

Code of Practice

On the selection of staff for the Research
Excellence Framework (REF) 2014 ¹

October 2012

¹ Approved by the national REF Equality and Diversity Advisory Panel (EDAP) with minor amendments March 2013

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Purpose and aim

1. The purpose of this Code of Practice is to ensure that the ICR meets its legal obligations under equality legislation and the requirements of the REF 'Assessment Framework and Guidance on Submissions'² in relation to the selection of staff for the REF.
2. The ICR is committed to promoting equality and providing a fully inclusive environment for staff and students. The treatment of all ICR employees under the existing equality legislation³ is covered by institutional policies and the strategy for this can be viewed [here](#)⁴. The selection and entry of academic staff for the REF 2014 is governed by these equality policies. The ICR also recognises that under the fixed-term employee and part-time workers regulations⁵, these employees have the right not to be treated any less favourably than comparable 'permanent' or full-time employees.
3. The ICR will seek to submit to the REF 2014 the excellent research of all eligible staff, including those whose circumstances have significantly constrained their ability to produce four high quality outputs⁶ or work productively throughout the assessment period and may therefore be returned with fewer outputs without any penalty in the assessment. The selection of staff will be made in line with the approved quality criteria (see paragraphs 45 to 50) and the provisions made with respect to individual staff circumstances (see paragraphs 33 to 44).
4. This Code of Practice sets out the processes by which this will be achieved to ensure that decisions are transparent, consistent, accountable and inclusive.
5. The Code applies to all eligible staff as defined by the REF 2014 guidance, both Category A and C (see paragraphs 20 to 31).

Background, development and dissemination of the Code of Practice

6. The ICR is a leading research institute; its research strategy sets out its vision and goals for research excellence leading to patient benefit. The Research Excellence Framework (REF) is important to the ICR for both reputation and funding. In reputational terms, the REF outcome will influence our external profile and may affect our ability to win external grants, develop commercial spin-outs and intellectual property, and attract, develop and retain the best researchers. The outcome will directly impact the quality-related research funding that the ICR receives from the Higher Education Funding Council for England (HEFCE), currently about £6M per annum.
7. Given the importance of the REF, the ICR's REF strategy has to be one of maximising the outcome, whilst continuing to support the development of its staff. This involves taking a systematic and strategic approach to all aspects of the submission. The format of the REF 2014 is significantly different to RAE 2008 with a new assessment of the non academic impact of research from the submitting unit alongside the assessment of outputs for individuals submitted. The ICR acknowledges that individuals might contribute in different ways to these elements of

² REF 02.2011 July 2011 (paragraphs 39 to 43, 96 to 100, Part 4 and REF 01.2012 paragraphs 64 to 91)

³ The Equality Act 2010

⁴ A hard copy of the information will be made available in situations where this electronic link will not work or can be requested from Elaine.Homer@icr.ac.uk.

⁵ Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000, Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002

⁶ An output is normally a publication at the ICR but other outputs such as patents are eligible – see part 2A, para.27 of [REF 01.2012](#)

the submission. This Code sets out the process for the selection of individuals to be submitted to the REF, taking account of the legislative context and the REF guidance. It does not cover the other aspects of the REF.

8. The Code will be approved by the ICR Executive Strategy Board. It was developed in consultation with the Training and Development Manager who has oversight of equality and diversity matters at the ICR and a sub-group of the Equalities Steering Group.
9. All REF Codes of Practice have to be submitted to the national REF team for review and approval by the REF Equality and Diversity Advisory Panel (EDAP). Codes for every institution will be published with the rest of the submissions at the end of the assessment process.
10. Once it has been approved by the ICR Executive Strategy Board, the Code will be disseminated as set out below. At this stage it will still be subject to approval by the REF EDAP and will be identified as draft. The ICR will be advised of any amendments required by the REF EDAP in October 2012 and a revised version will be disseminated.
 - Electronic copies will be emailed to all Category A eligible staff i.e. Faculty, those holding externally funded fellowships based on their personal research and other research staff who have been identified as eligible (see paragraphs 21 to 23) using their ICR email account
 - Hard copies will be sent out to any eligible staff absent from work
 - Electronic or hard copies will be sent to potential Category C staff (see paragraphs 24 to 26)
 - Electronic copies will also be sent to research staff who have been identified already as having the potential to meet the eligibility criteria by the time of submission (see paragraph 29)
 - The Code will be publicised on the staff intranet (iSpace) and drawn to the attention of all staff by email; this will highlight the eligibility criteria and highlight the opportunity for research staff to nominate themselves for consideration as meeting the eligibility criteria
 - It will be published on the external website once approved by the REF EDAP
 - It will be publicised at relevant meetings such as the forum for Career Development Faculty.

Training

11. All those with a role in the processes for the selection of staff for REF 2014 will be given training on the legislative framework, REF guidance and this Code. This includes:
 - The REF Working Group (see Appendix A)
 - The CEO
 - Heads of Division and Deputy Heads of Division
 - The Head of Research Operations (see Appendix A)
 - The Research Strategy Coordinator and members of the Research Support Unit (see Appendix A)
 - Director of HR
 - Appeals Panel and Appeals Secretariat (see Appendix A)
 - Any member of the Executive Strategy Board not included above (see Appendix A)

12. The training will be provided by the Scientific Secretary (Dr Barbara Pittam) and the Training and Development Manager (Mr Neil Walford) who will have attended external training provided for all higher education institutions by the Equality Challenge Unit.
13. The training for all except the Appeals Panel and Appeals Secretariat will take place during summer 2012. The training for the Appeals Panel and Appeals Secretariat will take place by summer 2013.

ICR REF Working Group

14. A REF Working Group (REFWG) has been established to take responsibility for the preparation of the ICR's submission to REF 2014. This will include oversight of the whole process and all its components. This Group, together with the CEO, will take decisions on the inclusion or exclusion of staff. In doing so, it will seek input from Heads of Division and Deputy Heads of Division on the quality of outputs selected and ongoing work/research which will lead to an output within the REF assessment period.
15. The REFWG reports to the Executive Strategy Board (ESB). The terms of reference and membership for both the REFWG and ESB can be found in Appendix A.
16. The REFWG comprises:
 - Professor Clare Isacke (Chair)
 - Professor Chris Marshall
 - Professor Paul Workman
17. All members of the REFWG have substantial experience of the RAE/REF processes; in particular, Professor Isacke co-ordinated the ICR's Biological Sciences submission for RAE 2008, Professor Workman co-ordinated the ICR's Cancer Studies submission for RAE 2008 and is currently Deputy CEO, and Professor Marshall was a key member of the RAE 2008 co-ordination team and is ICR Director of Research.
18. The REFWG is supported by the Scientific Secretary (Dr Barbara Pittam), the Research Strategy Coordinator (Dr Ben Onwuegbusi) and members of the Research Support Unit (Ms Elaine Homer, Dr Angela McDonald, Dr Ali Cooper) who have responsibility for the data preparation and compilation of the submission. In addition, technical support will be provided from within Academic Services. On occasion, the Head of Research Operations (Dr Fiona Hemsley) will attend meetings at the request of the CEO.
19. The draft timetable for the selection of staff for the REF is set out in Appendix B.

Inclusion of staff

20. Staff eligible for submission to REF 2014 fall into two groups: Category A and C.

Category A

21. The REF 2014 guidance states that "Category A staff are defined as academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on the census date (31 October 2013), and whose primary employment function is to undertake either 'research only' or 'teaching and research". (Supplementary detail is included in an extract from the guidance in Appendix C).

22. The REF guidance goes on to state that “research assistants” are not eligible except in exceptional circumstances. It defines “research assistants” as academic staff who are “employed to carry out another individual's research programme, rather than as independent researchers in their own right”. They are “**not** eligible to be returned to the REF, **unless**, exceptionally, they are named as **principal investigator or equivalent** on a research grant or significant piece of research work”.
23. At the ICR the above definitions mean that all Faculty and those holding externally-funded fellowships based on their personal research are eligible; and in addition any other research staff who meet the REF criteria as an independent researcher.

Category C

24. Category C staff are defined as individuals employed by an organisation other than an HEI whose contract or job role includes the undertaking of research focused in the submitting unit on the census date. This may include employees of the NHS, Research Council units, charities and other organisations. It does not include non-academic staff, retired staff who are still research active, or visiting professors, fellows and lecturers employed by other higher education institutes (HEIs).
25. At the ICR this means those holding honorary Faculty contracts with the ICR are eligible as Category C.
26. In addition, a number of other research active clinicians are being kept under review for either honorary faculty status and/or submission to the REF as Category C staff.
27. Submitted outputs by Category C staff will inform quality profiles, but they will not contribute to the volume measure for funding purposes.
28. A list of eligible staff for consideration has been compiled and comprises:
 - Faculty and those holding externally-funded fellowships based on their personal research;
 - Other research staff (“research assistants”) who have satisfied the REF criteria as independent researchers
 - Those with honorary Faculty contracts with the ICR who are eligible as Category C staff
29. In addition, as a result of the 2011 preparatory work for REF, some research staff have been identified as having potential to meet the REF criteria for eligibility as independent researchers by the time of submission. They will be kept under review and included in the process until such time as they are confirmed as eligible or non-eligible.
30. Other research staff who have not yet been identified as eligible but who consider that they might meet the eligibility criteria, will be invited to nominate themselves, following discussion with their Head(s) of Division. In addition, Head(s) of Division (and Deputies where applicable) will be sent a list of their staff currently identified as eligible or being kept under review as potentially eligible and invited to nominate anyone else for consideration.
31. The list of eligible staff will be reviewed and updated throughout the REF preparatory period.
32. The ICR wishes to submit as many research active members of staff as possible to the REF but recognises that for reputational and funding reasons, it will be necessary to be selective and does not undertake to include all eligible staff. This will be same

for all HEIs. The quality criteria for the selection of staff to submit are set out in paragraphs 45 to 50. Non-submission is ultimately a strategic decision taken in the general interests of the ICR in order to secure the best possible ratings and protect the research reputation of the ICR. Eligible staff who meet the normal requirements of their employment contract in terms of volume and quantity of research and publication will continue to be considered as research active, whether or not they are submitted. The inclusion or otherwise of an individual and their work in the REF return does not necessarily influence career progression. Any individuals who feel that they have been unfairly excluded from the submission have the right to appeal (paragraphs 54 to 60).

Individual staff circumstances

33. The normal expectation is that every individual submitted for the REF will be able to offer four outputs for assessment. However, in order to support equality and diversity in research careers, the REF guidance allows for individuals to be returned with fewer than four outputs without penalty in the assessment where their circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the period 1 January 2008 to 31 October 2013. An individual's work must have been affected by one or more of the following circumstances defined in the REF guidance set out in Appendix D. These are grouped into:
- clearly defined circumstances: relating to qualifying as an early career researcher (see Appendix E); absence from work due to working part-time, secondments or career breaks; qualifying periods of maternity, paternity or adoption leave; qualifying as staff who are junior clinical academics (see Appendix E); Category C staff who are employed as clinical or health professionals (see paragraphs 24 to 26).
 - complex circumstances: relating to disability; ill health or injury; mental health conditions; constraints relating to pregnancy, maternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the arrangements for clearly defined circumstances; other caring responsibilities; gender reassignment; other circumstances relating to the protected characteristics or activities protected by legislation.
34. For clearly defined circumstances, there are tariffs to determine the number of outputs that may be reduced without penalty in the assessment, depending on the duration of the circumstances (or combination thereof). For more complex circumstances the institution has to make a judgement on the appropriate reduction in the number of outputs submitted. The national Equality Challenge Unit will provide case studies to assist with this. The full REF guidance is set out in Appendix D. Further information on the Equality Act 2010 and protected characteristics can be found [here](#)⁷.
35. The ICR has put the following process in place to ensure that staff can disclose their circumstances in an appropriate and confidential manner.
36. All ICR eligible staff will be invited to complete a form if they wish to declare circumstances that have constrained their ability to produce four outputs. The forms will initially be made available to eligible staff in June 2012 (see Appendix F). These forms will be returned to Neil Walford, the Training and Development Manager, who has oversight of equality and diversity matters for the ICR. If staff need to update or declare new circumstances after that date, there will be a link to the staff

⁷ A hard copy of the information can be requested from Elaine.Homer@icr.ac.uk.

circumstances form on the REF pages in iSpace or a copy can be requested from the Research Support Unit. Claims will be reviewed again in May 2013 prior to the final selection stage. The information will, where possible, be validated by HR and if necessary the individual will be required to provide documentary verification.

37. The information submitted on the Individual Circumstances Disclosure form will be treated in confidence and used within the terms of the ICR's registration under the Data Protection Act 1998 and in accordance with the ICR's policy on security of sensitive information. .
38. The claims will be considered in confidence by the Training and Development Manager (Neil Walford) and the Scientific Secretary (Barbara Pittam) against the published REF guidance. In addition, circumstances defined as 'complex' or that combine 'clearly defined' and 'complex' circumstances will be considered in the light of worked examples provided by the Equality Challenge Unit. A member of the Research Support Unit (Elaine Homer) will attend these discussions to document the outcomes and rationale for decisions. Recommendations on the appropriate reduction in the number of outputs to be submitted, if any, will be made to the REF Working Group Chair (Clare Isacke) for her ratification.
39. The outcomes (but not the circumstances unless at the broad category heading for clearly defined circumstances) will be reported to the REFWG in writing and they will adjust their expectations as to the number of outputs for that individual accordingly. Thereafter, the quality of the outputs of these staff will be assessed in the same manner as those of staff without special circumstances.
40. The outcomes will also be communicated to the individuals concerned.
41. For staff submitted to the REF, the information provided on the form will be shared externally for the purposes of providing evidence on a reduction in the number of research outputs as follows:
 - For **clearly defined circumstances** the information will be seen by the UK funding bodies' REF team, the relevant REF panel members and the REF panel secretariat. All are subject to confidentiality undertakings in respect of information contained in submissions.
 - For **complex circumstances**, the UK Funding Bodies' REF Equalities and Diversity Advisory Panel will consider the cases submitted by institutions on a consistent basis across the REF. They will advise REF panels of their decisions and panel members will not be aware of the specific individual circumstances. So the information will be seen by the REF Team, the EDAP and the REF Main Panel Chairs. Again, all are subject to confidentiality undertakings in respect of information contained in submissions.
42. Information provided by the ICR on individual staff circumstances as part of a REF submission will be used only for the purposes of assessing the submission. This information will not be published at any time and will be destroyed on completion of the REF⁸.
43. Any information on individual staff circumstances supporting submission of fewer than four outputs included in the final ICR submission to the REF will be referred to the individuals concerned for their confirmation (by signature).

⁸ This can only happen once all audit requirements are met. The current expectation is that this will be in December 2014 once the REF outcomes are published but we will confirm this with the national REF team before destroying the records.

44. The ICR is required to identify all eligible Early Career Researchers (see Appendix E) in its data returns to the Higher Education Statistics Agency, irrespective of whether they are included in the exercise and irrespective of whether any reduction in the number of outputs is sought. The ICR will therefore undertake a separate, centralised check on individuals to ensure that its data is complete for this and a flag will be included in the HR system.

Quality criteria for selection of staff

45. The ICR's aim for the 2014 REF is to submit a return where all elements are likely to achieve a 3* or 4* rating.
46. This aim is based on the fact that at the time of writing HEFCE have confirmed that from 2012-13 onwards only activity with a quality rating of 3* or 4* will be funded in the QR research funding model (see paragraph 48 for definitions). The ICR reserves the right to amend the quality criteria if the situation changes; any changes to the criteria will be communicated to all eligible staff in the ways identified in paragraph 10.
47. Staff must normally have 4 outputs⁹ to offer for assessment (for exceptions see paragraphs 33 to 44). For co-authored/co-produced outputs, an individual must be able to clearly identify their significant research contribution to it.
48. In order to meet its quality aim (paragraph 45), the ICR will seek to return only staff who are judged to have outputs meeting the REF criteria for 3* or 4* rating. 3* is defined by the REF guidance as "Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence." 4* is defined as "Quality that is world-leading in terms of originality, significance and rigour." The selection of staff for the REF will be undertaken by the REFWG and the CEO and an appeals process will be in place (see paragraphs 54 to 60).
49. The ICR might engage an external assessor to provide an independent check on the application of REF rating criteria to papers/outputs.
50. The quality criteria will be applied across the ICR.

Feedback Process

51. For the 2012 mock exercise, the conclusions of the REFWG following their assessment of submitted outputs will be communicated to individuals by a letter emailed to their ICR email address. A copy will be provided to their Head(s) of Division.
52. A decision on which eligible staff will not be submitted to the REF will be made in June 2013. This will be communicated to the individuals not selected by a letter emailed to their ICR email address and will include the reasons for non-selection. A copy will be provided to their Head(s) of Division.
53. This will not prevent staff from being added to the submission after this date in special circumstances eg. eligible staff who join after this date or following a successful appeal.

⁹ An output is normally a publication at the ICR but other outputs such as patents are eligible – see part 2A, para. 27 of [REF 01.2012](#).

Appeals Process

54. A decision on excluding someone from the REF 2014 will be made and communicated to them by the end of June 2013 but in most cases regular feedback will have been provided in the preceding eighteen months so that such a decision will have been signposted. The feedback process will also have provided an opportunity for staff to raise any concerns of their treatment with their Head(s) of Division.
55. Following the final feedback, should any eligible member of staff wish to appeal against a decision not to submit them, he/she has the right of appeal to a panel which is independent of the decisions about selecting staff, comprising a scientific member of the Board of Trustees and the Chief Operating Officer (Cathy Scivier); although the Chief Operating Officer is a member of the Executive Strategy Board to which the REFWG reports, she will exclude herself from any items relating to selection of staff for the REF. An appeal may be made on procedural grounds (i.e. that the process set out in this Code has not been followed) or on grounds of potential discrimination.
56. The appeals panel will investigate and if necessary seek information on the REF process and clarification on points of fact from the Chair of the REFWG, REF support staff and HR. The panel may request a meeting with the individual and if a meeting is convened, the individual will have the right to be accompanied.
57. The outcome of an appeal will either be i) to disallow the appeal or ii) to support the appeal in whole or in part and refer the question back to the Chair of the REFWG and the CEO for re-consideration.
58. The secretariat for handling appeals will be members of Corporate Services that have not been involved in the REF selection process.
59. The deadline for any appeals to be lodged is 15 August 2013 allowing sufficient time for an appeal to be considered and any outcomes implemented. Appeals must be emailed to Liz.Wicksteed@icr.ac.uk
60. The outcome of an appeal will be communicated to the individual concerned by end of September 2013.

REF Equality Impact Assessment

61. The ICR is required to produce an Equality Impact Assessment (EIA) on its policy and procedures for selecting staff for the REF and this in turn has informed this Code of Practice. As a core part of this the ICR has consulted with staff groups with protected characteristics through its Equality Steering Group and taken advice from its key stakeholder HEFCE, through the Equality Challenge Unit, as to potential equality impacts of the Code of Practice. The Code has been developed to ensure that decision-making processes are fair, transparent, consistent and support an inclusive environment in keeping with the ICR's equality strategy, and its responsibilities under Equality and Employment legislation. An initial equality impact assessment has been undertaken, appropriate measures put in place covering areas such as appropriate communication, accurate staff data and monitoring the outcome of a mock exercise on protected groups, and this will be kept under review as the submission is prepared. Part of the assessment will involve equality analyses, eg. to check the way in which all sub-groups of staff are represented in its REF submissions. However it should be noted that the dataset for the ICR is small and it will not be possible to publish some data as it would mean identifying individuals.

62. To meet its legal requirements as a public body the ICR needs to have information from its staff about a variety of personal data in order to carry out analyses on processes such as the REF. (There is always an option to “*prefer not to say*” for any variable, if staff so wish; no inferences will be drawn from this). As a result of the Equality Act (2010) this includes data on age, civil partnership/marriage, disability, ethnicity, gender (including pregnancy & maternity), religion/belief/non-belief, sexual identity and orientation. Some of this information is already in the HR record, based on application forms and the equality monitoring form completed on application, plus any subsequent updates. However, the ICR will be undertaking an exercise to update its records for several reasons:
- To improve our routine, anonymised monitoring of such data as required by the Equality Act (2010).
 - To enable the ICR to draw up an accurate picture of its REF submissions with regard to diversity and equality issues.
 - To enable the ICR to complete new fields in the HESA Staff Return from 2012-13, the data from which will in turn be used to monitor equality and diversity in the REF across the sector.
63. Staff will be asked to submit and update relevant personal details during 2012 and their help with these processes would be greatly appreciated.

ICR COMMITTEES INVOLVED IN REF 2014

1. REF WORKING GROUP

Terms of reference

Remit of the committee

A REF Working Group (REFWG) has been established to take responsibility for the preparation of the ICR's submission to REF 2014. This will include oversight of the whole process and all its components. This Group, together with the CEO, will take decisions on the inclusion or exclusion of staff. In doing so, it will seek input from Heads of Division and Deputy Heads of Division on the quality of outputs selected and ongoing work/research which will lead to an output within the REF assessment period.

Members and attendees

Members

Professor Clare Isacke	(Chair)
Professor Chris Marshall	(Director of Research)
Professor Paul Workman	(Deputy Chief Executive)

Attendees

Dr Angela McDonald	(Secretary to the group)
(or another member of the Research Support Unit)	
Dr Ben Onwuegbusi	(Research Strategy Coordinator)
Dr Barbara Pittam	(Scientific Secretary)

The work of the group is supported by members of the Research Support Unit: Ms Elaine Homer, Dr Angela McDonald and Dr Ali Cooper, all of whom will attend meetings as required.

On occasion, the Head of Research Operations, Dr Fiona Hemsley, will attend meetings at the request of the CEO.

Meetings of the Committee

As necessary

Reporting procedures

The REF Working Group reports to the Executive Strategy Board (ESB) and will report the outcome of its decision to it.

Business of the committee

1. To decide on the ICR's preparation, submission process and timetable for REF 2014.
2. To decide on the REF 2014 communication plan.
3. To take decisions on the format of the REF submission and which UOAs the ICR will submit to.
4. To invite eligible staff to nominate their best research outputs during the REF 2014 preparatory period.
5. To assess the research outputs submitted by eligible staff for REF 2014, during the preparatory period, against the published performance criteria specified by the appropriate REF assessment panel, ICR's strategic position and advice from Heads of Division/Deputy Heads.
6. To provide feedback to each member of staff eligible for submission to the REF and their Head(s) of Division throughout the preparatory period.
7. Together with the CEO, decide on the eligible staff being submitted in REF 2014.
8. To oversee the drafting of 'impact' and 'environment' sections of the submission for REF 2014.

2. REF APPEALS PANEL

Remit

To consider any appeals as set out in paragraphs 54 to 60 of this Code of Practice.

Members

Ms Cathy Scivier (Chief Operating Officer)
A scientific member of the ICR Board of Trustees – to be confirmed

Secretariat

Members of Corporate Services – names to be published in summer 2013.

Reporting procedures

The REF Appeals Panel reports to the CEO.

3. EXECUTIVE STRATEGY BOARD (ESB)

Remit

The Executive Strategy Board is responsible for formulating strategies, plans and budgets for approval by the Board of Trustees. The Executive Strategy Board has been established to assist the Chief Executive in managing the ICR to achieve its strategic aim and objectives within the approved strategies and budget. As part of this role it will receive and approve the final report on staff selection for the REF.

Members

Professor Alan Ashworth, Chief Executive and Interim Head of the Division of Molecular Pathology (Chair)

Mrs Cathy Scivier, Chief Operating Officer

Mr Paul Norris, Director of Finance

Mr Steve SurrIDGE, Director of Operations

Professor Chris Marshall, Director of Research and Interim Head of the Division of Cancer Biology

Professor Clare Isacke, Interim Head of the Division of Breast Cancer Research

Professor Paul Workman, Deputy CEO and Head of the Division of Cancer Therapeutics

Professor Alan Horwich, Head of the Division of Radiotherapy and Imaging to 15/1/2013 / as Dean from 16/1/2013

Professor David Barford, Joint Head of the Division of Structural Biology

Professor Stan Kaye, Head of the Division of Clinical Studies

Professor Nazneen Rahman, Head of the Division of Genetics and Epidemiology

Professor Dale Wigley, Joint Head of the Division of Structural Biology

Professor Kevin Harrington, Joint Head of the Division of Radiotherapy and Imaging from 16/1/2013

Professor Chris Nutting, Joint Head of the Division of Radiotherapy and Imaging from 16/1/2013

Draft ICR Timetable for the selection of staff for submission to REF 2014¹⁰

January 2012 to September 2013	New eligible or potentially eligible staff will be given access to Symplectic as they arrive or are identified.	
May 2012	ICR Code of Practice to be approved by Executive Strategy Board	
Late May/Early June 2012	The ICR REF Code of Practice will be published and disseminated to staff in draft as set out in paragraph 10. The communication to all staff will highlight the opportunity for any member of staff who has not yet been identified as eligible but considers that they might meet the eligibility criteria (see paragraph 30) to put themselves forward in consultation with their Head(s) of Division. Head(s) of Division (and deputies where applicable) will be sent a list of staff in their division currently identified as eligible or being kept under review as potentially eligible and invited to nominate anyone else for consideration (paragraph 30).	Deadline: end of June
Late May/Early June 2012	Eligible staff who wish their individual circumstances to be taken into account in relation to their number of outputs will be invited to complete a staff disclosure form (see paragraphs 33 to 44 and Appendix D & Appendix F).	Deadline: end of June
June/July 2012	All those involved in the selection of staff for the REF will be given training on the Code of Practice and the ICR's responsibilities under the relevant equalities and employment legislation (paragraphs 11 to 13)	
July 2012	Consideration of any staff disclosure forms will be undertaken in confidence by the Training and Development Manager (Neil Walford) and the Scientific Secretary (Barbara Pittam) in consultation with the Chair of the REFWG (Clare Isacke) as outlined in paragraph 38 and a decision made as to any reduction in the number of outputs to be expected for submission. The decision (but not the detail) will be communicated in writing to the REFWG; the individual applicants will also be advised of the outcome. A member of the RSU (Elaine Homer) will attend these discussions to document the outcomes and rationale for decisions.	Deadline: end of July
Early July 2012	Mock REF exercise. i) All eligible and potentially eligible staff (see paragraphs 20 to 31 and Appendix C) will be invited to update or select their four best	Deadline: 31 August 2012

¹⁰ Timings may be adjusted with the exception of the decision on non-submission and appeals process in 2013 set out in paragraphs 54 to 60.

	publications with two reserves for the REF assessment period (or fewer – see paragraphs 33 to 43) and update/provide an assessment and justification and score for selection using Symplectic; new guidance will be provided for this exercise which will reflect the final published REF guidance.	
September/October 2012	Each member of staff's selected research outputs will be initially be assessed by a member of the REFWG and a relevant HoD/Deputy HoD; the assessments will be reviewed by the REFWG and then discussed with the CEO.	Deadline: end of October
October/November 2012	The ICR will be notified of any amendments to this Code of Practice required by the REF Equalities and Diversity Panel and, if necessary, an amended version will be disseminated.	
November 2012	Feedback will be provided to each staff member who has taken part in the mock exercise. This will be provided by email to individuals and copied to HoD(s).	Deadline: mid December 2012
January/February 2013	The outcome of the mock exercise will be reported to the Executive Strategy Board.	
Early March 2013	<p>The REF eligibility guidance will be publicised again inviting any member of staff who has not been considered for eligibility and who thinks they might meet the eligibility criteria to put themselves forward in consultation with their Head(s) of Division. Head(s) of Division will also be invited to nominate staff.</p> <p>In addition, staff who have previously completed a staff disclosure form with details of their individual circumstances and have agreement to submit fewer than four outputs will be asked to confirm or amend the details of their disclosure. Any other eligible staff who consider that there are individual circumstances to be taken into account will be invited to complete a staff disclosure form (see paragraphs 33 to 44 and Appendix D & Appendix F).</p>	<p>Deadline: 22 March 2013</p> <p>Deadline: 22 March 2013</p>
End of March/early April 2013	Consideration of any staff disclosure forms (amended/confirmed or new) will be undertaken by the Training and Development Manager (Neil Walford) and the Scientific Secretary (Barbara Pittam) in consultation with the Chair of the REFWG (Clare Isacke) as described in paragraph 38 and a decision made as to any reduction in the number of outputs to be expected for submission. The decisions (but not the detail) will be communicated in writing to the REFWG; the individual applicant will also be advised. A member of the RSU (Elaine Homer) will attend	Mid April 2013

	these discussions to document the outcomes and rationale for decisions and to prepare the paperwork for the submission.	
Mid April 2013	<p>Final stage of staff selection for the REF.</p> <p>All eligible staff, including any eligible staff who have joined the ICR since the 2012 exercise, and any potentially eligible staff being kept under review will be invited to review and amend if necessary/select their four best publications for the REF assessment period (with, perhaps, two reserves) and update/provide an assessment and justification for them using Symplectic. Staff who have agreement to submit less than four research outputs following declaration of individual circumstances will submit the number agreed (see paragraphs 33 to 44).</p>	Deadline: end of April 2013
May/early June 2013	Each member of staff's selected research outputs will be initially be assessed by a member of the REFWG and a relevant HoD/Deputy HoD; the assessments will be reviewed by the REFWG and then discussed with the CEO. A decision will be made as to those staff who are not to be included in the submission. This will not preclude staff from being added to the submission after this date in special circumstances, eg. eligible staff who join after this date or following a successful appeal.	Early June 2013
June 2013	A letter will be emailed to the staff who are not to be included in the submission to advise them of this and the reasons for non-selection (see paragraph 54). This will be copied to HoDs.	End of June 2013
June 2013	The REFWG will report to Executive Strategy Board on the outcome of their consideration of staff to be submitted to the REF.	
July/August 2013	If a member of staff is not happy with the outcome they will be able to submit an appeal as outlined in paragraphs 54 to 60.	Mid August 2013
September 2013	Consideration of appeals will take place including, where appropriate, referral back to REFWG.	
End of September 2013	The outcome of any appeals will be communicated to individuals.	Deadline: end of September 2013
31 October 2013	Census date for staff eligible for selection	
Autumn 2013	The final details of staff to be submitted will be reported to Executive Strategy Board.	
29 November 2013	Submission deadline	

Guidance on Staff Eligibility: Extract from [REF 02.2011](#) Assessment framework and guidance on submissions

Paragraphs 78 to 83

Category A staff

78. Category A staff are defined as academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on the census date (31 October 2013), and whose primary employment function is to undertake either 'research only' or 'teaching and research'.

79. Regardless of their job title, all staff who satisfy the definition at paragraph 78, along with the supplementary criteria in paragraphs 79-81, are eligible as Category A staff:

a. Staff who hold institutional/NHS joint appointments are eligible to be returned as Category A. These staff should be returned with an FTE less than 1.0, reflecting their contract of employment with the institution.

b. Pensioned staff who continue in salaried employment contracted to carry out research and meet the definition at paragraph 78 are eligible to be returned as Category A staff.

c. Academic staff who are on unpaid leave of absence or on secondment on the census date and are contracted to return to normal duties up to two years from the start of their period of absence or secondment are eligible to be returned as Category A, provided that any staff recruited specifically to cover their duties are not also listed as Category A.

d. Academic staff who are employed by the submitting HEI and based in a discrete department or unit outside the UK are eligible only if the HEI demonstrates that the primary focus of their research activity on the census date is clearly and directly connected to the submitting unit based in the UK. Staff whose connection cannot be demonstrated to the satisfaction of the REF manager, as advised by the relevant panel, will be discounted from the assessment and removed from the REF database.

e. Staff absent from their 'home' institution but working on secondment as contracted academic staff at another UK higher education institution on the census date, may be returned by either or both institutions. In such a case the individual and both institutions concerned should agree how the return is to be made. Their total FTE may not exceed their contracted FTE with their main employer.

f. Other than individuals on secondment on the terms described in sub-paragraph e, an individual may only be returned as Category A by more than one HEI if they have a contract with and receive a salary from more than one HEI. In such cases:

i. The two HEIs must ensure that the total FTE value of the individual sums to no more than the lower of 1.0 or the individual's total contracted FTE duties. If any individual is returned in submissions with a contracted FTE that sums to more than 1.0, the REF team will rectify this through verification, and will apportion the FTE to each HEI pro-rata to the individual's contracted FTE at each HEI.

- ii. The same research outputs may, but need not be, listed in each submission.
- g. No individual may be returned in more than one submission, except as described at sub-paragraphs e and f. Where an individual holds a joint appointment across two or more submitting units within the same institution, the HEI must decide on one submission in which to return the individual.
- h. Staff whose salary is calculated on an hourly or daily basis are eligible only if they meet the definition at paragraph 78 and on the census date have a contract of employment of at least 0.2 FTE per year over the length of their contract.
- i. Staff who hold more than one contract for different functions within the HEI, are eligible if one of those contracts satisfies the definition of Category A staff at paragraph 78. Such staff should be returned with an FTE that is no greater than that of the qualifying contract.

Research assistants

80. Research assistants are individuals who are on the payroll of and hold a contract of employment with the institution. They are academic staff whose primary employment function is defined as 'research only'. They are employed to carry out another individual's research programme rather than as independent researchers in their own right (except in the circumstances described in paragraph 81). They are usually funded from research grants or contracts from Research Councils, charities, the European Union (EU) or other overseas sources, industry, or other commercial enterprises, but they may also be funded from the institution's own funds. Individuals who meet this definition may be described in HEIs' grading structures as something other than research assistant (for example research associate, assistant researcher).

81. Research assistants, as defined in paragraph 80, are not eligible to be returned to the REF unless, exceptionally, they are named as principal investigator or equivalent on a research grant or significant piece of research work on the census date and satisfy the definition of Category A staff in paragraph 78. Research assistants must not be listed as Category A staff purely on the basis that they are named on one or more research outputs.

Category C staff

82. Category C staff are defined as individuals employed by an organisation other than an HEI, whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit on the census date (31 October 2013).

83. Category C staff may be employed by the NHS, a Research Council unit, a charity or other organisation except for an HEI. Submitted outputs by Category C staff will inform the quality profiles awarded to submissions, but these staff will not contribute to the volume measure for funding purposes. For clarity, the following are not eligible to be returned as Category C staff:

- a. Any staff employed by the HEI, including vice-chancellors or heads of HEIs; HEI staff on non-academic contracts, including those working in university museums and libraries; or retired staff who are still active in research. (Where they

satisfy the definition at paragraph 79i or, for retired staff, paragraph 79b, these staff are eligible to be returned as Category A staff.)

- b. Visiting professors, fellows and lecturers employed by other HEIs.

Guidance on individual staff circumstances: Extract from [REF 01.2012](#) Panel criteria and working methods

Paragraphs 64 to 91

64. Up to four research outputs must be listed against each member of staff included in the submission. A maximum of four outputs per researcher will provide panels with a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs. Consultations on the development of the REF confirmed that this is an appropriate maximum volume of research outputs for the purposes of assessment.

65. As a key measure to support equality and diversity in research careers, in all UOAs individuals may be returned with fewer than four outputs without penalty in the assessment, where their individual circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period. This measure is intended to encourage institutions to submit all their eligible staff who have produced excellent research.

66. HEIs are allowed to list the maximum of four outputs against any researcher, irrespective of their circumstances or the length of time they have had to conduct research. A minimum of one output must be listed against each individual submitted to the REF.

67. In order to provide clarity and consistency on the number of outputs that may be reduced without penalty, there will be a **clearly defined** reduction in outputs for those types of circumstances listed at paragraph 69a. Circumstances that are more **complex** will require a judgement about the appropriate reduction in outputs; these are listed at paragraph 69b. Arrangements have been put in place for complex circumstances to be considered on a consistent basis, as described at paragraphs 88-91.

68. Where an individual is submitted with fewer than four outputs and they do not satisfy the criteria described at paragraphs 69-91 below, any 'missing' outputs will be graded as 'unclassified'.

69. Category A and C staff may be returned with fewer than four outputs without penalty in the assessment, if one or more of the following circumstances significantly constrained their ability to produce four outputs or to work productively throughout the assessment period:

- a. Circumstances with a **clearly defined** reduction in outputs, which are:
 - i. Qualifying as an early career researcher (on the basis set out in paragraph 72 and Table 1 below).
 - ii. Absence from work due to working part-time, secondments or career breaks (on the basis set out in paragraphs 73-74 and Table 2 below).
 - iii. Qualifying periods of maternity, paternity or adoption leave (on the basis set out in paragraphs 75-81).

- iv. Other circumstances that apply in UOAs 1-6, as defined at paragraph 86.
- b. **Complex circumstances** that require a judgement about the appropriate reduction in outputs, which are:
- i. Disability. This is defined in 'guidance on submissions' [\[REF 02.2011\]](#) Part 4, Table 2 under 'Disability'.
 - ii. Ill health or injury.
 - iii. Mental health conditions.
 - iv. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowances made in paragraph 75 below.
 - v. Other caring responsibilities (such as caring for an elderly or disabled family member).
 - vi. Gender reassignment.
 - vii. Other circumstances relating to the protected characteristics listed at paragraph 190 of 'guidance of submissions' [\[REF 02.2011\]](#) or relating to activities protected by employment legislation.

Clearly defined circumstances

70. Where an individual has one or more circumstances with a clearly defined reduction in outputs, the number of outputs that may be reduced should be determined according to the tables and guidance in paragraphs 72-86 below. All sub-panels will accept a reduction in outputs according to this guidance and will assess the remaining number of submitted outputs without any penalty.

71. In REF1b, submissions must include sufficient details of the individual's circumstances to show that these criteria have been applied correctly. The panel secretariat will examine the information in the first instance and advise the sub-panels on whether sufficient information has been provided and the guidance applied correctly. The panel secretariat will be trained to provide such advice, on a consistent basis across all UOAs. Where the sub-panel judges that the criteria have not been met, the 'missing' output(s) will be recorded as unclassified. (For example, an individual became an early career researcher in January 2011 but only one output is submitted rather than two. In this case the submitted output will be assessed, and the 'missing' output recorded as unclassified.)

Early career researchers

72. Early career researchers are defined in paragraphs 85-86 of 'guidance on submissions' *[See Appendix E to this Code of Practice]*. Table 1 sets out the permitted reduction in outputs without penalty in the assessment for early career researchers who meet this definition.

Table 1 Early career researchers: permitted reduction in outputs

Date at which the individual first met the REF definition of an early career researcher:	Number of outputs may be reduced by up to:
On or before 31 July 2009	0
Between 1 August 2009 and 31 July 2010 inclusive	1
Between 1 August 2010 and 31 July 2011 inclusive	2
On or after 1 August 2011	3

Absence from work due to part-time working, secondments or career breaks

73. Table 2 sets out the permitted reduction in outputs without penalty in the assessment for absence from work due to:

- a. part-time working
- b. secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.

Table 2 Part-time working, secondments or career breaks: permitted reduction in outputs

Total months absent between 1 January 2008 and 31 October 2013 due to working part-time, secondment or career break:	Number of outputs may be reduced by up to:
0-11.99	0
12-27.99	1
28-45.99	2
46 or more	3

74. The allowances in Table 2 are based on the length of the individual's absence or time away from working in higher education. They are defined in terms of total months absent from work. For part-time working, the equivalent 'total months absent' should be calculated by multiplying the number of months worked part-time by the full-time equivalent (FTE) **not** worked during those months. For example, an individual worked part-time for 30 months at 0.6 FTE. The number of equivalent months absent = $30 \times 0.4 = 12$.

Qualifying periods of maternity, paternity or adoption leave

75. Individuals may reduce the number of outputs by one, for each discrete period of:

- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2008 to 31 October 2013, regardless of the length of the leave.
- b. Additional paternity or adoption leave¹¹ lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.

76. The approach to these circumstances is based on the funding bodies' considered judgement that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the reduction of an output. This judgement was informed by the consultation on draft panel criteria, in which an overwhelming majority of respondents supported such an approach.

77. The funding bodies' decision not to have a minimum qualifying period for maternity leave was informed by the sector's clear support for this approach in the consultation; recognition of the potential physical implications of pregnancy and childbirth; and the intention to remove any artificial barriers to the inclusion of women in submissions, given that women were significantly less likely to be selected in former RAE exercises.

78. The funding bodies consider it appropriate to make the same provision for those regarded as the 'primary adopter' of a child (that is, a person who takes statutory adoption leave), as the adoption of a child and taking of statutory adoption leave is generally likely to have a comparable impact on a researcher's work to that of taking maternity leave.

79. As regards additional paternity or adoption leave, researchers who take such leave will also have been away from work and acting as the primary carer of a new child within a family. The funding bodies consider that where researchers take such leave over a significant period (four months or more), this is likely to have an impact on their ability to work productively on research that is comparable to the impact on those taking maternity or statutory adoption leave.

80. While the clearly defined reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave can be taken into account as follows:

- a. By seeking a reduction in outputs under the provision for complex circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
- b. By combining the number of months for shorter periods of such leave in combination with other clearly defined circumstances, according to Table 2.

81. Any period of maternity, adoption or paternity leave that qualifies for the reduction of an output under the provisions in paragraph 75 above may in individual cases be associated

¹¹ 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF we refer to this leave as 'additional paternity or adoption leave'.

with prolonged constraints on work that justify the reduction of more than one output. In such cases, the circumstances should be explained using the arrangements for complex circumstances.

Combining clearly defined circumstances

82. Where individuals have had a combination of circumstances with clearly defined reductions in outputs, these may be accumulated up to a maximum reduction of three outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

83. Where Table 1 is combined with Table 2, the period of time since 1 January 2008 up until the individual met the definition of an early career researcher should be calculated in months, and Table 2 should be applied.

84. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously. (For example, an individual worked part-time throughout the assessment period and first met the definition of an early career researcher on 1 September 2009. In this case the number of months 'absent' due to part-time working should be calculated from 1 September 2009 onwards, and combined with the reduction due to qualifying as an early career researcher, as indicated in paragraph 83 above.)

85. Where an individual has a combination of circumstances with a clearly defined reduction in outputs **and** complex circumstances, the institution should submit these collectively as 'complex' so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. Those circumstances with a clearly defined reduction in outputs should be calculated according to the guidance above (paragraphs 72-84).

Other circumstances that apply in UOAs 1-6

86. In UOAs 1-6, the number of outputs may be reduced by up to two, without penalty in the assessment, for the following:

- a. Category A staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 October 2013.
- b. Category C staff who are employed primarily as clinical, health or veterinary professionals (for example by the NHS), and whose research is primarily focused in the submitting unit.

87. These allowances are made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. The reduction of two outputs takes account of significant constraints on research work, and is normally sufficient to also take account of additional circumstances that may have affected the individual's research work. Where the individual meets the criteria at paragraph 86, and has had significant additional circumstances – for any of the

reasons at paragraph 69 – the institution may return the circumstances as ‘complex’ with a reduction of three outputs, and provide a justification for this.

Complex circumstances

88. Where staff have had one or more complex circumstances – including in combination with any circumstances with a clearly defined reduction in outputs – the institution will need to make a judgement on the appropriate reduction in the number of outputs submitted, and provide a rationale for this judgement.

89. As far as is practicable, the information in REF1b should provide an estimate – in terms of the equivalent number of months absent from work – of the impact of the complex circumstances on the individual’s ability to work productively throughout the assessment period, and state any further constraints on the individual’s research work in addition to the equivalent months absent. A reduction should be made according to Table 2 in relation to estimated months absent from work, with further constraints taken into account as appropriate. To aid institutions the Equality Challenge Unit (ECU) will publish worked examples of complex circumstances, which will indicate how these calculations can be made and the appropriate reduction in outputs for a range of complex circumstances. These will be available at www.ecu.ac.uk/our-projects/REF from February 2012.

90. All submitted complex circumstances will be considered by the REF Equality and Diversity Advisory Panel (EDAP), on a consistent basis across all UOAs. The membership and terms of reference of the EDAP are available at www.ref.ac.uk under Equality and diversity. The EDAP will make recommendations about the appropriate number of outputs that may be reduced without penalty to the relevant main panel chairs, who will make the decisions. The relevant sub-panels will then be informed of the decisions and will assess the remaining outputs without any penalty.

91. To enable individuals to disclose the information in a confidential manner, information submitted about individuals’ complex circumstances will be kept confidential to the REF team, the EDAP and main panel chairs, and will be destroyed on completion of the REF (as described in ‘guidance on submissions’, [\[REF 02.2011\]](#) paragraphs 98-99).

**REF definition of ‘early career researchers’ (ECRs): Extract from [REF 02.2011](#)
Assessment framework and guidance on submissions**

Paragraphs 85 to 86

85. Early career researchers are defined as members of staff who meet the criteria to be selected as Category A or Category C staff on the census date, **and** who started their careers as independent researchers on or after 1 August 2009. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:

- a. 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**
- b. They undertook independent research, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work. (A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.)

86. The following do **not** meet the definition of an ECR (this list is not exhaustive):

- a. Staff who first acted as an independent researcher while at a previous employer – whether another HEI, business or other organisation in the UK or elsewhere – before 1 August 2009, with a contract of 0.2 FTE or greater.
- b. Staff who first acted as an independent researcher before 1 August 2009 and have since had a career outside of research or an extended break from their research career, before returning to research work. Such staff may reduce the number of outputs submitted according to paragraph 69a.ii. (career breaks) [REF 01.2012 – see Appendix D of this Code of Practice].
- c. Research assistants who are ineligible to be returned to the REF, as defined in paragraphs 80-81 [REF 02.2011 – see Appendix C of this Code of Practice].

REF definition of ‘junior clinical academics’: Extract from [REF 01.2012](#) Panel criteria and working methods Paragraph 86

86. Category A staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 October 2013.

CONFIDENTIAL**ICR REF 2014 Individual Staff Circumstances Disclosure Form**

A **signed hard copy** should be returned to Neil Walford, Training and Development Manager, HR, Sir Richard Doll Building, Sutton Campus, **marked as Strictly Confidential and Addressee Only**. The final deadline is **22 March 2013** prior to the final 2013 selection exercise.

Introduction

The normal expectation is that every individual submitted for the REF will be able to offer four outputs for assessment. However, in order to support equality and diversity in research careers, the REF guidance allows for individuals to be returned with fewer than four outputs without penalty in the assessment where their circumstances have significantly constrained their ability to produce four outputs or to work productively throughout the assessment period. An individual's work must have been affected by one or more of the circumstances defined in the REF guidance. These circumstances are divided into:

- clearly defined circumstances: relating to qualifying as an early career researcher; absence from work due to working part-time, secondments or career breaks; qualifying periods of maternity, paternity or adoption leave; qualifying as staff who are junior clinical academics; Category C staff who are employed as clinical or health professionals.
- complex circumstances: relating to disability; ill health or injury; mental health conditions; constraints relating to pregnancy, maternity, adoption or childcare that fall outside of – or justify the reduction of further outputs in addition to – the arrangements for clearly defined circumstances; other caring responsibilities; gender reassignment; other circumstances relating to the protected characteristics or activities protected by legislation.

The ICR Code of Practice on the selection of staff for REF 2014 sets out the full guidance on relevant individual staff circumstances, the ICR's process for considering them and who will see the information you provide. This form must be completed with reference to the Code, particularly paragraphs 33 to 44 and Appendix D.

This form provides the opportunity for you to identify and provide details of one or more staff circumstances during the period 1 January 2008 to 31 October 2013 which may have prevented you from publishing four suitable outputs for the REF submission within the assessment period. Its completion is voluntary but it is the only formal method to report individual circumstances for the REF and no other approach will be considered. The form is confidential and you do not need to consult with your Head of Division(s) or team leader. The information will, where possible, be validated by HR and if necessary you will be required to provide documentary verification.

If you need any advice on completing the form or the guidance please contact Neil Walford, Training and Development Manager (Neil.Walford@icr.ac.uk).

Please would you complete the form and send a **signed hard copy** to Neil Walford, marked as Strictly Confidential and Addressee Only at the above address **by 22 March 2013**. Decisions on the applications will be communicated to individual researchers by mid April.

ICR REF 2014 Individual Staff Circumstances Disclosure Form

Name:	
Division(s):	

Please provide information required on relevant circumstance/s and expand the box or continue onto a separate sheet of paper if necessary. The information must be based on verifiable evidence which you may be required to provide.

1. 'Clearly defined' circumstances

Early career researcher (started career as an independent researcher on or after 1 August 2009) (For definition see Appendix E of the Code of Practice)	Please state the date on which you became an early career researcher and attach a CV. Further details may be requested.
Information:	

Junior clinical academic staff who have not gained Certificate of Completion of Training by 31 October 2013 (For definition see Appendix E of the Code of Practice)	Please place a tick in this box if the circumstance applies: <input type="checkbox"/>
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Part time employee	Please provide details of the dates of your part-time working during the period 1 January 2008 and 31 October 2013 and your full-time equivalent (FTE) during those months
Information:	

Career break or secondment outside of the higher education sector	Please provide dates of your career break or secondment during the period 1 January 2008 and 31 October 2013
Information:	

Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	For each period of leave please state which type of leave was taken and the dates and duration in months
Information:	

2. Other 'complex' circumstances

Please tick as appropriate – note that more than one box can be ticked – and provide details of the nature and timing of the circumstances, the effects on your contracted working hours or ability to fulfil your contractual hours, and any other effects on your ability to work productively.

- Disability**
- Mental health condition**
- Ill health or injury**
- Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken.**
- Other caring responsibilities (including caring for an elderly or disabled relative)**
- Gender reassignment**
- Other circumstances relating to characteristics protected by equality legislation.**

Information (expand as necessary or continue on a separate sheet)

Please confirm the following:

- I confirm that the information provided is a true and accurate description of my circumstances.**
- I recognise that the information provided will be used for REF purposes and will be seen by the ICR individuals identified in paragraph 38 of the REF Code of Practice.**

I understand that if I am submitted to the REF it will be necessary to share information as follows:

- For clearly defined circumstances: UK funding bodies' REF team, relevant REF panel members and the REF panel secretariat;
- For complex circumstances: the UK funding bodies' REF team, the UK funding bodies' REF Equality and Diversity Advisory Panel (EDAP) and the main panel A chair.

(see paragraph 41 of the Code of Practice).

I understand that if the information provided is used for the REF submission, it will need to be verified.

Signature: Date:
(Staff member)

Glossary

ECU	Equality Challenge Unit
ECR	Early career researcher (see Appendix E)
EDAG	The REF's Equalities and Diversity Advisory Group
EDAP	The REF's Equalities and Diversity Advisory Panel
EIA	Equality impact assessment
ESB (ICR)	Executive Strategy Board
Faculty (ICR)	Equivalent to academic staff in REF terminology (includes CDFs)
FTE	Full-time equivalent
HEFCE	Higher Education Funding Council for England
HEI	Higher education institution
HESA	Higher Education Statistics Agency
Output	Normally a publication at the ICR but other outputs such as patents are eligible – see part 2A, para.27 of REF 01.2012
RAE	Research Assessment Exercise
REF	Research Excellence Framework
REF1a/b/c	REF submission forms relating to individuals in post on the census date of 31 October 2012 and selected by the institution for submission.
REFWG (ICR)	REF Working Group
UOA	Unit of assessment