number of doctoral degrees awarded, by year.
17. Number of doctoral degrees awarded, by year, per FTE research-active staff.
18. Number of doctoral degrees awarded, by year, per FTE research student (student numbers taken from RA3a).
19. Number of masters degrees awarded, by year.
20. Number of masters degrees awarded, by year, per FTE research-active staff.
21. Number of new studentships (total across all years), by sponsor.
22. Number of new studentships (total across all years) per FTE research-active staff, by sponsor.
23. Number of new studentships (total across all years) per FTE research student (student numbers taken from RA3a), by sponsor.
24. Median number of new studentships (total across all years) per FTE research-active staff (total across all sponsors).
25. Research income (total across all years), by source.
26. Research income (total across all years) per FTE research-active staff, by source.
27. Median value of research income (total across all years) per FTE research-active staff (total across all sources).

There will be two separate sheets of figures: one in which figures per research-active staff will use FTE Category A staff numbers; and another in which figures per research-active staff will use headcount Category A plus Category C staff numbers.

These analyses are in addition to the standard listing of data and information presented to panels in RA1 to RA5.

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