

# Annex A

## Summary of additional information about outputs

1. This annex provides a summary table of all the additional information about outputs that are required in submissions (in form REF2). It should be read alongside, and does not replace, the guidance provided in ‘guidance on submissions’ and in the relevant parts of the panel criteria statements, as indicated in ‘Summary of additional information required about outputs’. It is intended for institutions’

ease of reference in identifying the requirements for additional types of information about outputs, across the four main panels.

2. The word limits for the additional information about outputs are common across the four main panels, as set out in on page 99.

### Summary of additional information required about outputs

	Main Panel A	Main Panel B	Main Panel C	Main Panel D
<b>a. Request to double-weight an output</b> (‘guidance on submissions’ paragraphs 123-126)				
Panel requirements:	All main panels: A supporting statement to justify the request			
Reference:	Part 2A, paragraphs 44-48	Part 2B, paragraphs 46-51	Part 2C, paragraphs 50-56	Part 2D, paragraphs 63-70
<b>b. Information about the research process and/or content</b> (‘guidance on submissions’ paragraph 127a)				
Panel requirements:	Statement where this is not evident within the output (for non-text or practice-based outputs)	Statement where this is not evident within the output (for non-text or practice-based outputs)  Identification of the original research or new insights reported (for reviews)	Statement where this is not evident from the output itself (for any type of output)	Statement for any output where the research imperatives and process might further be made evident  Statement where the location or medium of the output is essential for a proper understanding of the research  Contribution of the individual to an anthology, edited book or curatorial project (maximum 100 words)  Rationale for grouping short items as a single output (maximum 100 words)
Reference:	Part 2A, paragraph 49	Part 2B, paragraphs 52-53	Part 2C, paragraph 60	Part 2D, paragraphs 50, 51, 71 and 75

## Summary of additional information required about outputs continued

	Main Panel A	Main Panel B	Main Panel C	Main Panel D
<b>c. Factual information about the significance of the output</b> ('guidance on submissions' paragraph 127b)				
Panel requirements:	None	In UOAs 11, 12, 13, 14 and 15: Factual statement wherever available  None in UOAs 7, 8, 9 and 10.	Factual statement about prizes or similar recognition	None
Reference:	n/a	Part 2B, paragraphs 54-57	Part 2C, paragraphs 61-62	n/a
<b>d. Outputs that include significant material published prior to 1 January 2008</b> (Part 1 paragraph 44)				
Panel requirements:	All main panels: Statement on how far the earlier work was revised to incorporate new material			
Reference:	Part 2A, paragraphs 30-31	Part 2B, paragraphs 35-36	Part 2C, paragraphs 40-41	Part 2D, paragraphs 54-55
<b>e. The researcher's contribution to a co-authored or co-produced output – where the output is listed once within the submission</b> ('guidance on submissions' paragraph 120-122 and 127d; Part 1 paragraph 45)				
Panel requirements:	Affirmation of the author's contribution to the output (selected from the statements provided) <b>only where</b> the author is not the lead or corresponding author <b>and</b> the output has six or more co-authors	In UOA9 only: Statement about the author's contribution <b>only where</b> there are more than 10 authors  None in UOAs 7, 8 and 10-15	None	None
Reference:	Part 2A, paragraphs 34-37	Part 2B, paragraphs 37-39 and 45	n/a	n/a
<b>f. The researcher's contribution to a co-authored or co-produced output – where the output is listed twice within the submission</b> ('guidance on submissions' paragraph 120-122 and 127d; Part 1 paragraph 46)				
Panel requirements:	All main panels: Statement on the contribution of each of the authors within the submission, against whom the output is listed			
Reference:	Part 2A, paragraphs 41-43	Part 2B, paragraphs 40-44	Part 2C, paragraphs 46-49	Part 2D, paragraphs 60-62
<b>g. Abstract for outputs in languages other than English</b> ('guidance on submissions' paragraphs 128-130)				
	All main panels: For all outputs in languages other than English, a short abstract to describe the nature and content of the work. (This requirement is waived for outputs submitted in UOA 28 in a language within that sub-panel's remit – see Part 2D, paragraph 72)			

## Word limits for additional information about outputs

Type of information	Word limit
a. Request to double-weight an output	Maximum 100 words
b. Information about the research process and/or content	Maximum 300 words
c. Factual information about the significance of the output	Maximum of 100 words for each of c-f Information of types b-f will be provided in the same text box on the REF submission system. If information is required about b in addition to any of c-f for an output, the maximum word limit is 300.
d. Outputs that include significant material published prior to 1 January 2008	
e. and f. The researcher's contribution to a co-authored or co-produced output	
g. Abstract for outputs in languages other than English	Maximum 100 words

# Annex B

## Impact template (REF3a)

1. This annex provides the template for REF3a. The template for use in preparing submissions will be provided in Word, along with templates for REF3b and REF5, on the REF submission system.
2. Guidance on completing the template is available in Part 3, Section 3 of 'guidance on submissions', and in Section 3 of each of the main panel criteria statements

(Part 2 of this document). Each of the main panel criteria statements set out the information requested under each heading (a-d) of the impact template.

3. Each completed template must be submitted according to the guidance on formatting and page limits set out at Annex F of 'guidance on submissions'.

### Impact template (REF3a)

Institution:
Unit of assessment:
a. Context
b. Approach to impact
c. Strategy and plans
d. Relationship to case studies

# Annex C

## Environment template (REF5)

1. This annex provides the template for REF5. The template for use in preparing submissions will be provided in Word, along with templates for REF3a and REF3b, on the REF submission system.
2. Guidance on completing the template is available in Part 3, Section 5 of 'guidance on submissions', and in Section 4 of each of the main panel criteria statements

- (Part 2 of this document). Each of the main panel criteria statements set out the information requested under each heading (a-e) of the environment template.
3. Each completed template must be submitted according to the guidance on formatting and page limits set out at Annex F of 'guidance on submissions'.

### Environment template (REF5)

Institution:
Unit of assessment:
a. Overview
b. Research strategy
c. People, including: <ol style="list-style-type: none"> <li>i. Staffing strategy and staff development</li> <li>ii. Research students</li> </ol>
d. Income, infrastructure and facilities
e. Collaboration and contribution to the discipline or research base

# Annex D

## Managing conflicts of interest

1. The primary purpose of the 2014 REF is to produce overall quality profiles for each submission made by institutions, which will be used by the UK higher education funding bodies in determining the main grant for research to the institutions which they fund. The REF is governed by the principles of equity, equality and transparency. To ensure these principles are adhered to, we set out below arrangements for recording declarations of interest and avoiding potential conflicts of interest.
2. It is the responsibility of all main panel chairs and members, sub-panel chairs and members, panel advisers and panel secretaries, observers and assessors (hereafter collectively referred to as 'panel members') to declare any interests in accordance with this policy. The procedure to be followed depends on whether an interest is a major interest or a minor interest. If a panel member is unsure whether they have an interest that should be declared, they should seek advice from the panel secretariat.

### Declarations of major interest

3. All panel members are asked to make a declaration of their major interests through the REF panel members' web-site. For the purpose of REF, major interests are defined as:
  - a. Any UK higher education institution(s) at which the individual is employed.
  - b. Any UK higher education institution(s) at which the individual has been employed since January 2008.
  - c. Any UK higher education institution(s) at which the individual has been engaged in substantial collaboration since the start of the assessment period (1 January 2008). This might include organisations at which the individual has visiting lecturer/fellow/professor or similar status, or has worked on a commercial contract or consultancy basis (except where these constitute minor interests listed at paragraph 11 below).
  - d. Any UK higher education institution(s) at which the individual's partner and/or immediate family member is employed or is engaged in substantial collaboration.
  - e. Any financial or commercial interest in a UK higher education institution(s).

- f. Any minor interest(s) ruled by a panel chair to be treated as a major interest.

### Panel procedures for major interests

4. A complete list of the declared major interests of panel members will be prepared by the REF team and made available to panels when they start their work.
5. Panel members will be asked to update the REF team regularly on any additional interests, through the REF panel members' web-site. Complete lists of declared interests will be updated and circulated accordingly on an ad hoc basis.
6. Panel members may not take part in the assessment of submissions from institutions in which they have declared a major interest. Panel members must ensure their declarations of major interests are up to date in advance of any meeting at which any institution(s) in which they have a major interest is to be discussed. Panel members must withdraw from that part of the meeting at which the institution in which they have a major interest is to be discussed. Withdrawals due to major interests shall be minuted.

### Requests for information

7. Panel members are likely to receive numerous invitations to discuss issues concerned with REF 2014. Although the REF 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.
8. Therefore panel members should not discuss issues concerning individual departmental or institutional submissions that in any way break the confidentiality agreements they have entered into in order to work on the REF. 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 to discuss the REF process in general terms. If any member has concerns over a potential conflict of interests or the propriety of a proposed action they should discuss it with the REF manager. 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 inferable connection with their panel membership.

## Declarations of minor interests

9. Any interest that could lead a reasonable observer to doubt the impartiality of a panel member's assessment of work that has been allocated to them, that is not a major interest, must be declared by that panel member as a minor interest. Minor interests should be declared on an ad hoc basis to the chair of the relevant main panel or sub-panel. Declarations of minor interests shall be minuted.

10. In each case it shall be for the chair to decide what effect the existence of a minor interest shall have on a panel member's participation in the assessment. Depending on the nature of the minor interest, the sub-panel chair may decide:

- That the minor interest should be noted by the sub-panel, but that it should not affect the panel member's participation in assessing the submission.
- That the panel member should not take sole or lead responsibility for assessing the particular aspect of the submission affected by the minor interest, but may otherwise be involved in assessing the submission.
- That the panel member should take no part in assessing the particular aspect of the submission affected by the minor interest, but may otherwise be involved in assessing the submission.
- That the minor interest – or a group of minor interests relating to an institution – held by a panel member shall be treated as a major interest, and the panel member should play no role in assessing the submission.

These decisions shall also be minuted.

11. Minor interests could include, for example:

- A panel member supervises or co-supervises one or more doctoral students from the submitting institution, or who went on to become an academic staff member within the submitting institution.
- A panel member was supervised as a doctoral student by a staff member who is returned within the submission.
- A panel member is co-investigator or co-holder of a grant with the submitting institution.

- A panel member, or their partner or immediate family member, is employed by a 'user' organisation that is the focus of an impact case study.
- A panel member is on the editorial board of a journal series published by the submitting department or unit, or has co-organised a conference or conference series with the submitting department.
- A panel member has acted during the assessment period as a member of an appointment or promotions committee for the submitting institution.
- Prior to their appointment to the REF panel but during the assessment period, a panel member has acted as an external advisor to the submitting institution on their research or REF strategy.
- A panel member acts as an external examiner for research degrees for a submitting department or unit.

# Annex E

## Confidentiality and data security arrangements for REF panels

### Introduction

1. This document sets out arrangements for the 2014 Research Excellence Framework (REF) panels to maintain the confidentiality and security of information they generate and have access to throughout the REF process (referred to throughout this annex as 'confidential information'). All REF main and sub-panel chairs, members, assessors, secretaries, advisers and observers are bound by the terms set out below. For the purpose of this annex and Annex D, we refer to these people as 'panel members'.
2. This annex deals only with the relationship between the four UK higher education funding bodies on the one hand and panel members on the other. It does not give rise to any rights or obligations to or from higher education institutions participating in the REF.

### Purpose

3. The objectives of the confidentiality arrangements are:
  - a. Subject only to any legal obligations on the UK higher education funding bodies to disclose further information, in order to properly manage the REF we wish to ensure that the only public comment from REF panels and their constituent members on individual submissions is limited to:
    - the overall assessment outcomes awarded to each submission (comprising the overall quality profile and the three sub-profiles for outputs, impact and environment); and
    - the concise written feedback on submissions provided in confidence to heads of institutions.
  - b. Subject to any overriding legal obligation, we wish to avoid any situation in which parties not involved in the assessment process approach or place 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, which is essential to the effective operation of the REF as an expert review exercise.
  - c. Given the nature of the information that panel members will have access to, the confidentiality

arrangements also set out measures to prevent acts by a panel member which might, in certain circumstances, lead to a claim being made against them or the UK higher education funding bodies for: breach of data protection legislation; breach of a common law duty of confidentiality; defamation; infringement of intellectual property rights in research outputs; or otherwise give rise to financial or reputational losses for which a legal claim is made.

### Panel members' obligations

#### General obligations

4. Acceptance of the obligations owed to each of the four UK higher education funding bodies set out in this annex is a condition of appointment as a panel member. By accepting the appointment, panel members agree to these terms. The chief executives of the four UK higher education funding bodies reserve the right to terminate appointments in the event of any breach of these terms.
5. Panel members shall only use confidential information for the purposes of the REF. Confidential information must be handled in accordance with reasonable instructions given by the REF team. In particular, the REF team may require the deletion of any confidential information or all copies of confidential information, or to take such additional reasonable steps to preserve the security of the confidential information as the REF team may determine. Panel members must promptly comply with any such instructions.
6. Confidential information shall not be disclosed to any other person except panel members and the REF team. All reasonable steps shall be taken to ensure that other people cannot have access to the information, whether held in paper or electronic copy. In particular:
  - a. It is important to remember that computer systems, and specifically e-mail, are not necessarily secure, and panel members shall agree to exercise appropriate caution when using them.
  - b. Information will be made available to members via the REF panel members' web-site. This is a secure, password-protected web-site and passwords must not be divulged to any other person.



7. Nothing in this agreement prevents panel members from disclosing information after it becomes freely available in the public domain (without the breach of any obligation of confidentiality), or that which they are required by law to disclose, or that which was already known and not subject to confidentiality obligations before being disclosed in the context of the REF. It would be prudent, however, to contact the REF manager in advance to discuss any such disclosure.

8. Some confidential information may have to be disclosed by the UK higher education funding bodies under the Freedom of Information Act 2000 or other legislation. If any requests for information are received, these must be passed to the REF manager immediately for consideration and action, and should not be responded to by panel members.

9. If there is any doubt with regard to any issue of confidentiality, either in general terms or in relation to a particular piece of information, panel members should seek advice from the REF manager.

10. The obligations set out in this annex will subsist indefinitely.

### **Specific obligations during the criteria-setting phase (2011)**

11. During the course of the criteria-setting phase, REF panels will be provided with a range of information, such as draft guidance documents, and sample citation data or sample 'impact case studies' relating to specific institutions.

12. Where such confidential information has not already been made public by the REF team, copies shall not be made except as is necessary to carry out functions as a panel member. Originals and any copies that may be made of such confidential information shall be destroyed, or returned to the REF manager, as soon as they are no longer needed for that function or on the request of the REF manager, whichever is sooner. This provision applies equally to paper copies or those stored in electronic or other non-paper formats.

### **Specific obligations during the assessment phase (2013-14)**

13. During the assessment phase panel members will have access to a range of confidential information, including information provided by institutions in their submissions and information generated by the panels when assessing those submissions.

14. In accordance with paragraph 5 of this annex, the REF team will set out detailed confidentiality and data security arrangements for the assessment phase of the REF in advance of it commencing. Compliance

with these expanded arrangements by panel members will be a condition of continuing as a REF panel member.

15. We expect that the detailed obligations will cover the following broad areas:

a. **Information contained in REF submissions.**

Institutions will submit a range of information to the REF team for assessment by the REF panels. We will develop arrangements for access to, storage, retention and destruction of such information by panel members. Within their submissions, institutions will be able to identify specific items as particularly sensitive (for example, for commercial reasons). We will develop specific arrangements for the treatment of such information by panel members (for example, the handling of material which is patented or patentable).

b. **Information generated by REF panels when assessing submissions.** We will develop arrangements for:

- the storage, retention and destruction of panel members' notes and provisional assessment scores that are generated in developing the profiles to be awarded to submissions
- restricting panel members' discussion of submissions or information deduced from submissions with anyone who is not a panel member.

16. Further guidance will be included on ensuring the security of confidential information through panel members' access to or use of the REF panel members' web-site, e-mail, personal notes, and printed and electronic copies of information.

# Annex F

## List of abbreviations

<b>CPD</b>	Continuing professional development
<b>EDAP</b>	Equality and Diversity Advisory Panel
<b>FTE</b>	Full-time equivalent
<b>HE</b>	Higher education
<b>HEI</b>	Higher education institution
<b>NGO</b>	Non-governmental organisation
<b>PGR</b>	Postgraduate research
<b>RAE</b>	Research Assessment Exercise
<b>REF</b>	Research Excellence Framework
<b>UOA</b>	Unit of assessment