

**King's College London**

**Research Excellence Framework (REF)**  
**Code of Practice:**

**Selection of Staff for Submission**

**FINAL VERSION 01 AUGUST 2012**

## King's College London

### Research Excellence Framework (REF) Code of Practice: Selection of Staff for Submission

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## **1. Introduction**

1.1 Every institution making a submission to the Research Excellence Framework (REF) is required to develop, document and apply a code of practice on selecting staff to include in their REF submissions, and on making the submission, the Head of Institution is required to confirm adherence to the code. This document constitutes the formal Code of Practice on the Selection of staff for submission of King's College London and is the document that will be applied to the selection process for REF 2014.

1.2 The Code of Practice was drafted by the Head of Research and Graduate School Support with significant input from the College Equality and Diversity section. It was discussed by the College Research Committee on two occasions and widely circulated to staff within the College in advance of its formal approval in principle by Academic Board on 18 April 2012. Further information on the consultation process undertaken in advance of approval of the Code is provided in Appendix 1 with regard to the Equality Impact Assessment undertaken. The Code of Practice has been placed on the College intranet and will be made available in accessible formats for the visually impaired.

1.3 Programme of communications: The final version of the Code of Practice will be disseminated to staff via the College's usual internal communications channels, to ensure that there is broad awareness of the Code across the College and of how it will be implemented at King's. This will be accompanied by a document setting out the changes from the original version of the Code and their implications. These channels include:

- (a) The College's Academic Board and College Committee will receive the final version along with an update on the changes made from the first version;
- (b) an all-staff email will be sent from the Principal and cascaded via Heads of School;
- (c) targeted communication will be made to School and UoA leads, and the Research Support team
- (d) the Principal will provide updates at his termly open meetings for staff
- (e) an article will be placed in the College's ezine, which is circulated to all staff by email;
- (f) the Code of Practice will be placed in a prominent position on the dedicated intranet pages for the REF
- (g) a comprehensive training programme for key staff involved in the REF will take place during October-December 2012, at which key aspects of the Code of Practice will be highlighted, to ensure that its principles are firmly embedded in the procedures and practices leading up to the submission.

1.4 The first stage of the College's Equality Impact Assessment was carried out under the advice of the College's Equality and Diversity Unit during March and April 2012 and a summary of the responses received and action taken in response is included in the completed Equality Assessment template, which will be published alongside the Code of Practice on the College intranet. A further set of actions will be carried out throughout the assessment process as set out in the timetable which is attached as **Appendix 1**.

1.5 The Research Excellence Framework is a process of expert review. It is a single framework for assessment across all disciplines, governed by the following principles: equity, equality and transparency.

1.6 In the Assessment Framework and Guidance on Submissions, the UK Higher Education funding bodies state their commitment to supporting and promoting equality and diversity in research careers and strongly encourage institutions to submit the work of all their excellent researchers.

## **2. Equality and Diversity**

2.1 King's College London is committed to equality of opportunity, and the College's Equality and Diversity statement (approved October 2010) states:

2.2 ***King's College London recognises that equality of opportunity and the recognition and promotion of diversity are integral to its academic and economic strengths.***

***The following principles apply in respect of the College's commitment to equality and diversity:***

- To provide and advance equality of opportunity in all areas of its work and activity
- To recognise and develop the diversity of skills and talent within its current and potential community
- To ensure that all College members and prospective members are treated solely on the basis of their merits, abilities and potential without receiving any unjustified discrimination or unfavourable treatment because of a protected characteristic
- To provide and promote a positive working, learning, and social environment which is free from prejudice, discrimination and any forms of harassment, bullying or victimisation
- To foster good relations between individuals from different groups and tackle prejudice and promote understanding.

The full statement can be viewed at

[http://www.kcl.ac.uk/college/policyzone/assets/files/governance\\_and\\_legal/Equality\\_and\\_Diversity\\_Statement.pdf](http://www.kcl.ac.uk/college/policyzone/assets/files/governance_and_legal/Equality_and_Diversity_Statement.pdf)

2.3 As an employer and a public body, the College must ensure that the procedures and policies in place for the REF do not discriminate unlawfully against individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation, pregnancy or maternity. The College also notes that fixed-term employees and part-time workers have the right not to be treated any less favourably than the employer treats comparable employees on open contracts or full-time workers.

2.4 The College objective in preparing and submitting to the REF is to operate a process that is consistent, fair, open and transparent and it will carry out this process to ensure that excellent researchers are submitted to the REF in accordance with defined criteria and without regard to any matter other than excellent research and the coherence of the submission. The College has a responsibility to prepare and submit the strongest submission possible, both academically and in order to facilitate the best possible financial outcome, and this means that decisions will have to be made on what constitutes the best possible submission in the circumstances.

2.5 The national guidance that should be followed when preparing for the REF can be found at <http://www.ref.ac.uk/pubs/>

### **3. *Responsibility for the conduct of the College's preparations and submission***

#### **3.1 *General***

The arrangements for the management and governance of the REF are those that are in place to manage and govern the College as a whole. Ultimate responsibility for the College's submission to the REF rests with the Principal, advised by the Principal's Central Team. Submission to the REF is based on a group of individual submissions to Units of Assessment. However, in accordance with the College's research strategy, the configuration of the submissions across the different Units of Assessment and final decisions on the inclusion or otherwise of staff must be undertaken to demonstrate to the full the College's research strengths, that will sustain its reputation as a centre of international excellence, and secure the funding necessary to support future research. A set of guiding principles can be found at **Appendix 2** and a flow chart indicating levels and areas of responsibility within the College is attached as **Appendix 3**.

#### **3.2 *Institutional responsibility***

Chris Mottershead, Vice-Principal (Research and Innovation), has overall responsibility for the College submission. A REF Co-ordinating Group, chaired by the Vice-Principal, has been established to oversee the College's preparations and monitor progress towards the final

submission. The terms of reference and membership of the Group can be found as **Appendix 4**. The Co-ordinating Group is responsible to the Principal via the Principal's Central Team and is composed of senior officers and managers who have responsibility for research governance and management within the College.

3.3 The College Research Committee will have responsibility for the oversight of policy and governance matters relating to the REF including the approval of the Code of Practice.

3.4 The co-ordination of the REF will be undertaken by the Research Management Directorate under the leadership of the Director of Research Management, Keith Brennan, keith.brennan@kcl.ac.uk. The central administrative lead and REF institutional contact is Nicola Sainsbury, Head of Research and Graduate School Support, nicola.sainsbury@kcl.ac.uk. The College Research Support Team will oversee the co-ordination of administrative aspects of the REF.

### 3.5 *Special Circumstances Review Group*

The College is committed to making a submission that includes all academic staff who produce excellent research. This includes those who may have been prevented from producing four research outputs within the period due to one or more circumstances. The College has established a Special Circumstances Review Group, which will have institutional responsibility for considering all instances where an individual is to be submitted with fewer than the required four publications. Its full terms of reference and membership are attached as **Appendix 5**.

### 3.6 *Training and preparation*

All named staff or committee members with a role described within the Code of Practice that involves decisions relating to the selection of staff, at institutional, School or Unit of Assessment level will have undertaken training or briefing sessions about the REF process and equality and diversity, appropriate to their role. This training will take place during October to December 2012. A summary of the training/ briefing sessions undertaken and information on those who have attended will be available on the College REF web site.

### 3.7 *School level*

The preparations of submissions will take place at departmental, divisional, School and inter-school level, in line with the overall framework provided here, and following the procedures outlined in the statements to be provided for each School as **Appendix 6** to the Code of Practice. For each Unit of Assessment, a lead will be nominated, who will be responsible for ensuring that the strongest possible submission is put together and for co-ordinating the various aspects of the submission. The role description for Unit of Assessment leads is provided below. A full list of leads at the various levels within the institution will be available on the College REF website.

3.8 As a general principle, those responsible for preparing the submissions will be heads of division or department, heads of school and heads of research, supported by a group within a school or group of schools. The majority therefore will already be in positions of responsibility. In no instance will the preparation of the submission or decisions on inclusion or exclusion be taken by a single individual.

3.9 The Head of School or his/her designate or the academic lead for each School will be responsible for:

1. The co-ordination of the development of REF submissions for the Unit(s) of Assessment within their jurisdiction and for recommending the submissions to the Vice-Principal (Research and Innovation). They will be responsible for indicating to the Vice-Principal those staff who should not be included in the submission.
2. Ensuring that the process is carried out in accordance with the framework and policies established by the College and as set out within the Code of Practice. This includes the policies and processes in place for dealing with special circumstances that may prevent an individual having produced four research outputs within the REF census period.

3.10 The processes to be followed in each School will be provided in a statement included as **Appendix 6** to the Code of Practice.

3.11 The administrative lead for each School will be responsible for:

1. The co-ordination of administrative support to Unit of Assessment leads;
2. Acting as the first point of contact between the College and the School/Unit of Assessment;
3. Ensuring that appropriate and accurate data is collected and input on the staff to be submitted, within the required timescales, with appropriate support from the corporate departments of the College and according to the framework and requirements established by the College. Within that context, and in the context of the responsibilities of academic leads and of individual academics, the administrative leads will be responsible for the collection of data for the submission and for determining its accuracy as far as is possible.

3.12 The detail of the arrangements for each School/group of Schools will be as set out in the statements of intent in the supplement to the Code of Practice.

### 3.13 *Unit of Assessment*

For each Unit of Assessment there will be a designated academic lead whose responsibilities will be as follows:

3.14 Role purpose: **to be responsible for the co-ordination of the submission to the Unit of Assessment as a whole, ensuring that the submission as a whole is as coherent and as strong academically as possible.**

This will involve the following:

- Undertaking the necessary preparation of the submission within the framework and according to the requirements as set out by the College and according to the procedures set out by the School(s), as set out in the College Code of Practice on submission;
- Liaison with and co-ordination of information from the heads of the relevant divisions/departments that make up the Unit of Assessment;
- Drafting or co-ordination of the drafting of the environment statement (form REF4);
- Co-ordination and oversight of the selection of staff for submission. The initial selection will normally be undertaken at divisional/departmental level, and ratified by the School, however the Unit of Assessment lead will have some jurisdiction without being directly involved in the initial discussions.
- Ensuring that the publications selected for assessment are coherent and form the strongest possible submission.
- Reviewing the data that will make up the submission, such as the data on research doctoral degrees awarded and research income.
- Co-ordination of the REF impact case studies to ensure the strongest possible submission and drafting or co-ordination of the drafting of the Unit of Assessment Impact Statement.
- Ensure that policies and processes with regard to equality of opportunity are adhered to.

3.15 Schools may decide to make use of external advisors in the preparation of their REF submission. In cases where it is decided to appoint an external advisor, every effort will be made to find an appropriate individual to carry out this task.

3.16 Research outputs that have not yet been published will be counted amongst an individual's body of research only where there are guarantees that they will be published before the 31 December 2013. Wherever possible, staff should not be reliant on a research output that is not in the public domain before the REF submission date.

### 3.17 Academic Staff

Academic staff are responsible for responding to requests and for providing accurate information when requested on their research outputs, research students, grants or other information in a timely manner when requested.

3.18 Staff are reminded that submissions will be audited by HEFCE and that inaccurate submissions may be discounted and could lead to penalties on the institution. There is therefore an individual and collective responsibility to ensure that the submission is entirely accurate.

## 4. Policies and Guidance on selection and submission.

### 4.1 Overview

Whilst submission to the REF is based around individual Units of Assessment, it should be recalled that the overall submission is an institutional submission and the College retains the right to determine who should be submitted. Submissions must secure the maximum financial return to the College, whilst demonstrating the international excellence of the College's research. Decisions about the configuration and content of submissions need to be made to demonstrate the research strengths of the institution as a whole.

**4.2 It is the College's intention to submit research active academic and eligible research staff who have produced research of appropriate quantity and quality to be submitted to the Research Excellence Framework. This is in accordance with the College Strategy <http://www.kcl.ac.uk/aboutkings/strategy/InvestinginStrength-StrategicReviewfor2011-2016.pdf>. The College is committed to ensuring that all existing and new academic staff perform at a 3\* or 4\* level, and as stated in the strategy, the College has a responsibility to provide the necessary support, just as staff have the responsibility to make the requisite effort to achieve this aim.**

**4.3 It is also expected that, where possible, Units of Assessment should as a minimum progress from what was achieved in RAE 2008 (if relevant) and should attain a grading equivalent to the upper quartile for that discipline nationally. The application of this general rule will vary for different panels and Units of Assessment.**

4.4 Therefore, the expectation is that all staff to be submitted will have the appropriate number of publications depending on their circumstances, and of the quality required to be included in the submission.

### 4.5 Selecting staff for submission

The process to be followed when preparing the College submission to the REF will be as follows:

#### Eligibility

As stated in the REF Guidance on submissions, eligible 'Category A' staff are defined as:

*academic staff with a contract of employment of 0.2 or greater and on the payroll of the submitting Higher Education Institution on the census date (31 October 2013), and whose primary employment function is to undertake either 'research only' or 'research and teaching'.*

4.6 Research assistants are **not** normally eligible to be submitted 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. For the full definitions of eligibility, please refer to paragraphs 78-82 of the REF Assessment Framework and Guidance on Submissions at <http://www.ref.ac.uk/pubs/2011-02/>.

4.7 In the course of preparations for the REF the College will establish which staff are eligible according to the definitions contained within the Assessment Framework and Guidance on Submissions.

4.8 This will include reviewing the status of senior postdoctoral researchers, and determining whether they are eligible in accordance with the definition of eligibility as set out above. The review process will also be undertaken for new potentially eligible staff who arrive at the College before the census date for REF, which is 31 October 2013.

4.9 All eligible Category A staff will receive confirmation in writing from their School as to their inclusion or otherwise in the REF submission. This decision will, apart from in exceptional circumstances, be communicated to staff by **31 May 2013**.

#### 4.10 *Research quality*

In the process of preparing for the REF, each School and Unit of Assessment will review the work of all their eligible staff. As indicated above, it is the expectation of the College that all eligible staff will have produced sufficient research output (depending on their circumstances) of the quality required to be submitted.

4.11 Where it is considered that a member of staff does not have the appropriate number of publications at the required quality (ie 3 and 4\*), they will be informed of this at an early stage, provided with the appropriate support and mentoring to improve their research, and set targets to attain within a specific time period. If this time period expires and it is considered that the individual still has not reached the appropriate standard, then a recommendation will be made to the Vice-Principal (Research and Innovation) that they should not be included in the submission. If the Vice-Principal approves this decision, then the member of staff will be informed of this decision, and may appeal in accordance with the process set out below.

4.12 Decisions taken to exclude staff from the submission will be made based on the quality of the research outputs and contribution to the Unit of Assessment.

#### 4.13 *Special Circumstances*

The College is committed to submitting all eligible staff who undertake research of the required quality, and it is in the interests of all concerned that such staff are submitted to the Research Excellence Framework. This includes staff who, due to various circumstances, have been prevented from producing four research outputs within the REF census period. The College has put in place a process for considering those circumstances in order that they are considered equally and fairly.

4.14 In accordance with the guidance provided at [http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02\\_11add.doc](http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11add.doc), these circumstances include:

- (a) Clearly defined circumstances
  - i. Qualifying as an early career researcher
  - ii. Absence from work due to working part-time, secondments or career breaks
  - iii. Qualifying periods of maternity, paternity or adoption leave
  - iv. Other circumstances that apply in UOAs 1-6, as defined at paragraph 86, which are
    - 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.
- (b) Complex circumstances (circumstances that require a judgement about the appropriate reduction in outputs), which are:
  - i. Disability. This is defined in 'guidance on submissions' 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.
- 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 on submissions' or relating to activities protected by employment legislation.

#### 4.15 Staff on fixed-term appointments and part time employees

The College notes under the Regulations for Fixed term employees and Part-time Workers that were established in 2000, that fixed term employees and part time workers have the right not to be treated any less favourably than staff on open contracts and full time workers. The College is committed to pursuing equality of opportunity for all staff, including those on fixed-term contracts and those who work part-time.

4.16 The College was recently awarded the HR Excellence in Research Award from the European Commission in recognition of our continued work to implement the Concordat to Support the Career Development of Researchers and to supporting researchers' careers and ensuring good working conditions and career development opportunities for researchers. Details of the Concordat implementation action plan, including current policies and practices in place at the College and future work can be found here:

<http://www.kcl.ac.uk/study/pg/school/training/OtherInformation/ImplementationActionPlan.pdf>

A Concordat Action Plan Implementation Working Group comprising senior academic and professional services staff along with research staff from across the College has been set up to oversee this work.

#### 4.17 *The process*

Any member of staff eligible to be submitted to the REF will be encouraged by their Heads of School and Unit of Assessment leads to raise any matters that have prevented them from producing four outputs within the REF census period. Staff are actively encouraged to raise such matters at any time, but in order to allow full consideration of circumstances, the latest that they should be raised is **1 April 2013**.

4.18 Staff are not asked to notify the College of personal circumstances where they have not impacted on the number of research outputs that they have available. However, certain circumstances need to be referenced in the REF submission regardless of whether an individual is to be submitted with fewer than four publications. This includes early career researcher status, and those who work part-time. This information will be identified centrally.

4.19 Any member of staff wishing to flag up any circumstances that have prevented them from producing four outputs should complete the Special Circumstances form which will be available on the College REF website. This form and any additional supporting information will be considered by the Special Circumstances Review Group, which will ultimately determine whether the member of staff can be submitted with fewer than four publications and if so by how many this can be reduced.

4.20 The College will make every attempt to take account of any circumstances of which it is notified and will deal with all such circumstances in strict confidence. Where relevant special circumstances are not notified, it will not be possible to take them into account.

4.21 Where the circumstances are clearly defined, for example where the individual works part-time or is an early career researcher, then the number will be reduced in accordance with the guidance provided by the Funding Council, see

[http://www.hefce.ac.uk/research/ref/pubs/2011/02\\_11/02\\_11add.doc](http://www.hefce.ac.uk/research/ref/pubs/2011/02_11/02_11add.doc) . Where the special circumstances are complex, full consideration will be given in accordance with the advice

provided by the national Equality and Diversity Advisory Group and the Equality Challenge Unit before a decision is taken.

## **5. Complaints and *Appeal process***

### *Introduction*

This section sets out how appeals or complaints will be handled. These complaints could (but do not have to) be on the grounds of a protected characteristic<sup>1</sup> or a work pattern/absence that has not been taken into account. For clarification, wherever this document refers to 'appeal' this should also be taken to include 'complaint'.

5.1 All information received as part of the appeal process will be treated in the strictest confidence.

### *5.2 Grounds for appeal*

An individual may appeal or raise a complaint only on the following grounds:

- (a) where they consider that they have been discriminated against on the grounds of a protected characteristic or a work pattern/absence that has not been taken into account;
- (b) that the process as described in the Code of Practice or School statement has not been followed correctly;
- (c) that decisions were taken at departmental, School or College level without the availability of all relevant information. Where this is the case, reasons why these matters were not raised at the time of the initial decision will need to be provided.

### *5.3 Appeal Panel Terms of reference and membership*

#### *Terms of Reference*

Appeals Panels are responsible directly to the Principal. Their role is to hear and adjudicate on appeals from academic staff with regard to the REF processes.

#### *Membership*

Appeals will be heard by no fewer than three senior members of the College academic staff. The Chair nominated will be a senior member of the College academic staff, approved by the Principal of the College, and will not be involved in the process leading to the appeal. They will normally be the Head of a School other than the one from which the appeal has come.

All appeal panel members will receive appropriate training before hearing any appeals.

A member of staff from Professional Services, not party to the original process leading to the appeal, will provide secretarial support to the Panel.

### *5.4 Procedure*

No later than 30 days after they have been notified of the circumstance about which they wish to appeal or complain, the member of staff will formally notify their intention to appeal by completing a cover sheet (which will be available at the College's REF website) along with the reasons for their appeal in a written statement and attach any supporting information that is available. The statement must indicate under which of the grounds listed above the appeal is made. Staff may obtain the support of their trade union or a colleague in the preparation of their statement.

5.5 The Chair and Secretary of the Appeals panel will consider within five days of receipt of the documentation whether the appeal is eligible on the grounds given in paragraph 5.2 above for appeal. If they deem that the appeal is eligible, a meeting of the appeals panel will be convened. If they consider there is no case to hear because the appeal has not been made under one of the grounds above, they will notify the individual and the appeal will not proceed.

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<sup>1</sup> These are identified in the Equality Act 2010 as age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation

5.6 A date for the appeal to be considered will be set as soon as feasibly possible after determination that the appeal is eligible. This will be in consultation with all parties, so that all are able to attend if they wish. Documentation may be submitted by e-mail or in paper form. The appellant will be advised of the date scheduled for the hearing to take place. Should the appellant wish to attend at the appeal hearing this should be indicated on the Appeal Submission Cover Sheet.

5.7 There is no requirement for the member of staff to personally present information in respect of their appeal at the appeal meeting and the panel in such circumstances will arrive at its decision based on the information provided by the appellant and from other sources as appropriate. If the employee does wish to attend, they may be accompanied by a local trade union representative or colleague if they wish, who may present the matter on their behalf.

5.8 In exceptional circumstances, it will be possible to call witnesses in support of the appeal. If this is the case, this must be notified to the other party in advance of the hearing and the reason for the need to call a witness given.

5.9 Should the Panel consider information other than that provided by the appellant, the appellant will have the opportunity to comment on it prior to a decision being taken by the Appeal Panel.

5.10 The Appeal Panel will normally seek to provide its decision to the Appellant, in writing, within 12 working days of the appeal hearing. If there is likely to be any delay in providing its adjudication, the secretary to the Panel will advise the appellant accordingly.

#### 5.11 *Outcome*

The possible outcomes of the appeal/complaint are:

- (a) to uphold the appeal, either in its entirety or in part, in which case the matter will be referred back to the parties who made the original decision, if appropriate with a recommendation as to how they should proceed;
- (b) to dismiss the appeal.

In either event, reasons for the decision will be put in writing to the appellant.

## **Appendix 1: Summary of Equality Impact Assessment process**

### **King's College London**

#### **REF 2014 Equality Impact Assessment**

The College is required to conduct an equality impact assessment (EIA) on its policy and procedure for selecting staff for the Research Excellence Framework. Given the nature of the selection process, this will be undertaken in several stages. It will be informed and overseen by the College's Equality and Diversity team.

A summary of the Impact Assessment is provided below:

#### **Stage 1 – prior to first submission of Code of Practice (April 2012)**

- Review of the data gathered for the Equality Impact Assessment that was carried out following the submission to RAE 2008 in order to inform REF processes this time and consider any 'lessons learned';
- Completion of College document: Equality Analysis Template, which has the following headings:
  - Responsibility for Equality Analysis;
  - Overall aims of policy or function;
  - Consideration of data and research;
  - Evaluation of impact across the protected characteristics;
  - Consideration of measures to mitigate disproportionate or adverse impact;
  - Making a decision in the light of the data, consultation and practical alternatives;
  - Action plan and timetable for implementation
- Consultation with the following established interest groups: Women's Network; Black and Minority Ethnic (BME) Staff Network; Lesbian, Gay, Bisexual and Transgender (LGBT) Staff Network and the University and College Union.
- Publication of draft Code of Practice in College e-zine with requests for comments and feedback. The e-zine is circulated to all staff and it was published here in order to reach all staff with different protected characteristics, either who do not belong to one of the groups listed above, or for whom there is currently no group or network, for example staff with disabilities.
- The Code of Practice was modified following the feedback received from staff and updated prior to submission at the end of April 2012. A summary of the action taken in response is included in the completed Equality Assessment template, which will be published alongside the Code of Practice on the College intranet.

#### **Stage 2 – during the REF submission period**

- The focus at this stage is on the gathering of relevant data to underpin the Equality Impact Assessment, and on the regular review of the operation of the Code of Practice.
- A data set of staff eligible to be submitted will be produced during the Autumn of 2012 and an analysis will be undertaken of the data by the protected characteristics on which the College currently collects data: gender; age; ethnicity and disability. Information is also available in relation to female academics that have taken maternity leave. The analysis will also include full-time/part-time status and whether staff are on fixed-term or open-ended contracts. The College has very recently begun to collect information relating to gender reassignment, marriage and civil partnership, religion or

belief, and sexual orientation, but the information held is currently very limited and not obligatory. Comparisons will also be made between the data sets of potentially eligible staff and those ultimately deemed eligible, to ensure that discrimination does not occur at that stage.

- In the College Code of Practice, the deadline for informing staff of whether they will be selected for the REF is in normal circumstances 31<sup>st</sup> May 2013. At this point a further equality analysis will be undertaken to seek to establish whether any groups appear to have been disproportionately affected by the College's procedures and policies and any necessary remedial action taken.
- A review of the effectiveness of the operation of the Code of Practice and the Special Circumstances Group will take place in Autumn 2012 and Spring 2013 in order that any further action or modification to practices can take place prior to submission.
- A further review will be undertaken in September 2013 of the data and the operation of the Code of Practice to enable any final remedial action to be taken.

### **Stage 3 – Following the REF submission**

- Following the submission to REF 2014, a further analysis of eligible and submitted staff will be carried out. At this point a review of the operation of the Code of Practice and the Special Circumstances Review Group will also take place, including an analysis of the number and nature of requests for special circumstances to be taken into account. A report will be submitted on this to the College Research Committee and Principal's Central Team, in order that the College may learn from its experience this time for future exercises.

## **APPENDIX 2**

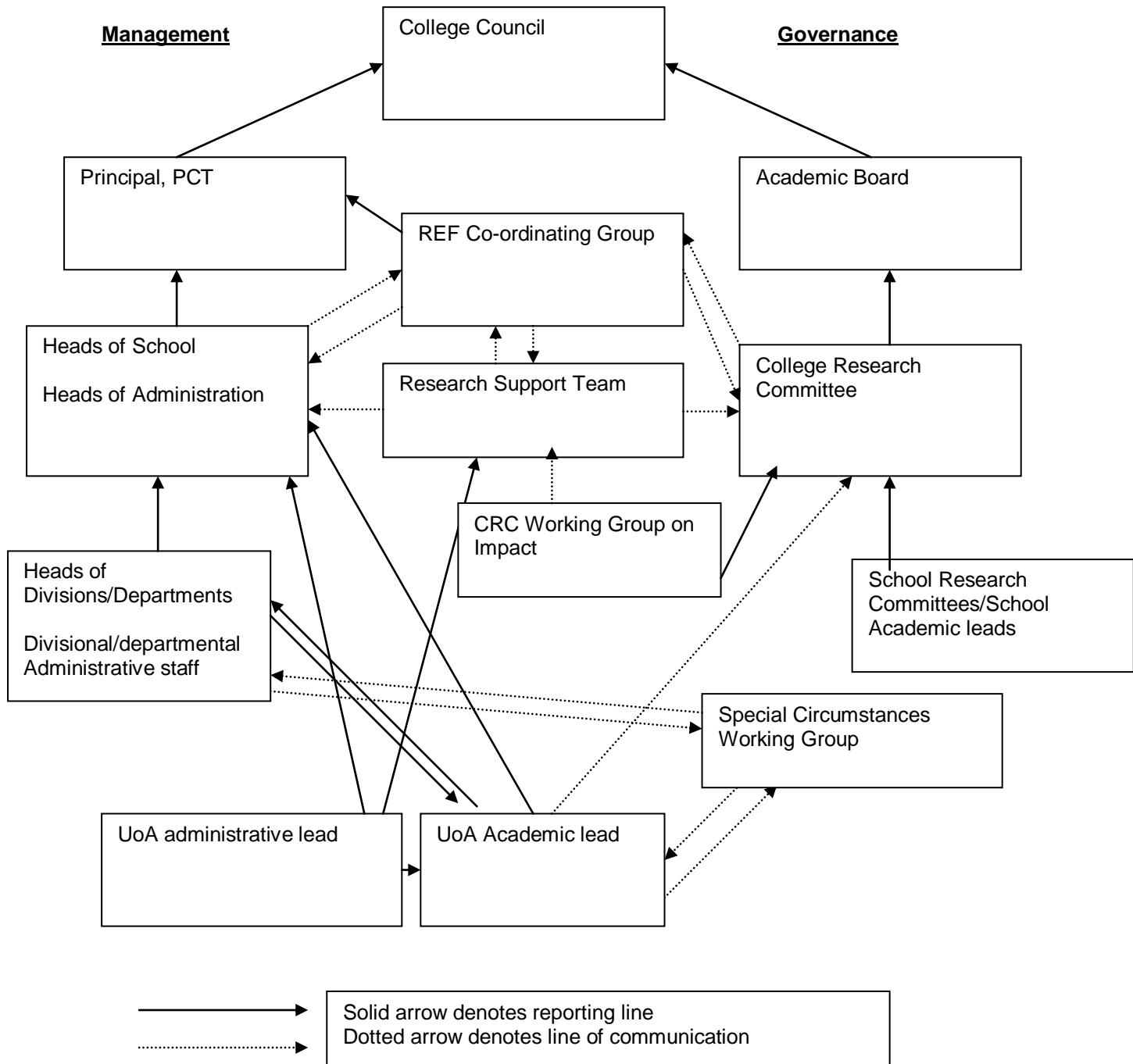
### *Guiding principles on the REF preparation process*

The full process for preparing the College's submission is provided above, but the following are basic principles that will apply to the process as a whole:

- \* Eligible staff who may not be submitted will be informed initially by their School on an informal basis at an early stage, with reasons given, to allow for particular circumstances to be taken into account and to allow an opportunity to improve the situation. This will be carried out as part of normal appraisal and performance management processes.
- \* All eligible Category A staff will receive confirmation in writing as to their inclusion or otherwise in the REF submission. This decision will, apart from in exceptional circumstances, be communicated to staff by 31 May 2013.
- \* Staff will be able to make particular circumstances known to the School, for example any personal circumstances that have adversely affected their ability to produce the four required publications that are normally expected within the assessment period.
- \* Academic staff whom it is decided not to include in submissions may appeal against this decision on the grounds and in accordance with the procedures outlined in this document.
- \* Non-submission to the REF will not in itself affect an individual's career progression prospects within the College.
- \* Each School has provided a statement that sets out the process they will undertake within the framework of the College processes as a whole, to reach a view on whether the research outputs of an individual or research group will be submitted. This will include information on the method by which publications to be submitted will be selected, and on how individual academic staff will have an input into the process.

**APPENDIX 3 - Flow Chart of REF responsibilities and processes**

**College management and governance structure for REF**



## **APPENDIX 4 - Constitution and Terms of Reference of REF Co-ordinating Group**

### **Research Excellence Framework Co-ordination Group**

The REF Co-ordination Group is responsible to the Principal's Central Team and to the College Research Committee.

#### **Terms of Reference**

1. To co-ordinate the College's submission to the Research Excellence Framework.
2. To receive regular reports from Heads of School and Unit of Assessment leads with regard to the progress made towards the development of the submission.
3. To monitor that progress is made and deadlines are met in accordance with the College's REF timetable.
4. To receive advice on and oversee arrangements for ensuring that equalities issues are fully implemented and monitored.
5. To report regularly on progress to the Principal's Central Team and to the College Research Committee.

#### **Membership**

Vice-Principal (Research and Innovation) – Mr Chris Mottershead  
Director, Research Management Directorate – Mr Keith Brennan  
Head, Research and Graduate School Support and REF Institutional Contact – Ms Nicola Sainsbury  
Vice-Principal (Strategy and Developments) – Professor Sir Lawrence Freedman  
Vice-Principal (Arts and Sciences) – Professor Keith Hoggart  
Vice-Principal (Health) – Professor Shitij Kapur



## **APPENDIX 5 - Constitution and Terms of Reference of Special Circumstances Review Group**

### ***Terms of Reference***

- \* To review staff disclosure forms relating to submission to the REF with fewer than four publications, and make recommendations to the relevant Unit of Assessment lead on each case.
- \* For 'clearly defined' circumstances, as defined in the Panel criteria and working methods, the Group will oversee the REF submissions to ensure that decisions have been made in accordance with the tariffs set out in the documentation provided by the funding councils.
- \* To consider all cases of complex individual staff circumstances (where these have impacted on the ability to submit four publications to the REF) and provide a decision to UoA leads on each case on whether the staff member can be submitted with fewer than four publications, and if so, by how many the submission can be reduced.
- \* To advise the College Research Committee, Research Support team and Unit of Assessment leads on general issues relating to equality and diversity aspects relating to the REF.
- \* To advise on the provision of training to staff involved in decisions about the submission of staff.

### **Membership**

Equality Manager/representative from Equality and Diversity Unit (Chair)  
Two senior members of academic staff not directly involved in REF preparations  
(1 from Arts and Sciences, 1 from Health Schools)  
Head of Research and Graduate School Support  
Representative from Human Resources

### **Modus operandi**

All eligible staff members are strongly encouraged to make known to the College where they have individual circumstances that may impact on the number of outputs they can submit to the REF. This will be done by completion of the relevant staff disclosure form.

Staff may discuss their circumstances with the relevant head of department or UoA lead but are not required to do so.

The form may be completed at any time up to 1 April 2013 and should be submitted in accordance with the guidance on the form. Clearly the earlier the forms are submitted, the earlier decisions can be taken.

UoA leads or relevant staff within Schools are able to submit the form on behalf of the individual, provided they have discussed it with them, for example if the individual does not want to submit it themselves but are willing for the circumstances to be considered. If the individual is not willing for their circumstances to be considered, then this will not happen, and if they are submitted, they will need four publications.

The Special Circumstances Review Group will consider forms at regular (monthly) intervals within the REF preparation process, and will advise (a) whether the person can be submitted with fewer than four publications and by how many (if any) the submission can be reduced; or (b) they may require further information.

The Special Circumstances Review Group will not take academic or strategic decisions on the submission or otherwise of staff, they will simply advise on whether the number of publications submitted can be reduced and by how many.

The academic members of the Review Group will be asked to raise any conflicts of interest with regard to any particular matter raised, and will not be involved in those discussions.

The group will treat all information it receives strictly confidentially and will only use the information it has been provided with to take the decisions as outlined above. The information will be retained securely within the Equality and Diversity section/HR until 31 December 2013 and then destroyed. Information will be retained on the overall number and type of circumstances considered, for the purposes of Equality Assessment only, no personal information relating to individuals will be retained.

The Special Circumstances Review Group discussions will be confidential, but regular reports will be made to the College Research Committee and/or the REF Co-ordinating Group on the overall number of cases that have been raised and the outcomes.

## APPENDIX 6 – School statements

### Arts and Humanities

#### **Names and brief description of the role of those involved in the REF decision making process within the School**

The School of Arts and Humanities has created a REF Group, chaired by the Head of Research, Catherine Boyle, who works closely with the School Administrative lead for the REF, Katrin Tiedau. The group is composed of UoA Leads, with some representation by Research and Resources Managers (RRM) and Academic Services Managers in order to allow the flow of information. A further group, composed of School professional services staff, will meet with Katrin Tiedau to organise the management of information.

The personnel involved are:

<b>PANEL D UoA</b>	<b>Discipline</b>	<b>UoA Leads</b>	<b>RRM</b>	<b>ASM</b>
<b>28</b>	Modern Languages & Literatures	David Treece	Dorothy Pearce (also EIS)	Jane Elderton
<b>29</b>	English Language & Literature	Clare Pettitt / Jo McDonagh	Jonathan Laskovsky (English and Comp Lit)	Jane Elderton (also European & International Studies; Comp lit)
<b>30</b>	History	Ian McBride	Michael Broderick (including Centre for Hellenic Studies)	Marie Berry
<b>31</b>	Classics	Henrik Mouritsen	Michael Broderick	Marie Berry
<b>32</b>	Philosophy	Maria Alvarez	Chelo Rodriguez	Marie Berry
<b>33</b>	Theology & Religious Studies	Paul Janz	Chelo Rodriguez:	Marie Berry
<b>35</b>	Music, Drama, Dance & Performing Arts, Communication, Cultural and Media Studies	<b>Music:</b> Roger Parker <b>Film Studies:</b> Sarah Cooper	Stephanie Green: CMCI; Digital Humanities; Film Studies; Music	Rob Witts
<b>36</b>	Library & Information Management	<b>CMCI:</b> Ross Gill <b>DDH:</b> John Lavagnino	Stephanie Green	Rob Witts
	Comparative Literature	Javed Majeed	Jonathan Laskovsky	Jane Elderton
	European and International Studies	HoD: Christoph Meyer	Dot Pearce	Jane Elderton

## **REF UoA LEADS GROUP**

**Membership:** Catherine Boyle (Chair); Katrin Tiedau; Jane Noonan (Minutes); Peter O'Neill (School Impact Office); UOA Leads (as detailed above).

### **Terms of Reference**

1. To oversee the REF submission of the School of Arts and Humanities.
2. To ensure that the School meets College deadlines for the management of the REF.
3. To consider and respond to College documents as appropriate.
4. To work together to prepare all elements of the REF submission, including REF5 and impact case studies and templates.
5. To act as a peer review group for outputs and impact case studies.

## **ASM & RRM REF PREPARATION GROUP**

**Membership:** Katrin Tiedau (Chair); Jane Noonan (Minutes); all RRM and ASMs (as detailed above), Wendy Pank (School Administrator, Strategic Communications, Innovation and Research)

### **Terms of Reference**

1. To act as a key point of reference for UoA administrative preparation for the REF.
2. To ensure the flow of information to facilitate REF preparation.
3. To oversee the management of data, creating effective structures to ensure accuracy.

### **Processes to be followed/processes by which staff will be asked to input into the submissions**

The School will follow closely the College guidelines and deadlines in the preparation of the REF submission.

Staff have been asked to submit their expected outputs and these have received a first grading. The review of these outputs will be undertaken by June 2012, and any residual problems identified.

The Head of School and Head of Research have talked to HoDs about any colleagues who do not have 4 outputs that include a reasonable level of 3\* and 4\* publications and there have been preliminary discussions. Any decision not to submit will be supported through performance management.

The overall goals are a) to aim for 100% submission and b) to manage that against the aim of submitting 3\* and 4\* research.

## School of Law

### **Names and brief description of the role of those involved in the REF decision making process within the School**

A REF working group will be formed within the School of Law to make decisions regarding the submission to the REF for the School. The School expects to make a submission to one UoA only: UoA 20 – Law.

The Terms of Reference for the working group are as follows:

1. To co-ordinate the School's submission to UoA 20 of the Research Excellence Framework
2. To ensure data for REF1a/c research staff and REF4a/b/c environment data is correctly submitted
3. To ensure that REF1b individual circumstances data is correctly submitted, and that staff in the School with complex circumstances are considered appropriately
4. To make recommendations to the Vice-Principal (Research and Innovation) as to which eligible staff should be submitted under REF2, and to co-ordinate activities to ensure staff are assessed for inclusion appropriately
5. To decide which outputs should be submitted in REF2
6. To co-ordinate activities to develop case studies for inclusion in REF3b, and to liaise with external advisory groups regarding the development of the case studies
7. To produce the REF5 research environment template and REF3a impact template
8. To report regularly on progress to the Head of School, the College REF Co-ordinating Group, the College Research Committee and the Research Support Team

Membership of the working group will be as follows:

Professor Penny Green (Chair)	Head of Research, School Academic Lead
Professor Timothy Macklem (Deputy)	Head of School
Professor Paul Matthews	
Professor Jeremy Horder	
Dr Tanya Aplin	For discussions around Environment Template only
Ms Lindsey McBrayne** (Secretary)	School Research Committee secretary
Mr Martin Laing (in attendance)	

\* Academic lead for UoA 20

\*\* Administrative lead for UoA 20

### **Process to be followed in preparation of submissions.**

The guiding principles for developing the REF submission within the School will be the same as for the College, ie excellent research; a coherent submission; the best financial outcome. Given these principles some strategic decisions may need to be taken about how to develop an appropriate submission.

#### *Selection of staff and research outputs*

This will be informed by a REF reading group which will feed back to the REF working group on the quality of the School's outputs. All dates specified in the College Code of Practice on the selection of staff for submission will be adhered to; these include dates for informing staff that they are eligible and whether or not they have been recommended for selection. For further details see section 3 below.

#### *Impact case studies and impact template*

The School has engaged the services of RAND to support and advise on the selection and development of impact case studies, and also to advise on the content of the impact template. This includes the critical review by RAND of case studies selected by the REF working group. RAND are due to deliver their final report by end June 2012. The case studies and impact template will be finalised by the REF working group.

#### *Environment template*

This will be drafted by the Deputy Head (Research) with support and input from the membership of the REF working group.

#### *Data*

The administrative lead for the UoA will ensure that appropriate and accurate data is collected and submitted.

**Processes by which staff will be asked to input into the submissions and by which they will be informed of any decisions.**

The School's REF working group will adhere to the College's Code of Practice on the Selection of Staff for Submission in its selection process and to King's commitment to equality of opportunity; it will be mindful of the REF's governing principles of equity, equality and transparency. Members of the committee will attend relevant equalities training and briefing sessions. The working group will adhere to the College's Code of Practice in its timetable for informing staff of their eligibility and whether they will be recommended for inclusion in the REF submission.

In 2011 the School convened a REF reading group to consider the quality of outputs in the School. This reading group comprised staff at King's and other law schools who had been on the relevant panel in RAE2008 and who had a range of expertise in the relevant areas of legal research. Each member of staff in the School was asked to submit what they considered to be their four best outputs since RAE2008, and the appropriate member of the reading group (depending on area of research) read the outputs and provided feedback. The Head of School and Deputy Head (Research) then met with each member of staff to discuss their feedback and if necessary to provide guidance as to how their outputs could be developed in future to increase their quality to 3\* or 4\*. If there were serious concerns the Head of School and Deputy Head (Research) set the relevant member of staff clear guidelines as to what was expected of them and within what timescale.

A new reading group will be convened later this year with the aim of again reading the best outputs the School has produced since RAE2008, and the feedback gained from the process will inform decisions regarding staff inclusion or non-inclusion in the REF. Every output will be read by two members of this reading group. Decisions about inclusion will be made by the School's REF working group; some decisions may be taken by the Head of School and Deputy Head (Research) where it is impractical or inappropriate for the full working group to make the decision (for example, where a decision is being taken about the inclusion of a working group member, or where a member of staff concerned has personal circumstances of a sensitive nature).

The new reading group gives all staff another opportunity to submit their best quality research for advice and consideration. For some staff this will relate to the submission of improved outputs based on feedback given from the first REF reading group. Where no improvement has been made to these outputs, and no new pieces of high quality research are submitted, then the working group will recommend non-inclusion of the staff member's research to the Vice Principal (Research and Innovation)

Staff eligible for submission will be encouraged, where relevant, to make any personal circumstances that have affected their ability to produce 4 outputs of appropriate quality known to the School within the timescale given in the College's Code of Practice. Such staff will be considered by the College's Special Circumstances Group and that Group's recommendations will inform the working group's decisions about staff inclusion in submission.

If staff are not selected for inclusion they will be made aware of the appeals process as outlined in the College Code of Practice.

## School of Natural and Mathematical Sciences

### **Names and brief description of the role of those involved in the REF decision making process within the School.**

School-level responsibilities:

Academic lead:	Professor Mike Walker (Head of School)
Impact Co-ordinator:	Professor Derek Long
Professional Services lead:	Mrs Rosie Smith (Head of Administration)
Professional Services support:	Mr Paul Keeling

Unit of Assessment\* academic leads

UoA 9 – Physics:

Chair of Department Research Committee (Professor David Richards) – Principal

UoA lead

Head of Theoretical Physics & Cosmology Group (Professor John Ellis)

Head of Materials & Molecular Modelling Group (Professor Mark van Schilfgaarde)

Head of Experimental Biophysics & Nanotechnology Group (Professor Anatoly

Zayats)

UoA 10 – Mathematical Sciences:

Head of Department (Professor Jurgen Berndt) – Principal UoA lead

Head of Analysis Group (Professor Adrian Constantin)

Head of Disordered Systems Group (Professor Peter Sollich)

Head of Financial Mathematics Group (Professor Damiano Brigo)

Head of Geometry Group (Professor Simon Salamon)

Head of Number Theory Group (Professor Fred Diamond)

Head of Theoretical Physics Group (Professor Peter West)

UoA 11 – Computer Science and Informatics:

Head of Department (Professor Michael Luck) – Principal UoA lead

Head of Agents and Intelligent Systems Group (Professor Peter McBurney)

Head of Bioinformatics and Algorithm Design Group (Professor Costas Iliopoulos)

Chair of Research Committee; Head of Centre for Robotics (Professor Kaspar

Althoefer)

Head of Centre for Telecommunications Research (Professor Hamid Aghvami)

Head of Software Modelling and Applied Logic Group (Professor Maribel Fernandez)

REF Development Group (Professor Derek Long)

PGR Tutor; REF Development Group (Professor Maria Fox)

A REF Committee comprising the Head of School, principal UoA leads, Impact Co-ordinator, School Professional Services staff, and other staff listed above as required, will be established to oversee the final decision-making process on selection. The Terms of Reference are:

1. To co-ordinate the School's submission to the appropriate UoAs
2. To ensure data for REF1a/c research staff, REF1b individual circumstances and REF4a/b/c environment data is correctly prepared
3. To co-ordinate activities to ensure staff are appropriately assessed for inclusion in REF2
4. To make recommendations to the Head of School as to which eligible staff he should advise the Vice-Principal (Research and Innovation) should not be submitted in REF2
5. To decide which outputs should be submitted in REF2
6. To co-ordinate activities to develop case studies for inclusion in REF3b under the leadership of the Impact Co-ordinator
7. To produce the REF5 environment template and REF3a impact template
8. To report regularly on progress to the College REF Co-ordinating Group, the College Research Committee and the Research Support Team

**Process to be followed in preparation of submissions.**

The School will pursue the College's stated objective of preparing and submitting the strongest submission possible, both academically and in order to facilitate the best possible financial outcome, and with the aim of ensuring that excellent researchers are submitted without regard to any matter other than excellent research and the coherence of the submission.

All eligible members of academic staff, and any researchers named as principal investigators (or equivalent), will be asked, through the principal UoA leads, to put forward their selected publications. The UoA leads listed above will make initial judgements about the quality of outputs with reference to the REF assessment criteria and level definitions, and seek the advice of heads of departmental research groups, or of peers at other HEIs subject to consultation with the Head of School and through him any relevant College authority.

Departmental academic leads are asked to submit a provisional list of outputs to the Head of School by the end of May 2012. The list will indicate: which UoAs the department is returning to; which staff are likely to be submitted to each UoA; any cases where discussions about quality or quantity are taking place; and those staff not expected to be submitted.

Where it is considered that a member of staff does not have the appropriate number of publications at the required quality, they will be informed of this at an early stage, provided with the appropriate support and mentoring to improve their research, and set targets to attain within a specific time period.

In the cases of staff whose submission is under review, the UoA leads will provide the REF Committee with a record of the communications with those members of staff regarding support provided and targets set. The Head of School and relevant academic lead will arrange to meet these individuals in autumn 2012 to review the situation and offer further advice. In accordance with the principles of transparency laid out in the Code of Practice, written notes of these meetings, and any outcomes, will be made available to staff concerned. The Head of School may seek further advice internally or externally, as he considers appropriate.

All dates specified in the College Code of Practice on the selection of staff for submission will be adhered to; these include dates for informing staff that they are eligible and whether or not they have been recommended for selection.

**Processes by which staff will be asked to input into the submissions and by which they will be informed of any decisions.**

Staff are asked to identify their strongest outputs to be reviewed by UoA leads as outlined above. Departments will continue with assessments of output quality throughout 2012 and spring 2013, up to the final decision on selection in May 2013. During this time staff may ask to substitute outputs for previously proposed outputs if they consider these to be stronger.

Staff can raise any concerns about the quality of their outputs at any time with their academic lead. Consideration may be given, where possible, to providing relief from non-research duties, where in the opinion of the Head of Department it could result in staff achieving satisfactory outputs.

Staff eligible for submission will be encouraged, where relevant, to highlight to the Head of School any personal circumstances that have affected their ability to produce four outputs of appropriate quality within the timescale given in the College's Code of Practice. Such staff will be considered by the College's Special Circumstances Group and that Group's recommendations will inform the working group's decisions about staff inclusion in submission.

All eligible staff will receive confirmation in writing as to whether they will be included in the submission. This decision will, except in exceptional circumstances, be communicated to staff by 31 May 2013. Where decisions are made for staff to be excluded from the submission they may appeal in accordance with the process set out in the Code of Practice on the Selection of Staff for Submission.



**Names and brief description of the role of those involved in the REF decision making process within the School.**

*School level responsibilities*

- The lead for SSPP is Professor Denise Lievesley with administrative responsibility held by Stuart Ryland and day-to-day responsibility being with Jo Williams.
- Professor Tim Butler (the chair of the Research Strategy Group) has responsibility for co-ordinating the various UoA leads (through the 'penholder' group comprised of chairs of Departmental research committees) and ensuring that the School meets its responsibilities to the College for the timely submission of data and reports.

*Departmental/Unit of Assessment responsibilities*

- Normally the lead is the Head of Department with a 'penholder' (who is usually the chair of the Department research committee) responsible for drafting documents and co-ordinating impact case studies for the department. This is complicated where more than one department contributes to a single UoA in which case there is a devolved penholder group for that UoA with its own convener (in practice this currently applies only to UoA 21). The school penholders group is convened by Tim Butler and meets when necessary.
- Department of Geography (UoA17)
  - Professor Nick Clifford
  - 'Penholder' Professor Mark Pelling;
- Department of Management (UoA19)
  - Professor Stephen Deery
  - 'Penholder' Professor Stephen Bach;
- Department of War Studies (UoA21)
  - Professor Mervyn Frost
  - 'Penholder' Professor Theo Farrell – convenes UoA21 penholders;
- Department of Political Economy (UoA21)
  - Professor Ken Young – also the 'penholder';
- Defence Studies Department (UoA21)
  - Professor Stuart Griffin
  - 'Penholder' Professor Ashley Jackson;
- Department of Education and Professional Studies (UoA25)
  - Professor Sharon Gewirtz
  - 'Penholder' Dr Jeremy Hodgen;
- Department of Social Science Health and Medicine (tbc)
  - Professor Nik Rose
  - Professor Bronwyn Parry

**Process to be followed in preparation of submissions**

*Description of submission process in the School and selection of staff (wef January 2012).*

- At departmental level the Head of Department and chair of the Research Committee have sought (or are in the process of seeking) nominations from all members of teaching staff and researchers with independent research status as to their chosen publications (with reserves);
- Heads of Department and Chairs of Research Committees have initiated the process of making initial judgements about the quality of such publications taking advice from other colleagues where judged appropriate;
- Where there are questions about either quantity or quality, informal discussions have been taking place with the member of staff concerned. Although these discussions are informal at this stage, the process is transparent and the head of department is responsible for communicating the nature and outcome of such discussions with the member of staff concerned in writing;
- Heads of Department have been asked to provide a provisional listing to the Head of School, the Director of Administration and the Chair of the School Research Strategy Group [RSG] (Tim Butler) by the beginning of September 2012 indicating
  - who they are likely to include for their UoA;

- those cases where there are on-going discussions, noting any actions taken; and
- those who are unlikely to be submitted.
- Where there is uncertainty about inclusion or only a provisional decision has been taken, a record of any discussions with the member of staff concerned will accompany such a listing. Any so affected members of staff will have an opportunity to comment on this decision.

*Role of Head of School and Chair of RSG*

- The Head of School and the Chair of the RSG will offer to meet with those so affected (ie other than those selected) in the autumn term 2012 to review the position and offer appropriate advice. A written note of these discussions and any outcome will be made available to those involved.
- The Head of School will be advised by the Chair of the RSG on issues affecting the quality of the submission (including Impact Case Studies); she may seek further advice internally and/or externally where she judges it appropriate.

**Processes by which staff will be asked to input into the submissions and by which they will be informed of any decisions**

Please see above but additionally:

- This process will be on-going, iterative and interactive from spring 2012 through until a formal notification of names of those being submitted (or not) in spring/summer 2013.
- The principle behind this process is two-fold:
  - a) to uphold the principle of transparency and open-ness, and
  - b) to give all possible opportunity to a member of staff to meet the December 31st 2013 deadline with the appropriate number of publications at the required quality threshold.
- Where appropriate resources, including relief from teaching and administrative duties, will be made available where there is a good chance in the view of those senior staff involved in taking such decisions that such investment is likely to bear fruit.
- The outcome of all discussions with individuals about inclusion will be recorded and treated with appropriate confidentiality;
- Members of staff may request that they be allowed to bring a friend from the College community to any such discussions for support.

## School of Biomedical Sciences

### **Names and brief description of the role of those involved in the REF decision making process within the School.**

The Head of School is the academic lead for the School's REF submissions, and is ultimately responsible to the Vice Principals and Principal for ensuring the best possible results are achieved. The Director of Administration is the administrative lead.

Under delegated authority from the Head of School, each BMS submission to a UoA will have a designated lead. Professor Morris or his appointee will be responsible for the UofA 5, Biological Sciences submission (which is likely to include MRC CDN, Wolfson and Randall). Professor David Thurston is the BMS lead for the Pharmaceutical Sciences Institute, which is likely to be returned in UoA 3, Allied Health Professions, Dental, Nursing and Pharmacy (potentially also include components of Analytical and Environmental Sciences). Professor Simon Howell has overall responsibility for this UoA. Professor Stephen Harridge is the lead for the Centre for Human and Aerospace Physiological Sciences (CHAPS) submission, which is likely to be returned against UoA 26, Sports and Exercise Sciences or in UoA 3. It is proposed that chemistry staff appointed to the recently formed Department of Chemistry should be returned with the Division to which they are affiliated.

The School Research Committee (Chaired by Professor Malcolm Irving and including all Heads of Division/equivalent-see below) takes an overview of the School's REF submissions, ensuring that UofA leads are fully briefed on key timelines and panels' working criteria. It also has an explicit responsibility for making recommendations to the Vice Principal (Research and Innovation) for exclusions in accordance with the College's Code of Practice, and for ensuring the School's Impact statements are sufficient in quantity and quality. Appeals by individuals will also be governed by this Code, and the Head of School will be available to contribute to the appeal process.

Professor Malcolm Irving (Chair), Head of Division, Randall  
Professor Andrew Lumsden, Head of Division, MRC CDN  
Professor Frank Kelly, Head of Division, Analytical and Environmental Sciences  
Professor Clive Page/Professor Peter Hylands, Heads of Pharmaceutical Sciences Institute  
Professor Stephen Harridge, Head of CHAPS and UofA 26 Lead  
Professor David Thurston, UofA lead for PSI  
Professor Gareth Jones, Randal, School Impact Lead.

### **Process to be followed in preparation of submissions.**

Divisions have already collated four outputs per Category A member of staff. The general School threshold is to support outputs for inclusion that are at 3\* or 4\*. Key parameters include: impact factors, citation index, location of author on paper and, if not senior, the extent to which there is a distinct contribution by the individual. It is recognised that some PIs may have some outputs at 3\* or above and some at 2\* or below. Equally, others may be contributing impact statements which are at 3\* or above. Hence, a rounded view will be taken to help ensure maximum power rating/income for the School/College

The main focus for Divisions is maximising the number of additional outputs at 4\* and 3\* before the census date, aided where appropriate by the School's REF support fund. Given the relatively high value of Impact compared to outputs, and the concentration of Impact in some areas (Pharmaceutical Sciences, Analytical and Environmental Sciences), and relative paucity in others, Impact optimisation and distribution between returns will also be critical.

Whilst the School Research Committee will retain an overview of progress towards the REF census dates, the UofA leads will be responsible for the qualitative and quantitative information for their submissions. To aid this process, sub groups of the School Research Committee are tasked to support the UoA lead in progressing individual submissions.

**Processes by which staff will be asked to input into the submissions and by which they will be informed of any decisions.**

Divisions are responsible for ensuring their staff have a direct input to the REF submission, for example in terms of finalising the best four publications for submission.

The UoA lead will communicate directly with individuals regarding decisions to exclude, or via the Head of Divisions.

## Dental Institute

### **Names and brief description of the role of those involved in the REF decision making process within the School.**

The Dean of the Dental Institute, Professor Dianne Rekow, has delegated responsibility for the REF submission for the Dental Institute to the Director of Research, Professor Tim Watson. The administrative lead for the process will be the Director of Administration, Mr Jeremy Williams. The responsibilities of these roles are as outlined in the College's REF Code of Practice. Professor William Wade will deputise for the Director of Research. [Professor Wade was replaced by Professor Andrea Streit in this role at the end of July 2013] Arrangements for deputising for Mr Williams as administrative lead will be discussed with the Director of Research Management as to the most appropriate arrangement.

The College will form a view on the merits or otherwise of a joint submission following consultation between Nursing and Midwifery and Biomedical Sciences and Central Administration.

The Dental Institute's Research Committee will provide advice and guidance to the Director of Research and Head of the Dental Institute on strategic issues relating to the dentistry submission, noting that the responsibility for the College's submission overall is as outlined in the KCL REF Code of Practice.

The Dental Institute Research Committee will convene a REF Panel, consisting of one of the co-leads for each Research Theme (Discovery; Translation; Clinical; Outcomes and Environment), and the Director of Research, supported by the Director of Administration. The role of the DI REF Panel is to collectively review the publications and other outputs including impact assessments, to ensure the submission is of the necessary quality to achieve a grading at least equivalent to the upper quartile of the discipline nationally. Where the expertise on the REF Panel is unable to make an assessment on a particular output or impact assessment, the Director of Research will seek advice from similar panels in other areas/ Schools as appropriate e.g. education; sociology. The REF Panel will consider the advice in the context of the dental profession and UOA submission.

The Director of Research and the REF Panel will provide regular reports on progress to the Research Committee. Details relating to individuals will not generally be shared outside the REF Panel, except where stated as below

### **Process to be followed in preparation of submissions.**

The Dental Institute will establish a list of all staff in the Dental Institute, who are eligible for the REF, in accordance with the definition of eligibility as outlined in the Code of Practice.

At an early stage in the process (around Spring 2012), eligible Category A staff will be identified and notified as to whether they are eligible or not. This will include noting any staff with any special circumstances that may be classed as 'simple' such as part-time working and early career researcher/specialist trainee status.

Those eligible will be asked to provide their top six to eight publications/outputs to date, which the REF Panel will review. This process will identify members of staff who do not have the appropriate number of publications at the required quality expected at this stage (depending on circumstances) and this will be fed into and discussed with the individual through the normal appraisal process. Through the appraisal process appropriate support and mentoring to improve their research will be agreed, through the existing departmental support arrangements and DI Theme based mentoring arrangements, and specific targets set to attain within a specific time period.

One possible outcome at this stage is that, where appropriate and mutually agreeable, the individual may wish to discuss the nature of their contract/job plan. For example, the individual member of staff might wish to be considered for a predominantly teaching only role.

If this time period expires and it is considered by the REF Panel that the individual has not reached the required standard, then the Director of Research will make a recommendation to the Vice-Principal (Research and Innovation) that they should not be included in the REF submission, according to the process set out in the Code of Practice.

Staff, who do not reach the required standard, or who are not included in the return because of the strategic requirements of the Dental Institute's interests in the REF, will have an opportunity for an internal appeal to the Dean of the Dental Institute, Professor Dianne Rekow. The Dean will review all the relevant information and uphold or reverse the recommendation. In the event that the recommendation is upheld, the individual member of staff will be able to appeal according to the formal College level process as outlined in the main document.

The REF Panel will have an ongoing role to review new publications/outputs and the development of impact assessments in the period up until the REF census date and will meet as frequently as required.

**Processes by which staff will be asked to input into the submissions and by which they will be informed of any decisions.**

As described above, eligible staff will be asked to provide information and opinion on their best publications and outputs and provide contextual information relating to their individual specialty, which the REF Panel will consider as part of the overall assessment of the quality of the output.

Staff will also be asked to identify possible areas of impact and to prepare draft impact assessments statements, where invited by the REF Panel. Staff involved in these may be asked to meet on occasion to collectively review the impact assessments, as well as being formally reviewed by the REF panel. Impact Assessments will also be shared with other disciplines within the UOA to ensure consistency and to receive external comment.

The Director of Research and Director of Administration will liaise with individual staff, as required, over the general submission data where it pertains to that individual to verify for accuracy and ensure the necessary data is complete.

Staff will be notified of any decisions as described above. The appeals process is outlined in the main document.

## School of Medicine

### **Names and brief description of the role of those involved in the REF decision making process within the School.**

The Head of School is the academic lead for the School's REF submissions, and is ultimately responsible to the Vice Principals and Principal for ensuring the best possible results are achieved. The Director of Administration is the administrative lead.

Under delegated authority from the Head of School, Professor Ajay Shah and Martin Gulliford are responsible for the submissions against UoA 1, Clinical Medicine, and UoA 2, Public Health, Health Services and Primary Care respectively, whilst Professor Simon Howell is responsible for the UoA 3 submission, Allied Health Professions, Dental, Nursing and Pharmacy. The relevant Heads of Division within SOM will work closely with Professor Howell in putting together this submission. The final decision regarding the Division of Imaging Sciences and Biomedical Engineering (in terms of where it is returned) may further influence key REF roles within the School.

In recognition of the scale of the return and diversity, a School Panel will oversee the REF UoA 1 submission. The Panel comprises:

Professor Ajay Shah (Chair), Head of Division, Cardiovascular  
Professor Ellen Solomon, Genetics and Molecular Medicine and College and SOM Impact lead  
Professor Mike Malim, Head of Department of Infectious Diseases  
Professor Peter Parker, Head of Division, Cancer Studies  
Professor Steve Sacks, Head of Division, Transplantation, Immunology and Mucosal Biology  
Professor Mike Marber, Cardiovascular

The Panel will begin meeting in April 2012 when it will finalise terms of reference. Its main remit will be to maximise the UoA 1 return in terms of power rating and income, for the SOM and College.

It will also review the suggestions from Divisions to include or exclude PIs/outputs for UoA 1, and make recommendations to the Vice Principal (Research and Innovation) for exclusion in accordance with the College's Code of Practice.

A separate panel comprising the following colleagues will make recommendations to the Vice Principal for SOM exclusions from UoAs 2 and 3.

Professor Simon Howell, UoA lead for 3.  
Professor Jeremy Ward, Asthma, Allergy and Lung Biology  
Professor Irene Higginson, Cancer Studies  
Professor Simon Wessely, Institute of Psychiatry

Appeals by individuals will also be governed by this Code, and the Head of School will be available to contribute to the appeal process.

### **Process to be followed in preparation of submissions.**

Divisions have already collated (and in most cases rated) four outputs per Category A member of staff (and some potential Category C returnees). The School has reviewed these outputs in meetings with Divisions, and has commissioned a peer review process of outputs using College colleagues outwith the submitting area. As a result of the initial meetings between the School and Divisions, a list of staff with a preponderance of 2\* outputs or below was provided to the Head of School, for consideration at a meeting with the Vice Principal (Research and Innovation). This matter is now being considered by PCT.

Six of the 10 data sets submitted for peer review have been returned with quality ratings per output from U/C to 4\* (allowance is made for ECRs who can submit less than four publications). The School Panel will review the results of this peer review process for Divisions to be returned against UofA 1. Other Divisions will be considered through meetings between designated School representation and the Head of Division.

The general School threshold is to support outputs for inclusion that are at 3\* or 4\*. Key parameters include: impact factors, citation index, location of author on paper and, if not senior, the extent to which there is a distinct contribution by the individual. It is recognised that some PIs may have some outputs at 3\* or above and some at 2\* or below. Equally, others may be contributing impact statements which are at 3\* or above. Hence, a rounded view will be taken to help ensure maximum power rating/income for the School/College.

Professor Ellen Solomon is both the SOM and College lead for Impact statements. For the SOM statements she has engaged three readers to assist in their review.

**Processes by which staff will be asked to input into the submissions and by which they will be informed of any decisions.**

Divisions are responsible for ensuring their staff have a direct input to the REF submission, for example in terms of finalising the best four publications for submission. .

The Panel will communicate directly with individuals regarding decisions to exclude, or via the Head of Divisions.



**Names and brief description of the role of those involved in the REF decision making process within the School.**

A specialist REF panel has been formed, this comprises of Professor Alison Metcalfe Associate Dean for Research (ADR), Professor Charlotte Humphrey (former ADR and Dr Sharon Cole Research Development Officer. A third independent academic external to the School but with experience of previous RAEs is to be appointed.

The plan is to submit to UoA Panel 3 but as a separate submission for Nursing & Midwifery. The aim is to keep distractions to staff at a minimum so that there is a strong focus on business as usual. Staff are however required to submit all new research publications to the FNSNM Research Office so that we can ensure we are kept abreast of all possible publications.

At present, the aim is to identify staff with a minimum of two research publications. All staff have had a meeting with the Associate Dean for Research to review their publication outputs, discuss current grants and research activity and their workload. Any factors that potentially affected their output has also been discussed confidentially.

Staff with 2/3 publication of high quality have been supported and encouraged to focus on their research activity.

The ADR will take part in all staff appraisals (where research is a major part of their role) during the summer term to identify whether further support is required.

**Process to be followed in preparation of submissions.**

**Publications**

All potentially suitable publications will be reviewed by the REF team for each member of staff. Where a publication is shared it will be used to make the most effective submission. A cross tabulation system is currently being developed to map out who shares which publications

The team will meet weekly to discuss an agreed batch of publications for a specific author (staff member) and a record of the team's comments and observations will be made.

The outcome will be an email to the author outlining which papers the team has chosen for submission and the reason – the author will have two weeks to respond to explain if (s)he believes other articles might be more relevant.

Where a limited number of publications are submitted for an author making four papers unlikely, this individuals will be invited to meet with the ADR to discuss whether there is a competing cause that can justify a fewer number of papers submitted.

A report of all individuals assessed for submission will be shared with the Research Executive and the School's Leadership team for their comment and finally approval.

**Impact Statements**

All Principal Investigators are to receive training and support in writing impact statements.

This is partly to ensure that a record of current activity is maintained for future submissions and also the School Research Executive and Leadership Team will have the option to choose the best statements.

The best 5 Impacts statements will be shared with other Schools, where there is closest fit for the Statement's core theme.

Externally we will ask former research leads in Nursing and Midwifery research to review the statements and we may also Nurse & Midwifery Leads for their view as service users.

**Processes by which staff will be asked to input into the submissions and by which they will be informed of any decisions.**

Staff have been asked to submit their peer reviewed publications and a draft impact statements (PI's) from 2008-2010 initially

In January 2012 (and annually thereafter) staff are asked to submit their publications for the preceding year.

The REF panel will review the submissions and rate them from 1-4\* based on the quality of the research.

A staff members publications will be summarised and the panel will indicate which ones they believe have reached the required standard for submission to the REF ( $\geq 2^*$ ). The staff member will be given the opportunity to comment on their work and provide a 50 word précis

of why the work is important and relevant and the unique selling point which they will be asked to return to the panel. This will inform justification for the research too.

Staff will be informed of all decision-making stages and kept up to date via briefings (formal and informal).

Individuals will be kept informed via staff appraisals.

Where staff are borderline for submission, work will be undertaken with individuals to examine how they might be supported to develop their work to make it submissible.

Staff who are borderline will have appraisals completed every 3-4 months. However, we know from the review undertaken last year that this is only likely for a small number of individuals within FNSNM.

We will inform all colleagues of final decisions within the timeframes provided by the College.

## Institute of Psychiatry

### **1. Names and brief description of the role of those involved in the REF decision making process within the School.**

Academic leadership – Shitij Kapur and Til Wykes  
Administrative leadership – Gill Dale and Richard Barnard

The IoP REF Working Group meets approximately every second month, reporting to the IoP Research Committee.

### **Research Excellence Framework Working Group Membership**

Vice Dean (Research) (Chair)	Professor Til Wykes
Director of Research Quality	Dr Gill Dale
Nominated members and deputies from Executive Management Board	Professor Robert Plomin
	Professor Andrew Pickles
	Professor Martin Prince
	Professor Jack Price
	Professor Richard Brown
	Professor Emily Simonoff
	Professor Steve Williams
In attendance R&D Administrator	to be confirmed

### **Terms of Reference:**

1. To provide advice to the Dean and Vice-Dean (Research) in preparation for the Research Excellence Framework
2. To maximise the strength of the IoP's submission to the REF in the context of KCL's over all submission
3. To consider strategic issues in relation to the IoP's submission to the REF and make recommendations to the Research Committee on strategies that impact on the quality of the submission
4. To oversee the development of KCL data capture and reporting systems and IoP's interactions with them

### **Process to be followed in preparation of submissions.**

IoP admissible staff will be returned within Unit of Assessment 4.

The list of admissible IoP staff (from the HR database) will be reviewed to ensure that the outputs of all eligible staff are considered. This will include reviewing the status of senior postdoctoral researchers and determining whether they are eligible according to the definition of eligibility as set out in the REF Assessment Framework and Guidance on Submissions.

It is the expectation that all eligible staff will have produced sufficient research output (depending on circumstances), of the quality required to be submitted. Where it is considered that a member of staff does not have the appropriate number of outputs at the required quality, they will be informed of this at an early stage and provided with the appropriate support and mentoring to improve their outputs.

The REF Working Group will review the research outputs against the REF criteria and definitions of starred levels.

The final decision on which staff will be returned will be on the basis of equality and diversity principles and in maximising the quality of the over all submission so as to demonstrate to the full the College's research strengths that will sustain its reputation as a centre of international excellence.

**Processes by which staff will be asked to input into the submissions and by which they will be informed of any decisions.**

Staff will be actively involved in identifying their strongest publication outputs which are then reviewed by the REFWG.

Staff will be made aware as to whether they are eligible or not according to the time table set out in the King's College London Code of Practice on the Selection of Staff for Submission.

Where the outputs of a member of staff are considered to be of insufficient number and / or quality to maximise the quality of the over all submission then a recommendation will be made to the Vice-Principal (Research and Innovation) that they should not be included in the submission. If the Vice-Principal approves this decision, then the member of staff will be informed of this decision. All eligible Category A staff will receive confirmation in writing as to whether they will be included in the submission. This decision will, apart from in exceptional circumstances, be communicated to staff by 31 May 2013. Where decisions are made for staff to be excluded from the submission they may appeal in accordance with the process set out in the Code of Practice on the Selection of Staff for Submission.