

# Webinar on the draft panel criteria and working methods

REF2021

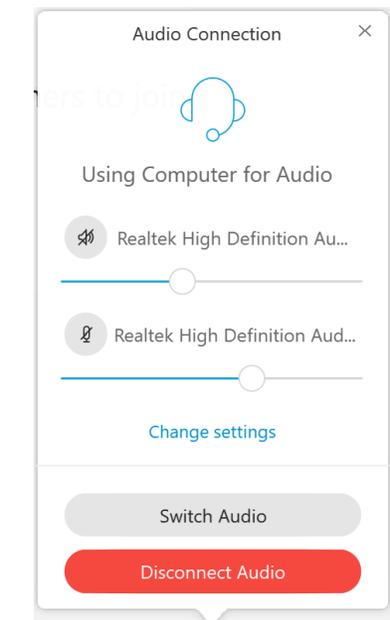
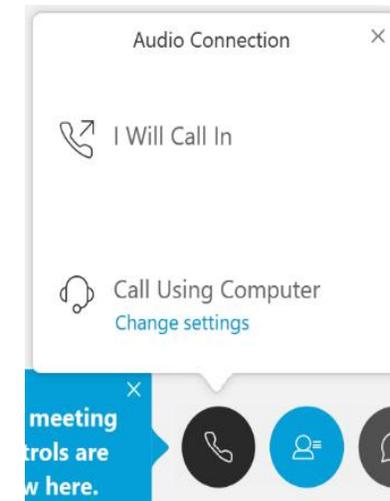
The webinar will start at **11:00**. There will be a sound check at **10:50** and again at **10:55**.

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# Webinar on the draft panel criteria and working methods

Main Panel C

12 September 2018



Research  
England



Scottish Funding Council  
Promoting further and higher education

Cyngor Cyllido Addysg  
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Higher Education Funding  
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Department for the  
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# REF 2021

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# Introduction and overview

- Professor Jane Millar, Chair of Main Panel C
  - Kim Hackett, REF Director
  - Catriona Firth, Head of REF Policy
  - Myles Furr, REF team
- 
- Walk through criteria and working methods
  - Perspectives from the Chair
  - Respond to your questions
  - Further information

# Consultation

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- Detailed REF guidance and criteria published for consultation in July 2018
- Views on criteria invited on:
  - whether the criteria are appropriate and clear, where refinements could be made
  - where more consistency could be achieved or where further differentiation is justified
  - as well views on some specific points
- Deadline for responses: noon, 15 October 2018

## Webinar aims

- Provide overview of the detailed criteria for Main Panel C
- Reflect on key changes
- Offer opportunity for clarification
- Inform responses to the consultation

# Panel criteria

## Aims

- Build on REF 2014 criteria to maintain continuity
- Achieve consistency across the main panels, where possible, while taking into account disciplinary differences

Main panel	Unit of assessment
C	14 Geography and Environmental Studies
	15 Archaeology
	16 Economics and Econometrics
	17 Business and Management Studies
	18 Law
	19 Politics and International Studies
	20 Social Work and Social Policy
	21 Sociology
	22 Anthropology and Development Studies
	23 Education
	24 Sport and Exercise Sciences, Leisure and Tourism

# Key changes since REF 2014

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## Overall framework

- Staff: submit all with significant responsibility for research; decoupled from outputs
- Outputs: transitional approach to non-portability; open access; additional measures to support interdisciplinary research
- Broadening and deepening definitions of impact

## Main panel C

- Combined criteria, including panel interpretations, impact examples and environment narrative
- Quantitative indicators for environment
- Panel structure
- Double weighting

# Submissions

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- Work on the boundaries between UOAs
  - Recognised that criminological research may fall in boundaries between SPs
  - Building on 2014, measures to support assessment of outputs in criminology
  - Appoint SP member to work across UOAs 18 (Law), 20 (Social Work and Social Policy) and 21 (Sociology)
  - Meetings scheduled to facilitate cross-panel discussions
  - Section on health of criminological research in panel overview report
- Multiple submissions
  - Sub-panels would not normally expect multiple submissions, with exception of Sub-panel 22 (Anthropology and Development Studies)
  - Requests where institutions have separate Anthropology and Development Studies (or International Development) departments would normally fulfil the criteria

# Outputs – criteria

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Originality	Significance	Rigour
<ul style="list-style-type: none"><li>• the extent to which the output makes an important and innovative contribution to understanding and knowledge in the field</li></ul>	<ul style="list-style-type: none"><li>• the extent to which the work has influenced, or has the capacity to influence, knowledge and scholarly thought, or the development and understanding of policy and/or practice</li></ul>	<ul style="list-style-type: none"><li>• the extent to which the work demonstrates intellectual coherence and integrity, and adopts robust and appropriate concepts, analyses, theories and methodologies</li></ul>

## Scored one to four star (or unclassified)

- Each main panel sets out its own understanding of the starred quality levels
- All outputs meeting REF definition of research are eligible, with all forms of output considered equitably
- Panels will not use journal impact factors or hierarchies of journals in assessment

# Outputs – co-authored

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- REF team consulting in GOS on whether an output should only be returned once within the same submission (made by an HEI in one UOA).
- Institutions may only attribute co-authored outputs to individual members of staff who made **a substantial research contribution** to the output
- Main Panel C
  - Sub-panels do not require the submission of information about the individual co-author's contribution but may seek to verify via audit.

# Outputs – double-weighting

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- Double-weighting may be requested where the scale of academic investment in the research activity and/or the intellectual scope of the research output is considerably greater than the disciplinary norm.
- HEIs may submit a reserve output, should the request not be accepted. This **does not** have to be attributed to the same member of staff but must be in accordance with min. 1 and max. 5 outputs attributed to staff.
- Main Panel C
  - Keen to encourage submission of outputs of extended and scope as double-weighted
  - Require statement on grounds for request
  - With MP D, have identified characteristics which might apply to research effort associated with double-weighted output
  - Expected that most books warrant double-weighting, but not automatically accepted
  - Views invited specifically on these criteria and whether requests to double-weight books should be automatically accepted

# Outputs – other

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- Submission of practice-based outputs should include additional explanatory information
- In Main Panel C, Sub-panel 16 (Economics and Econometrics) will receive citation data (where available), and will use where considered appropriate to support initial assessment of outputs
- Sub-panel 16 will take account of the well-known limitations of citations, including equality, diversity and inclusion issues
- Will use in accordance with the following criteria:
  - Citation data will be one element to inform peer-review judgement, as indicator of academic significance
  - Absence of data will not be taken to mean absence of significance
  - Sub-panels recognise citation count is sometimes, not always, reliable indicator
  - Will only use data provided by REF team; will not use any other sources, including any journal rankings.

# Questions



# Impact case studies - eligibility

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## Submission:

- Impact remains eligible for submission by institution(s) where research was generated (i.e. non-portable)
- Impact must be underpinned by research of minimum 2\* quality
- Timeframe:
  - 1 January 2000 - 31 December 2020 for underpinning research
  - 1 August 2013 - 31 July 2020 for impacts
- Impact on teaching within (and beyond) own HEI eligible
- Case studies continued from examples submitted in 2014 will be eligible for submission in REF 2021, **provided they meet the same eligibility criteria**

# Impact – criteria

## Reach

- the extent and/or diversity of the beneficiaries of the impact, as relevant to the nature of the impact. (It will not be assessed in geographic terms, nor in terms of absolute numbers of beneficiaries.)

## Significance

- the degree to which the impact has enabled, enriched, influenced, informed or changed the performance, policies, practices, products, services, understanding, awareness or well-being of the beneficiaries.

- Case studies describing **any type(s)** of impact welcomed (extensive – but not exhaustive – list of examples of impact and indicators at Annex A)
- Case studies describing impacts through public engagement welcomed
- Case studies must provide a clear and coherent narrative supported by verifiable evidence and indicators

# Impact – underpinning research

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- Panels recognise that the relationship between research and impact can be indirect and non-linear
- Underpinning research as a whole must be min. 2\* quality
- Case studies must include up to six key references (not every output referenced has to be 2\*) – HEIs can consult the outputs glossary in the Guidance on submissions
- Can also include indicators of quality e.g. evidence of peer-reviewed funding, prizes or awards for individual outputs etc.
- May be a body of work produced over a number of years or may be the output(s) of a particular project

# Environment – criteria

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## Vitality

- the extent to which a unit supports a thriving and inclusive research culture for all staff and research students, that is based on a clearly articulated strategy for research and enabling its impact, is engaged with the national and international research and user communities and is able to attract excellent postgraduate and postdoctoral researchers.

## Sustainability

- the extent to which the research environment ensures the future health, diversity, well-being and wider contribution of the unit and the discipline(s), including investment in people and in infrastructure.

### Structure and weighting

Main Panel C will attach equal weighting to each of the four sections:

- Unit context and structure, research and impact strategy
- People
- Income, infrastructure and facilities
- Collaboration and contribution to the research base, economy and society

# Environment template

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## Indicators

- All sub-panels will receive doctoral degrees awarded and research income data
- Further quantitative indicators may be included to support claims – advice and **examples** from Forum for Responsible Research Metrics

## Main Panel C

- For all sub-panels in Main Panel C, units asked to disaggregate degrees awarded (REF4a) into:
  - PhDs
  - Research-based professional doctorates
- Recognition of the role of professional and other doctoral qualifications and their contribution to the vitality of the research environment.

# Institutional level assessment of environment

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- Institutional-level information will be appended to the UOA-level environment template and will be taken into account by the sub-panel when assessing the unit-level statement.
- Pilot of the standalone assessment of the discrete institutional-level environment will draw on this submitted information.
- Outcomes from the separate pilot exercise will **not** be included in REF 2021 but will inform future research assessment.

# Questions



# Working methods

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- The criteria document sets out how the common approach that the main and sub-panels will take in assessing submissions and recommending quality profiles. In particular:
  - Further nominations round to appoint the full assessment-phase panels – to ensure each sub-panel collectively has the breadth and depth of expertise to assess the work submitted
  - Main and sub-panel calibration to ensure consistency of assessment standards
  - Fair and equal assessment of interdisciplinary-flagged outputs (working with IDR advisers)
  - Cross-referral for advice of parts of submissions, where SP judges it does not have required expertise
  - Reviewing submissions – collective judgements about submissions in the round (not about individuals' contributions)

## Interdisciplinary Research Advisory Panel

- oversee application of agreed principles and processes

## Main panel interdisciplinary leads

- facilitate cross-panel liaison
- oversee calibration exercise for IDR outputs

## Sub-panel interdisciplinary advisers

- Offer guidance to sub-panels on assessment of IDR outputs
- Liaise with advisers on other panels

# Questions



## Further information

- Consultation survey: <https://www.smartsurvey.co.uk/s/DTZ10/>
- Registration for consultation events: <https://www.eventbrite.co.uk/e/research-excellence-framework-hei-consultation-events-tickets-47811987943>
- [www.ref.ac.uk](http://www.ref.ac.uk) (includes all relevant documents and FAQs)
- Enquiries from staff at HEIs should be directed to their nominated institutional contact (available at [www.ref.ac.uk/contact](http://www.ref.ac.uk/contact))
- Other enquiries to [info@ref.ac.uk](mailto:info@ref.ac.uk)