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**Addendum: Assessment framework and guidance on submissions (REF 02.2011)**

This addendum constitutes amendments to the ‘Assessment framework and guidance on submissions’ (REF 02.2011). The amendments appear in the ‘Panel criteria and working methods’ (REF 01.2012) and are reproduced below.

##### Outputs ‘pre-published’ before 1 January 2008

**Amendment to ‘guidance on submissions’:** Following consultation on the draft panel criteria, the definitions at paragraphs 112-113 of ‘guidance on submissions’ have been amended, and are now superseded by paragraphs 43-44 as indicated below.

These changes have been made in response to concerns raised that the evolving nature of publication practices, such as online ‘pre-publication’, would have meant that some research outputs published near the boundary between the 2008 RAE and the 2014 REF publication periods may not in practice have been eligible for submission to either exercise.

1. The principle for determining the relevant date for whether or not an output was produced within the REF publication period, and hence is eligible for submission, remains the date at which it first became publicly available (or, for confidential reports, was lodged with the relevant body), **except** as described in paragraph 43 below.
2. **[This paragraph replaces paragraph 112 of ‘guidance on submissions’]** An output first published in its final form during the REF publication period that was ‘pre-published’ during calendar year 2007 – whether in full in a different form (for example, an ‘online first’ article or preprint), or as a preliminary version or working paper – **is** eligible for submission to the REF, **provided that** the ‘pre-published’ output was not submitted to the 2008 RAE.
3. **[This paragraph replaces paragraph 113 of ‘guidance on submissions’]** Other than the exception described in paragraph 43 above, an output published during the REF publication period that includes significant material in common with an output published prior to 1 January 2008 **is** eligible **only** if it incorporates significant new material. In these cases:
   1. The panel may take the view that not all of the work reported in the listed output should be considered as having been issued within the publication period; and if the previously published output was submitted to the 2008 RAE, the panel will assess **only** the distinct content of the output submitted to the REF.
   2. Submissions should explain where necessary how far any work published earlier was revised to incorporate new material (see paragraph 127 of ‘guidance on submissions’).

### Staff and individual staff circumstances

**Amendment to ‘guidance on submissions’:** Following consultation on the draft panel criteria, the arrangements concerning maternity, paternity and adoption leave in ‘guidance on submissions’ have been amended, and are now superseded by the guidance as stated below.

For completeness, the full set of arrangements concerning individual staff circumstances are set out in paragraphs 64-91 of this document, which replace paragraphs 88-95 of ‘guidance on submissions’.

1. The criteria for determining which staff are eligible to be included in institutions’ submissions are common for all UOAs, and are set out in ‘guidance on submissions’ (paragraphs 78-83).
2. 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.
3. 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.
4. 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.
5. 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.
6. 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’.
7. 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:
   1. Circumstances with a **clearly defined** reduction in outputs, which are:
      1. Qualifying as an early career researcher (on the basis set out in paragraph 72 and Table 1 below).
      2. 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).
      3. Qualifying periods of maternity, paternity or adoption leave (on the basis set out in paragraphs 75-81).
      4. Other circumstances that apply in UOAs 1-6, as defined at paragraph 86.
   2. **Complex circumstances** that require a judgement about the appropriate reduction in outputs, which are:
8. Disability. This is defined in ‘guidance on submissions’ Part 4, Table 2 under ‘Disability’.
9. Ill health or injury.
10. Mental health conditions.
11. 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.
12. Other caring responsibilities (such as caring for an elderly or disabled family member).
13. Gender reassignment.
14. Other circumstances relating to the protected characteristics listed at paragraph 190 of ‘guidance of submissions’ or relating to activities protected by employment legislation.

#### Clearly defined circumstances

1. 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.
2. 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

1. Early career researchers are defined in paragraphs 85-86 of ‘guidance on submissions’. 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

1. Table 2 sets out the permitted reduction in outputs without penalty in the assessment for absence from work due to:
   1. part-time working
   2. 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 |

1. 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 x 0.4 = 12.

##### Qualifying periods of maternity, paternity or adoption leave

1. Individuals may reduce the number of outputs by one, for each discrete period of:
   1. 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.
   2. Additional paternity or adoption leave[[1]](#footnote-1) lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.
2. 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.
3. 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.
4. 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.
5. 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.
6. 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:
   1. 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.
   2. By combining the number of months for shorter periods of such leave in combination with other clearly defined circumstances, according to Table 2.
7. 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 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

1. 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.
2. 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.
3. 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.)
4. 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

1. In UOAs 1-6, the number of outputs may be reduced by up to two, without penalty in the assessment, for the following:
   1. 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.
   2. 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.
2. 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

1. 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.
2. 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](http://www.ecu.ac.uk/our-projects/REF) from February 2012.
3. 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](http://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.
4. 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’, paragraphs 98-99).

1. ‘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’. [↑](#footnote-ref-1)