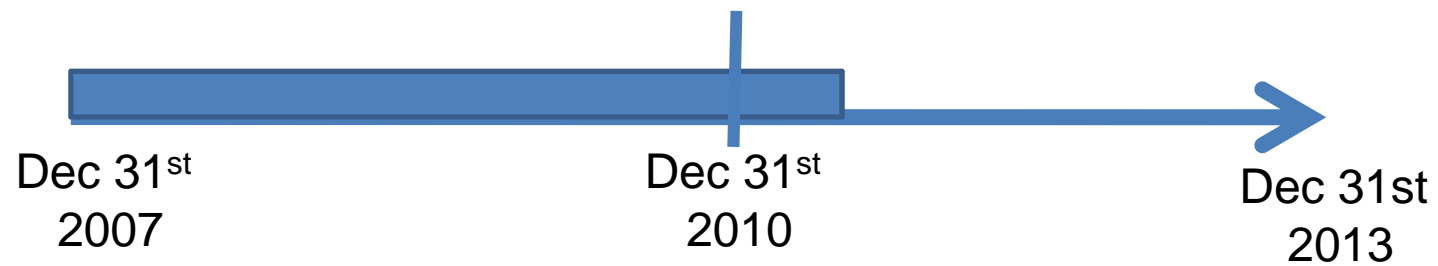


Interim REF Report

June 2011



Interim REF

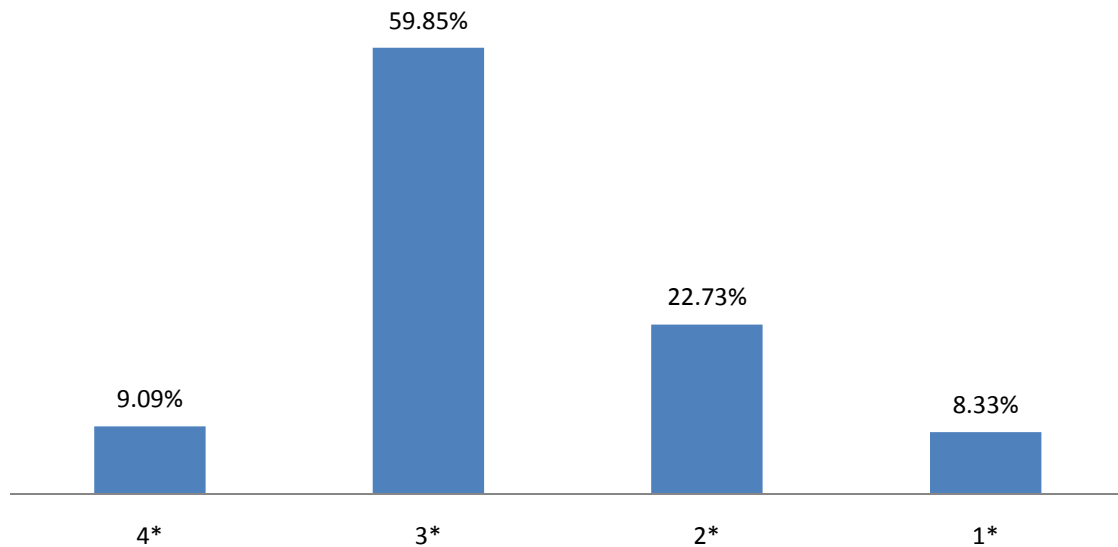
- 40 external assessors
- December 2010 – June 2011
- Current GPA close to RAE 2008
- But many submissions were testing the system
- Many only submitted senior author papers
- ~80 ATR staff were not submitted
- Deans and ADRs have all the data

Illustration of Interim REF Data

Mid-term REF Review 2011

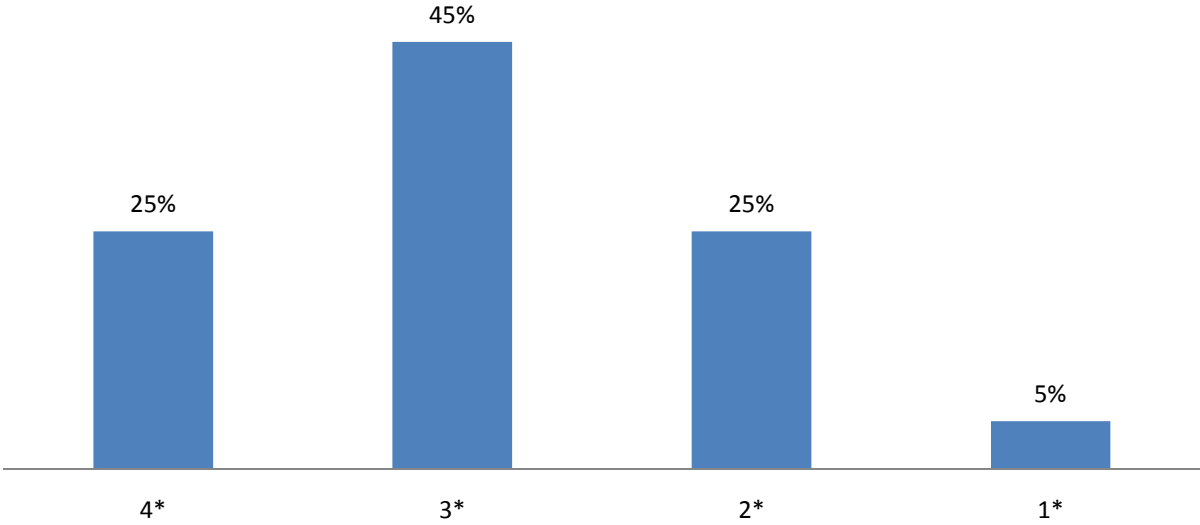
School of XXX

Average Star Rating



Rating	# of	Group	# per group	as %
4*	12	4*	12	9.09%
3.75*	1	3*	79	59.85%
3.5*	17			
3.25*	16			
3*	45			
2.5*	12	2*	30	22.73%
2.25*	2			
2*	13			
1.75*	3			
1.5*	7	1*	11	8.33%
1.25*	1			
1*	3			
Total	132		132	100.00%

RAE2008 School of XXX

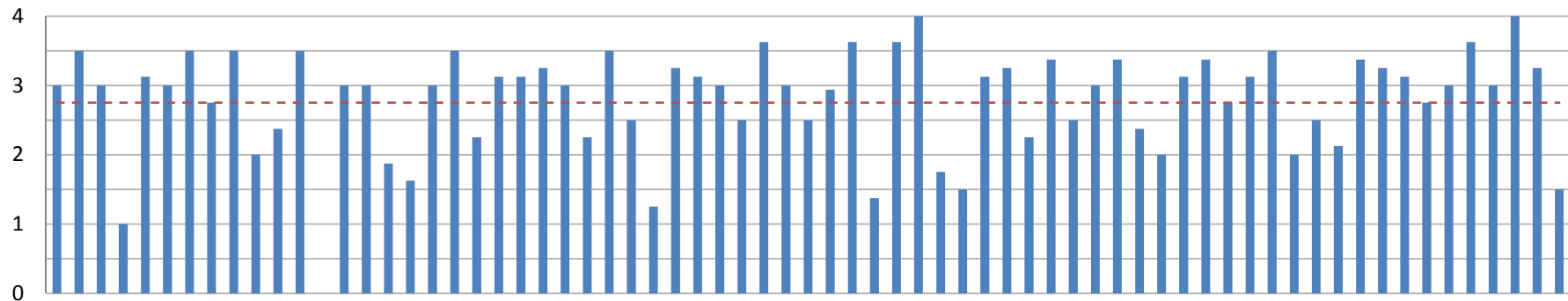


Rating	% of
4*	25%
3*	45%
2*	25%
1*	5%
TOTAL	100%

Note - this includes Research Environment and Esteem

Mid-term REF Review 2011

GPA for all outputs



Dashed line = GPA 2.75

Stephen Holgate, Chair of the REF Main Panel A covering Medicine, Health and Life Sciences,

Outputs:

- Authorship order not an issue as long as contribution is made clear. There will be consensus policy across sub-panels. An output can only be used once per UoA.
- Anticipates that submissions will be smaller. Expects 1* and 2* to be excluded at source. Expects 90% 3*/4* overall.
- Only one submission per sub-panel will be allowed. Sub-groupings will evaluate different disciplines within a combined assessment (e.g. nursing and pharmacy)
- Early career researcher status will be recognised

Stephen Holgate, Chair of the REF Main Panel A covering Medicine, Health and Life Sciences,

Assessors

- These will be added to panels increase its size once it is known the nature of what type of outputs the Sub-panels will be evaluating.
- Universities will be asked to provide info about likely REF submissions in order to inform this. Assessors will have same status as sub-panel members.
- There will be a call for these and institutions will be urged to put staff forward for roles of assessors.

What GPA should we aim for?

- Last RAE 2.58 (UEA 35th)
- Top 20 = 2.71 (Lancaster, Bath)
- 3,3,3,2 = 2.75 (individual threshold target)
- 2.75 = 12th (Edinburgh)
- HUM 2008 = 2.64
- SCI 2008 = 2.63
- SSF 2008 = 2.54
- FoH 2008 = 2.11
- ET suggests UEA Av. target = 3
- 4* will be heavily weighted in QR funding settlement
- 2011/12 will be 3:1:0 (4*:3*:2*)

Impact

- Impact will be based on review of Case Studies
- Weighting for Impact in this REF will be 20% (outputs = 65%)
- Impact to occur between 1 January 2008 and 31 July 2013
- Underpinning research outputs to have been published upto 15 years before the assessment period (may be 5 years longer for some UoAs)
- One case study plus one per 10 FTE to be submitted (i.e. minimum two)
- Statement on how the unit supported and enabled the achievement of Impact (amended Impact Statement)

Stephen Holgate, Chair of the REF Main Panel A covering Medicine, Health and Life Sciences,

Impact

- Statement to count for 4% so the case studies total 16%.
- Panel will load the Impact evaluation against the newness of the School/Dept. Statement offers an opportunity to explain what is being done to DEVELOP impact
- All impacts could come from one area of activity – don't need to have every theme/sub-group represented
- HEIF funding will subsequently be correlated to Impact scores
- Detailed information coming as to what particular levels of activity (eg industrial connection) equate to in terms of impact – available in July.

Impact Case Studies

- 500 FTE distributed across 20 UoAs
- 1 per 10 FTE + 1 per UoA
- $50 + 20 = 70$ case studies
- Case study workshops are taking place in Faculties
- The full 2 remaining years will be needed to collect the evidence to support these studies
- What do we do when a UoA submission is on the cusp (e.g. 20 or 21 FTE)?

Impact Case Studies

Scope of the impact assessment

- The impact element will include all kinds of social, economic and cultural benefits and impacts beyond academia
- Submitted impacts may be at any stage of development or maturity, so long as some change or benefit beyond academia has taken place during the assessment period.
- Submissions will be assessed in respect of impacts that have taken place during the assessment period, and not future or potential impacts.
- Impacts or benefits arising from engaging the public with the submitted unit's research will be included. Dissemination activity – without evidence of its benefits – will not be considered as impact.

Impact Case Studies

Attribution and timeframe

- submitting unit must show that it undertook research that made a distinctive contribution to achieving the claimed impact or benefit, that meets standards of excellence that are competitive with international comparators.
- The submitting unit need not have undertaken all of the contributing research, or have been involved in exploiting the research.

Impact Case Studies

- **It is essential that we share our plans for impact case studies**
- **ET has resolved that a school will present one or more impact case studies at every Heads meeting between now and 2013**

Ensuring the Strategy is Clear

There is a need for clarity of communication of the University's over-arching principles in approaching the REF. ET's principles are:

- The University's overall goal is to maximise the grade point average score for the institution as a whole and not maximise the volume of QR earned.
- The University will only submit staff that it is judged will make the REF submission threshold (min 3332)
- It is ultimately for the Vice Chancellor to decide who will be submitted and in which UoAs. (The hierarchy of decision making is: School Research Directors and Heads of Schools; Associate Deans (R) and Deans of Faculty; PVC(REE) and Vice Chancellor
- Staff should be submitted to the Unit of Assessment to which they are most likely to be judged most favourably
- REF Units of Assessment in no way prejudice the internal organisation of the University

Clarity in the Faculty around REF- Preparedness Terminology

SSF use A-D classification system to manage staff. The current round of annual research plans have been completed and this data, along with the information from the Mid-Term Review, will allow judgements to be made on the preparedness of individual members of staff.

- **A:** Already makes the REF submission threshold (min 3,3,3,2)
- **B:** We can be **absolutely confident**, given output quality and quantity secured to date that the REF submission threshold will be met. (e.g. except in **very** exceptional circumstances – such as sudden serious illness etc – all Bs will be submitted)
- **C:** We cannot yet be absolutely confident that the REF submission threshold will be met (Cs require careful support, and monitoring and will eventually become, hopefully, Bs, or otherwise Ds).
- **D:** It is already clear that the REF submission threshold is highly unlikely to be met.

Mock REF

- Submit Feb 2012
- Reconfigure into planned UoAs
- Appoint Assessors over summer 2011
- Re-appoint interim REF assessors if appropriate
- Dean of Faculty sign off for assessors
- Full submission required
- 4 publications
- Impact case studies
- Environment statement

Questions from me?

- Are you already giving thought to ways in which the targeting of staff to alternative Units of Assessment may most productively organised
- Do you feel on top of things for “Impact”? You may be the first to be ‘invited’ to present to the next ‘Heads’ meeting!
- Do all the key players know what 3 & 4* performance looks like when making appointments?
- What steps on the performance are you taking in the light of the comments of the assessors and other thoughts that have been engendered within your School?
- Although such staff will, of course, include those whose performance is giving cause for concern, those on the cusp of the 2*/3* or 3*/4* borders are equally important when it comes to the metrics.

Questions from me?

- Have you identified those people that are especially valued. What are you doing to minimise the likelihood that these will be attracted elsewhere?
- Once new people have arrived, how are you mentoring and improving their performance for REF?
- Do we do enough to advise and guide new (and not so new) staff in their writing of papers? E.g. Final editing, suggestions about the most suitable journal, possibility of doing extra work to raise the profile and importance of the final paper.
- Are we doing our best to hire the best people? There is still time! We still have money to appoint - informal head-hunting and searching - bring CVs to the Deans!

REF 2014 milestones

	HEFCE	UEA
April /May 2011	Publication of guidance to panels on developing their criteria and working methods	Completion of the Interim REF Exercise – Outputs Start of the Interim REF Exercise – Impact
June 2011		Completion of the REF Initial Impact Case studies
July 2011	Guidance on submissions published REF Panels consult on criteria	
Summer 2011	Consultation on panel criteria and workshops for research users to input on impact criteria	
October 2011	Consultation on panel criteria and working methods closes	
January 2012	Panel criteria and methods published	
Early - Mid 2012		UEA Mock REF exercise
Autumn 2012	Pilot of submission system	
January 2013	Submission system operational Invitation to HEIs to make a submission	
Spring 2013	Survey of HEI submission intentions	
31 July 2013	End of Assessment period for research income, PGR data and research impact	
31 October 2013	Census date for staff eligible for selection	
29 November 2013	Submission Deadline	
31 December 2013	Publication cut off period	
December 2014	Outcomes Published	