Consultation on the REF 2021 guidance and criteria

Kim Hackett
PRAG-UK
28 September 2018
Overview

• Introduction to consultation
• Reminder of overall framework and key changes
• Submitting outputs
• Additional guidance from Main Panel D
• Next steps and further information
Consultation

Responses by noon, 15 October 2018 – online form at www.ref.ac.uk
Guidance on submissions

Specific consultation areas

• Proposed approach for taking account of staff circumstances

• Some specific points, inc around eligibility:
  • clarity, usefulness and coverage of the list of independent research fellowships
  • proposed eligibility arrangements for seconded staff
  • proposed ineligibility of staff based in a discrete department or unit outside the UK
  • proposal to make ineligible the outputs of former staff who have been made redundant (except where the staff member has taken voluntary redundancy)
  • eligibility of co-authored outputs more than once within the same submission
  • clarity and usefulness of the glossary of output types
  • capturing cost activity level in UOA 4

• PLUS comments on overall clarity of the guidance, including annexes
Panel criteria - consultation

We invite comments on:
• whether the criteria are appropriate and clear
• where further clarification is required
• where refinements could be made
• where more consistency across panels could be achieved
• where differences between disciplines could justify further differentiation between main panels

PLUS specific questions on:
• double-weighted outputs
• Main Panel D guidance on output types
• section weightings in the Environment statement
2021 framework

Overall quality

Outputs
- FTE x 2.5 = number of outputs required

Impact
- Impact case studies

Environment
- Environment data and template

60%

25%

15%
Staff submission

• All staff with significant responsibility for research should be returned to the REF

Category A eligible

- ‘Teaching and Research’ or ‘Research only’
- Independent researcher
- Minimum of 0.2 FTE
- Substantive connection

Category A submitted

Accurately identifies staff with significant responsibility for research

100 per cent returned

Staff with significant responsibility returned, following process developed, consulted on and documented

• Approach may vary by UOA where employment practices vary at this level
Outputs—decoupling

- Number of outputs per submission
  - FTE of Category A submitted
  - 2.5

- Output pool to include
  - Max of 5 attributed to individuals
  - Min of 1 per Category A submitted
  - Submitted outputs
  - May include outputs of staff that have left
Expert panels

• 34 sub-panels working under the guidance of four main panels with advice from Equality and Diversity and Interdisciplinary Research advisory panels (EDAP and IDAP)
• Two-stage appointment process (via nominations):
  1. Criteria-setting phase – sufficient members appointed to ensure each sub-panel has appropriate expertise
  2. Assessment phase – recruitment in 2020 of additional panel members and assessors to ensure appropriate breadth of expertise and number of panel members necessary for the assessment phase, informed by the survey of institutions’ submission intentions in 2019.
**Interdisciplinary advisers**

| **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 |
Interdisciplinary research

• Interdisciplinary identifier and definition – distinct from cross-referral
• Specific guidance to panels on applying assessment criteria to IDR outputs
• Environment
• Panel structures
Output assessment criteria

<table>
<thead>
<tr>
<th>Originality</th>
<th>Significance</th>
<th>Rigour</th>
</tr>
</thead>
<tbody>
<tr>
<td>• the extent to which the output makes an important and innovative contribution to understanding and knowledge in the field</td>
<td>• 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</td>
<td>• the extent to which the work demonstrates intellectual coherence and integrity, and adopts robust and appropriate concepts, analyses, theories and methodologies</td>
</tr>
</tbody>
</table>

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
Output eligibility

Meets definition of research
  • a process of investigation leading to new insights, effectively shared

First made publicly available in publication period
  • 1 Jan 2014 to 31 Dec 2020

Attributable to eligible staff member who made a substantial contribution

In scope of open access policy?
Output glossary

- Guidance on submissions, Annex K
- Categories of output types, formats for collection and broad definition. Top-categories:
  - (Parts of) books
  - Journal articles
  - Physical artefacts
  - Exhibitions and performances
  - Other documents
  - Digital artefacts
  - Other
- For an output comprising multiple items, submission format should be either electronic or physical (not a mix)
- Comments invited on clarity and usefulness of this annex
Outputs – additional information

• For Main Panel D, an output will either consist of a single item (e.g. a journal article, a book), or an integrated presentation of a range of material that makes clear the research dimensions of the submitted work.

• The material submitted and 300-word statement (where required) should provide evidence of:
  • the research process
  • the research insights
  • the dissemination

• Should be presented as a coherent package – to assist panel members to access fully the research dimensions of the work
Output types and submission guidance

- Panel criteria, Annex C – Main Panel D
- Guidance on where statement may be required, evidence of year of dissemination, what the panel will need, and guidance on presenting material. For example:

<table>
<thead>
<tr>
<th>Type</th>
<th>Recommended additional statement</th>
<th>Medium</th>
<th>Content</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exhibition</td>
<td>Up to 300 words</td>
<td>DOI/PDF/USB</td>
<td>A coherent presentation of the research, evidencing the year of dissemination. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination. This may be provided in the 300-word statement and/or the supporting evidence. This may take the form of an audio-visual and/or other materials or documentation that appropriately embody the research as well as the distinctive contribution of the individual researchers to the submitted exhibition.</td>
</tr>
</tbody>
</table>

- Views sought on whether annex is helpful and clear
## Timetable

<table>
<thead>
<tr>
<th>Year</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spring 2018</td>
<td>Panels met to develop criteria</td>
</tr>
<tr>
<td>Summer to Autumn 2018</td>
<td>Consultation on draft guidance and criteria</td>
</tr>
<tr>
<td></td>
<td>Draft guidance on codes of practice</td>
</tr>
<tr>
<td></td>
<td><strong>Consultation deadline:</strong> noon, 15 October 2018</td>
</tr>
<tr>
<td>Early 2019</td>
<td>Publish final guidance and criteria</td>
</tr>
<tr>
<td>2019</td>
<td>Complete preparation of submission systems</td>
</tr>
<tr>
<td></td>
<td><strong>Submission deadline for codes of practice:</strong> noon, 7 June 2019</td>
</tr>
<tr>
<td>2020</td>
<td>Submission phase</td>
</tr>
<tr>
<td></td>
<td><strong>Submission deadline:</strong> noon, 27 November 2020</td>
</tr>
<tr>
<td>2021</td>
<td>Assessment phase</td>
</tr>
<tr>
<td></td>
<td><strong>Publication of results:</strong> December 2021</td>
</tr>
</tbody>
</table>
Further information

- Consultation survey: [https://www.smartsurvey.co.uk/s/DTZ1O/](https://www.smartsurvey.co.uk/s/DTZ1O/)

- [www.ref.ac.uk](http://www.ref.ac.uk) (includes all relevant documents and FAQs)

- Enquiries from staff at HEIs should be directed to 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)