



Research Excellence Framework 2021: Code of Practice

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Part 1: Introduction

- 1.1 This Code of Practice establishes the principles, policies and procedures adopted by the University of Worcester for the Research Excellence Framework 2021 (REF 2021) with regard to:
 - the fair and transparent identification of staff with

(c) Accountability: We set out clearly below the roles and responsibilities of the individuals, groups and panels involved in a decision-making and advisory capacity for REF 2021, including the membership and terms of reference for all REF Committees and the

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Institutional roles and Responsibilities for REF 2021

1.12 Diagram 1 (below) sets out the institutional structures established for the oversight and development of our submission to REF 2021 and how these structures feed into existing Committee/Board structures.³

1.13 Six REF decision-making and advisory bodies have been established within this structure:

- REF Strategy Group

- REF Strategy Implementation Group (REF SIG)

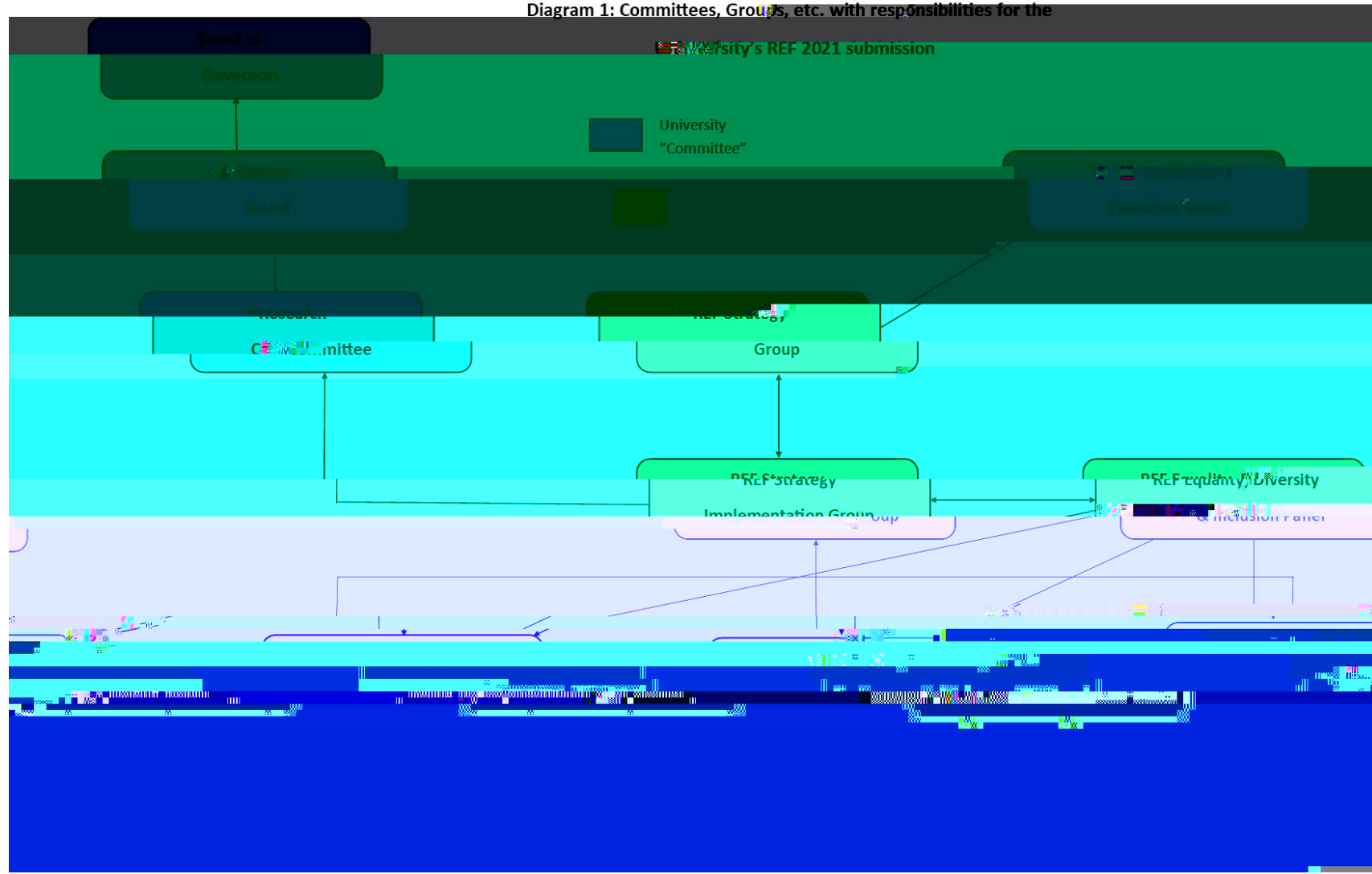
- REF Equality, Diversity & Inclusion Panel (REF EDIP)

- 3 x College REF Panels

1.14 The overall structure (and the membership and terms of reference of the REF bodies) was approved by the Vice-Chancellor's Executive Board.

1.15 The REF Strategy Group (see AT/F1GenBTIhx JTJETQq0.000008871 0 595.32 841.92 reWñBT/F3 .4 736.92 Tm0 q

Diagram 1: Committees, Groups, etc. with responsibilities for the University's REF 2021 submission



- 2.9 The scale and diversity of their activities will be dependent on their career stage, e.g. we would usually expect Professors to be engaged in the full range of activities described above and to be producing multiple outputs over a given time period, whilst we might expect less senior researchers to be engaged in only some of these activities and to produce only a small number of outputs in the same period.
- 2.10 We will identify Category A eligible staff with a primary responsibility for "teaching and research" as having a significant responsibility for research when they meet two or more of the following criteria:
- (a) They have presented their research at one or more external conference, exhibition or event of at least national standing in their discipline in the last 24 months
 - (b) They are actively engaged in doctoral supervision or have actively made themselves available for doctoral supervision by inclusion on the Register for Approved Supervisors
 - (c) They are acting as a Research Mentor
 - (d) They have acted as an investigator on an externally funded research project in the last 36 months
 - (e) They have submitted at least one application for external research funding in the last 24 months
 - (f) They have acted in a research leadership, management or coordination role in the last 36 months
 - (g) They have received funding from the University to engage in their research in the last 36 months
 - (h) They are leading a research group or centre
 - (i) They are authoring an Impact Case Study for REF 2021
 - (j) They have undertaken one or more of the following activities in the last 36 months:
 - external examiner for a research degree;
 - editor or member of an editorial panel for a journal or publisher;
 - reviewer or referee for a funding body;
 - research role for a learned society, subject association or professional body such as sitting on a research committee or advisory panel
- 2.11 Where a member of staff wishes to identify individual circumstances that have constrained their ability to engage actively in research (see Part 4) such that they are unable to

- (a) They meet the REF 2021 definition for an ECR (see Part 4.20a for definition)
- (b) They have completed their doctoral study in the last 24 months
- (c) The University is currently supporting them to undertake doctoral study
- (d) Their line manager has agreed at appraisal that the University will support them to undertake doctoral study
- (e) They are academic staff whose primary function is "research only" but they are not "independent" as set out in Part 3 of this Code of Practice.

2.15 In addition, staff identified as an Emerging Researcher will be expected, as part of their annual appraisal, to submit a three-year research plan with objectives that set out their plans for their

- (b) Receive financial support for doctoral study, where appropriate, in line with the University's

set out in 2.14. Staff should not submit a claim both for SRR to be an Emerging Researcher at the same time. Where staff member believes they meet the criteria for being an Emerging Researcher but also believes they meet the criteria for SRR, they are advised to submit a claim

also request a meeting with the College Director of RKE who will provide an explanation of the decision and provide advice and guidance on appropriate development opportunities.

3.27 Staff will receive specific communication about the appeals process set out at 3.18-25 as follows

Where a staff member has been unsuccessful in their claim for research independence, via an email from their line manager or where a member of staff is on sick leave, family-related leave, a career break or secondment outside the organisation via a letter to their home address from their line manager

Via the weekly communications Blog

Via a dedicated REF 2021 internal website (on the University's Blackboard system)

3.27.1 The University (led by the REF EDIP) will undertake an EIA on the process for identifying research independence set out above at the end of the process. This will be a thorough and systematic analysis to determine whether the institution's processes have a differential impact on particular groups by reference to one or more protected characteristic(s).

3.28 The EIA will be considered by the REF SIG and the outcomes will be used to revise the process if necessary and proportionate.

Part 4: Selection of outputs

- 4.1 The University will adopt an approach to selecting outputs that is transparent, consistent and inclusive and for which there is clear accountability. Fundamental to the process is peer review and decisions will be based on the outcomes of that review.
- 4.2 The process outlined here is a continuous one, i.e. review will continue during the REF period as staff produce new outputs. However, it should be noted that an initial review of outputs formed part of a REF Review process in 2018/19.
- 4.3 Staff will be assigned to UoAs by the REF Strategy Implementation Group. In some instances, the decision may be taken to assign staff to two or more UoAs for the purposes of the review process.
- 4.4 Category A eligible staff will be asked by the relevant REF UoA Coordinator to select up to 5 of their outputs from the REF 2021 assessment period for review.⁵ They will be able to identify replacement outputs across the REF submission period as and when new outputs are “published” where they believe these new outputs are of higher quality than those initially selected.
- 4.5 REF UoA Coordinators will also select up to 5 outputs of former Category A eligible staff who have left the University during the REF assessment period for consideration in the review.⁶
- 4.6 Where two or more staff identify the same output in their selection (i.e. they are “co-authors” of an output), for the purposes of the review the output will be assigned based on author order except in the following circumstances:
 - (a) Where one staff member (A) is current and the other staff member (B) is former, the output will be assigned to staff member A.
 - (b) Where one staff member (A) has selected only 1 output and the other staff member (B) 2 or more, the outputs will be assigned to staff member A.
- 4.7 In the assignment of outputs to staff, no judgment is made about the contribution of the individuals to the output beyond that reflected in the author order. Nor is any judgment made based on the number of outputs assigned to an individual recognising that this may be a reflection of a range of circumstances (see below) or other factors.
- 4.8 HR will provide the list of Category A eligible staff, current and former, for the review. It is the University’s policy to include “co

- 4.10 As noted in 1.18, reviewers will be made fully aware of their responsibility under equality legislation and as set out in this Code of Practice.
- 4.11 Reviewers are asked to assess the item against the REF 2021 criteria and to "score" it according to the starred levels providing a short rationale for the score based on the criteria.
- 4.12 Each output will be assigned an overall "score" based on an average of the two reviews.
- 4.13 Staff will be provided with the score and feedback from reviewers by the relevant College Director of RKE who will also provide guidance and support to the staff member as appropriate.

- 4.14

- 4.17 The EIA will be considered by the REF SIG and the outcomes will be used to revise the process if necessary and proportionate.
- 4.18 As part of the university's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the REF assessment period. This will include a declaration about their ability to produce research outputs at the same rate as staff not affected by circumstances.

- 4.21 If your ability to research productively during the assessment period has been constrained due to one or more of the above circumstances, you may choose to engage in the processes set out below.
- 4.22 All Category A eligible staff will be invited to complete a Staff Circumstances Form (Appendix 14) in June 2019 by email and via the staff communications Blog. Relevant information and a copy of the form will also be made available through our REF 2021 Blackboard site. We will contact staff on sick leave, family-related leave, secondment, a career break or other form of leave at their home address with the relevant information and a copy of the form.
- 4.23 The form will be available electronically, in a paper version an

- (b) Initial decision is overturned and the staff member is identified as an independent researcher
 - (c) The matter is referred back to the College REF Panel for further consideration
- 4.40 No appeal can be made against the decision of the panel.
- 4.41 It is the University's intention to manage the impact of Staff Circumstances on a UoA without recourse to requesting a "unit reduction" in outputs except in the following situations:
- (a) The total output pool for the submitting unit represents no more than 120% of the required output pool
 - (b) at least 40% of submitted staff by FTE are identified as having individual circumstances
- 4.41 The College REF Panel for the Selection of Outputs will provide REF EDIP with data on submitted staff and the total and required output pool for each UoA.
- 4.42 REF EDIP will use this information, data on staff circumstances and the tariffs set out in Annex L of the [Guidance on Submissions](#) to determine the unit reduction request and recommend to the REF SIG that a request for that reduction in outputs is made to the funding council.
- 4.43 Data that staff disclose about their circumstances will remain confidential to REF EDIP except where the University decides to apply to the funding bodies for a reduction of outputs: either the removal of the minimum of one output requirement for an individual (see 4.31-2); or unit circumstances (see 4.40-2).
- 4.44 In these instances, we will need to provide UKRI with data that staff have disclosed about individual circumstances

4.48 All Category A eligible staff recruited after June 2019 and before the census date will be invited to complete the form.

Part 5: Appendices

Appendix 1: Summary of equality legislation

Age	All employees within the HE sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.
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	<p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to.</p> <p>There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people generally, not a specific individual, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> sensory impairments impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer organ specific impairments, including respiratory conditions and cardiovascular diseases developmental impairments, such as autistic spectrum disorders and dyslexia mental health conditions such as depression and eating disorders impairments caused by injury to the body or brain. <p>It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p> <p>Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').</p>
Gender reassignment	<p>The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years, and it is likely to be a difficult</p>

	<p>period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 195.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p>
Marriage and civil partnership	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
Political opinion	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may</p>

	<p>return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.</p> <p>In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).</p>
Religion and belief including non-belief	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
Sex (including breastfeeding and additional paternity and adoption leave)	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and</p>

	<p>unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', Annex L.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).</p>
Sexual orientation	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p>

Appendix 2 – The Code of Practice on the selection of staff for submission to the Research Excellence Framework 2014



Commentary

In completing this EIA, the University is satisfied that its staff selection policy for REF 2014 has not had a differential impact on any group. The figures for the % of staff submitted to REF 2014 for each protected characteristic closely mirror or exceed the % for the total population, with one notable exception. This is the figure for female staff, which is 51% for those submitted compared to 61% for the overall population. Another way of reflecting this data is through the % submitted of the overall population for that characteristic: this is 25% for female staff. While this compares unfavourably to the 37% of male staff submitted, it closely mirrors that for staff recorded as Disabled, BME, Part-time working and Fixed-term contract. Further analysis of data shows that female staff are 'overrepresented' in some subject areas when compared to the population as a whole (e.g. 72% of staff allocated to UoA25 Education are female) and that the percentage of staff submitted to REF 2014 in these areas was comparatively low – just 18% of staff allocated to UoA25 were returned. This suggests that the variation between the % of female staff submitted and the % of females in the overall staff population can be explained by the larger number of female staff in areas where a lower than average % of staff have been submitted to REF. The University intends to undertake a fuller analysis of the data at the UoA level going forward but will also be interested to see if any similar trends emerge at national level.

Appendix 5 – Membership and ToRs of the REF Strategy Implementation Group

Deputy Pro Vice Chancellor Research (Chair)

Research Support Officer (Secretary)

Deputy Director of HR

Representative from Finance

Representative from Library Services

ECR Representative

College Directors of Research & KE x 3

1. To implement the University's REF 2021 strategy
2. To devise and oversee a REF 2021 mock-exercise
3. To develop the REF 2021 Code of Practice in collaboration with the REF Equality, Diversity & Inclusion Panel and recommend to the REF Strategy Group
4. To ensure the effective implementation of the REF 2021 Code of Practice
5. To oversee the planning and preparation of the submissions to REF 2021
6. To ensure all planning and preparation meets the requirements of the REF 2021 assessment and submission framework
7. To develop responses to REF 2021 consultations and recommend to the REF Strategy Group
- 8.

Appendix 6 - Membership and ToRs of the REF Equality, Diversity & Inclusion Panel

Head of Organisational Development, HR (Chair)

HR representative (Secretary)

3 x Academic staff representatives (one per College) selected via an Expression of Interest

1. To develop the REF 2021 Code of Practice in collaboration with the REF Strategy Implementation Group
2. To receive and consider claims for individual staff circumstances
- 3.

Appendix 7 - Membership and ToRs of the College REF Panels

College Director of Research & KE (Chair)

College Research & KE Facilitator (Secretary)

1 x Head of School from the College

REF UoA Coordinators in the College

College HR Business Partner

1. To undertake a REF 2021 mock-exercise as advised by the REF Strategy Implementation Group
2. To develop UoA submissions within the College as advised by the REF Strategy Implementation Group
3. To provide comment and feedback on the REF 2021 Code of Practice
4. To provide comment and feedback on responses to REF 2021 consultations
5. To receive claims for Significant Responsibility for Research, Emerging Researcher and Research Independence for staff within the College and to make recommendations on these to the REF Strategy Implementation Group
6. To undertake the Selection of Outputs for UoAs within the College and to make recommendations on these to the REF Strategy Implementation Group
7. To receive reports on staff circumstances from the REF Equality, Diversity & Inclusion Panel
8. To report to the REF Strategy Implementation Group
9. To approve recommendations made by the College REF Panels on Significant Responsibility for Research, Research Independence and the Selection of Outputs
10. To coordinate support and training for staff across the University relating to REF
11. To ensure that all its actions and decisions reflect the University's commitment to equality, diversity and inclusion

Appendix 8 – REF Unit of Assessment (UoA) Coordinator Role Descriptor

This role descriptor reflects the expectations associated with the role of REF UoA Coordinator across the REF period. It is recognised that the role of the coordinator will shift during this period. Early on, primary responsibilities will be to stay well-informed about general and UoA-specific development relating to REF and to share these with staff in their UoA. Later in the period, the role will be more focused on developing the submission for that UoA which may involve working with colleagues to identify their strongest outputs as well as authoring and/or editing narrative documents.

1. To be a member of the relevant Colle REF Panel
2. To act as an information source for staff within the relevant UoA about the REF
3. To attend external REF events as requested by the College REF Panel
4. To develop a full knowledge and understanding of the REF criteria, working methods and assessment framework relating to the UoA
5. To support the REF mock-exercise. This will include:
 - a. Liaising with colleagues in the UoA about their individual submissions
 - b. Organising review for the UoA
 - c. Presenting the review documentation for the UoA
6. To coordinate the REF submission for the relevant UoA. This will include:
 - a. Liaising with colleagues in the UoA about their individual submissions
 - b. Working with colleagues in the Research Office, Research School and HR to bring together all required data for that UoA relating to outputs, staff information, research income, research student data, impact and other data
 - c. Writing or coordinating writing of environment templates
 - d. Working with Impact Leads to coordinate writing of impact case studies
7. To advise College Directors of RKE on resource issues relating to the relevant UoA submission

Appendix 9 – Training for Staff with REF 2021 Roles and Responsibilities

	Dedicated External Training (e.g. Equality, Diversity, Inclusion and the Research Excellence Framework 2021: A workshop for practitioners, Advance HE)	Online training module: Equality, Diversity and Inclusion in REF 2021	Online training module on Equality, Diversity and Inclusion
REF Strategy Group	No	Yes	Yes
REF Strategy Implementation Group	No	Yes	Yes
REF Equality, Diversity & Inclusion Panel	Yes	Yes	Yes
College REF Panels	No	Yes	Yes
REF Appeal Panels	Yes	Yes	Yes
Research Committee	No	No	Yes
Academic Board	No	No	Yes
Vice Chancellor's Executive Board	No	No	Yes

Appendix 10 – Equality Impact Assessment on draft Significant Responsibility for Research (SRR) Criteria

In Spring/Summer 2018, the University collected data for all academic staff on the proposed criteria for determining significant responsibility for research (SRR) in the context of REF 2021. Based on this data, a group with SRR was identified.

The Head of Organisational Development completed an Equality Impact Assessment (EIA) on the proposed criteria by comparing the representation of protected characteristics in the SRR group (223 by headcount) with the representation in the overall academic population (485 by headcount).

Analysis of the data showed that females were slightly under-represented in the SRR group compared to the overall staff population, whilst males were overrepresented (see Table 1).

	Female		Male	
	h/c	%	h/c	%
All Staff	308			

Protected and other characteristics	Group	Female		Male		Total	
		h/c	%	h/c	%	h/c	%
Disabled	All Staff	32	6.6	15	3.1	47	9.7
	Staff with SRR	17	7.6	6	2.7	23	10.3
BAME	All Staff	14	2.9	12	2.5	26	5.4
	Staff with SRR	7	3.1	7	3.1	14	6.3

Appendix 11 – SRR Form

Significant Responsibility for Research (SRR) Form

Personal Details

Name:	Click here to enter text.
Email:	Click here to enter text.
School:	Choose an item.
Unit of Assessment (UoA) which you expect to be submitted to:	Choose an item.

If yes please provide detail here:	Click here to enter text.
Have you received funding from the University for your research in the last 36 months? (see note 7)	
If yes please provide detail here:	Click here to enter text.
Are you leading a research group or centre? (see note 8)	Yes No
If yes please provide detail here:	Click here to enter text.
Are you authoring an Impact Case Study for REF 2021? (see note 9)	Yes No
Have you undertaken one or more of the following activities in the last 36 months: - external examiner for a research degree; - editor or member of an editorial panel for a journal or publisher; - reviewer or referee for a funding body; - research role for a learned society, subject association or professional body such as sitting on a research committee or advisory panel	Yes No
If yes please provide detail here:	Click here to enter text.

Please confirm, by ticking the box below, that:

The above information provided is true and accurate as of the date below

I realise that the above information will be shared with the relevant College REF Panel and with the REF Strategy implementation Group and where appropriate with your line manager and Head of School

I realise it may be necessary to share the information with the UK Funding Councils' REF team in the event of an audit

I agree

Signed:

Notes

1. To meet this criterion, you must be able to show 3 things:
 - (a) that work presented at the conference/exhibition/event, i.e. we will not accept presentations of research by a co-author made in your absence
 - (b) that the work presented meets the definition of research in the REF, i.e. we will not accept presentations focused on professional or teaching practice unless they can be articulated as a product of research
 - (c) that the conference/exhibition/event is of at least national standing, by which we mean the event has an at least national reputation and was attended by a range of academics

8. Only tick yes where you are formally recognised within your School as leading a research group/centre. Please provide the name of the research group and a link to any relevant webpages.
9. Only tick yes where you have been formally identified as an author of a REF Impact Case Study. Please provide the working title of the case study under details.

Appendix 12 -

Notes

1. The REF definition of ECR is as follows:
Members of staff who meet the definition of Category A eligible on the census date, and who started their careers as independent researchers on or after 1 August 2016. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:
 - i. they held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, and
 - ii. they first met the definition of an independent researcher

2. Please provide the following details:
 - Title of doctorate
 - Date awarded
 - Awarding institution
 - Link to thesis where possible

3. Where you are undertaking a doctorate currently please provide the following:
 - Title of doctorate
 - HEI where you are undertaking doctorate
 - Start date
 - Estimated completion dateWhere your line manager has agreed to support you to undertake doctoral study in the next 12 months please supply evidence of this support (i.e. email or letter from line manager)

4. Please see section 3 of the REF 2021 Code of Practice for criteria for independence.

Appendix 13 – Research Independence Form

Research Independence Form

Personal Details

Name:	Click here to enter text.
Email:	Click here to enter text.

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Notes

1. Please provide the following details:

Project Title

Funding body

Value of funding

Project start and end dates

Institution where project took place – this will normally be Worcester but if you are a new member of staff this may be at your previous employers

Please note that for UoAs in Panels A and B it is expected that you will have acted as Principal Investigator to demonstrate independence but for UoAs in Panel C and D it can be Principal or Co-Investigator.

2. Please provide the following details:

Project Title

Funding body

Value of funding

Project start and end dates

Institution where project took place – this will normally be Worcester but if you are a new member of staff this may be at your previous employers

A list of relevant fellowships is provided by the REF team:

Staff Circumstances Form

Name: Click here to insert text.

School: Click here to insert text.

UoA: Click here to insert text.

Do you have a REF-eligible output published between 1 January 2014 and 31 July 2020?

Yes

No

Please complete this form if you have one or more applicable equality-related circumstance (see Code of Practice 4.20) which you are willing to declare. Please provide requested information below.

