UNIVERSITY OF
LEADING
THE WAY
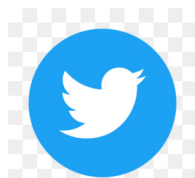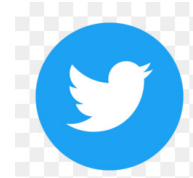WESTMINSTER

REF 2021 Research Excellence Framework

Dr David Cunningham

REF Dir & Reader School of Humanities

Dr Nicola Haines

Head of Research Office

@UoW_Research

Agenda

1) Session purpose and background to REF

2) Outline of the overall process

3) Staff Eligibility and the Institutional Code of Practice

4) Outputs

5) Impacts

6) Environment

7) Timeline

8) Any questions?

UK Research and Innovation (UKRI) funds research in universities via the dual support mechanism

Research England

Natural Environment Research Council

Innovate UK

Science and Technology Facilities Council

Arts and Humanities Research Council

UK Research & Innovation (UKRI)

Biotechnology and Biological Sciences Research Council

Medical Research Council

Economic and Social Research Council

Engineering and Physical Sciences Research Council

Annual Quality Related (QR) funding – level determined by REF results (currently around 4.4M/year)

+

Grants for specific projects and activities (currently around 4M/year)

Research England Manages the REF Process

REF is carried out in order to:

a) inform the **selective allocation** of QR funding

b) give the public evidence of **the benefits** of research investment

c) establish **standards** of research quality

REF is Based on Expert Panel Review

Panel A
Medicine, health and life sciences

Panel B
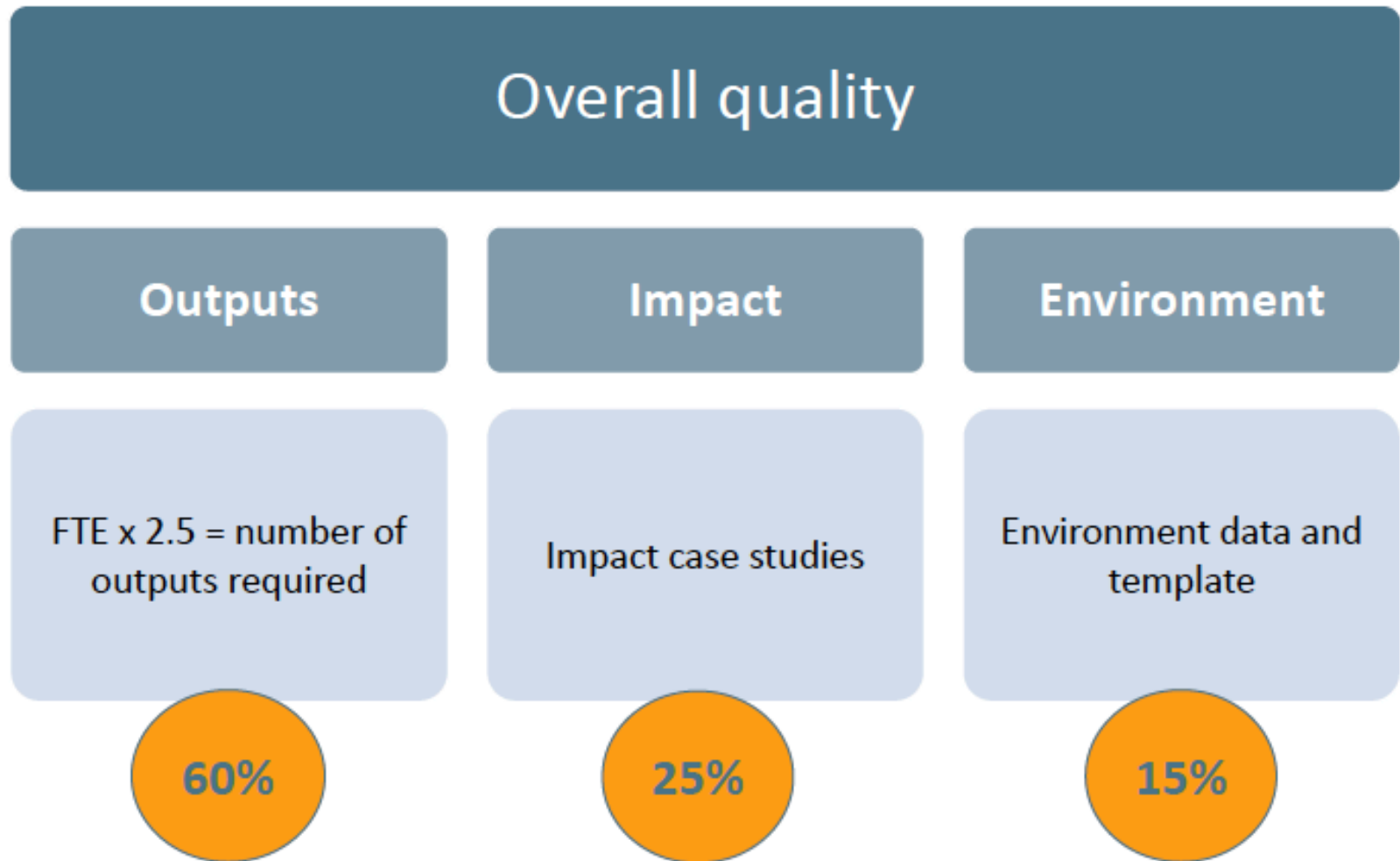Physical sciences, engineering and mathematics

Panel C
Social sciences

Panel D
Arts and humanities

34 subject sub-panels or units of assessment (UoAs)

Interdisciplinary research advisory panel (IRAP) – advise and support for cross panel collaboration

Each UoA submission is assessed on three criteria: Outputs, Impact and Environment

Overall quality

Outputs	Impact	Environment
FTE x 2.5 = number of outputs required	Impact case studies	Environment data and template
60%	**25%**	**15%**

Quality is expressed as a star rating
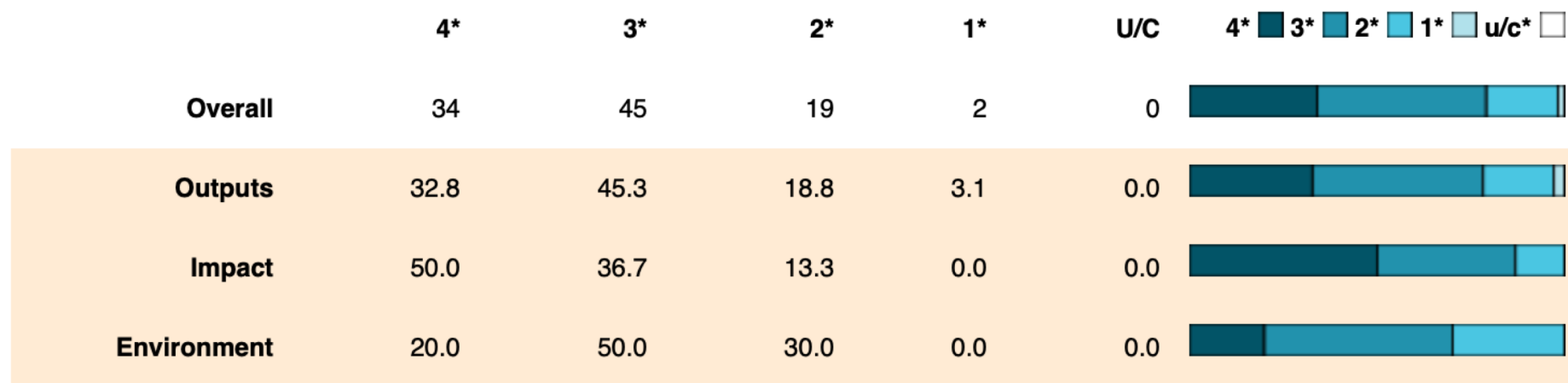
Four star	Quality that is world-leading in terms of originality, significance and rigour.
Three star	Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.
Two star	Quality that is recognised internationally in terms of originality, significance and rigour.
One star	Quality that is recognised nationally in terms of originality, significance and rigour.
Unclassified	Quality that falls below the standard of nationally recognised work. Or work which does not meet the published definition of research for the purposes of this assessment.

Quality Profile for UoA29 from REF 2014

29 - English Language and Literature

University of Westminster

% of the submission meeting the standard for:

	4*	3*	2*	1*	U/C	
Overall	34	45	19	2	0	
Outputs	32.8	45.3	18.8	3.1	0.0	
Impact	50.0	36.7	13.3	0.0	0.0	
Environment	20.0	50.0	30.0	0.0	0.0	

Legend: 4* ■ 3* ■ 2* ■ 1* □ u/c* □

Category A staff FTE: 17.70   Category C staff headcount: 0   Category A and C staff headcount: 20

Institutions do not receive the **individual** star rating of any output or impact case study

Understanding Staff Eligibility

Understanding Staff Eligibility

Staff submitted to REF must:

- Be employed on a contract of 0.2 FTE or above

- Be in post on the census date of July 31st 2020

- Have a verifiable substantive connection to the institution

- Be returned to HESA as category A staff "teaching and research" or "research only"

- If "research only" they must be an independent researcher

Understanding Staff Eligibility

- For REF2014 institutions were able to chose from amongst the eligible staff who they submitted to REF

- For REF2021 institutions have to choose between two approaches……

  100% submission OR a Code of Practice

For REF2021 Westminster is developing a Code of Practice

Code of practice needs to provide for:

- the fair and transparent identification of staff with **significant responsibility for research** (for teaching and research staff)

- determining who is an independent researcher (for research only staff)

Along with other HEIs we will be relying on the **allocation of research hours as recorded in WAM** to identify staff that hold significant responsibility for research

Developing our Code of Practice

- Heads of School are being asked to ensure research hours are recorded in WAM by March 1st

- Equality impact assessment will be conducted to compare the profiles of staff identified as eligible and those not eligible

- Staff will be able to appeal their classification

- Our draft CoP needs to be submitted to Research England by **June 7th 2019** with final publication expected December 2019

- Process of determining eligible staff and appeals will continue until the census date of 31st July 2020

REF workflow for determining staff eligibility
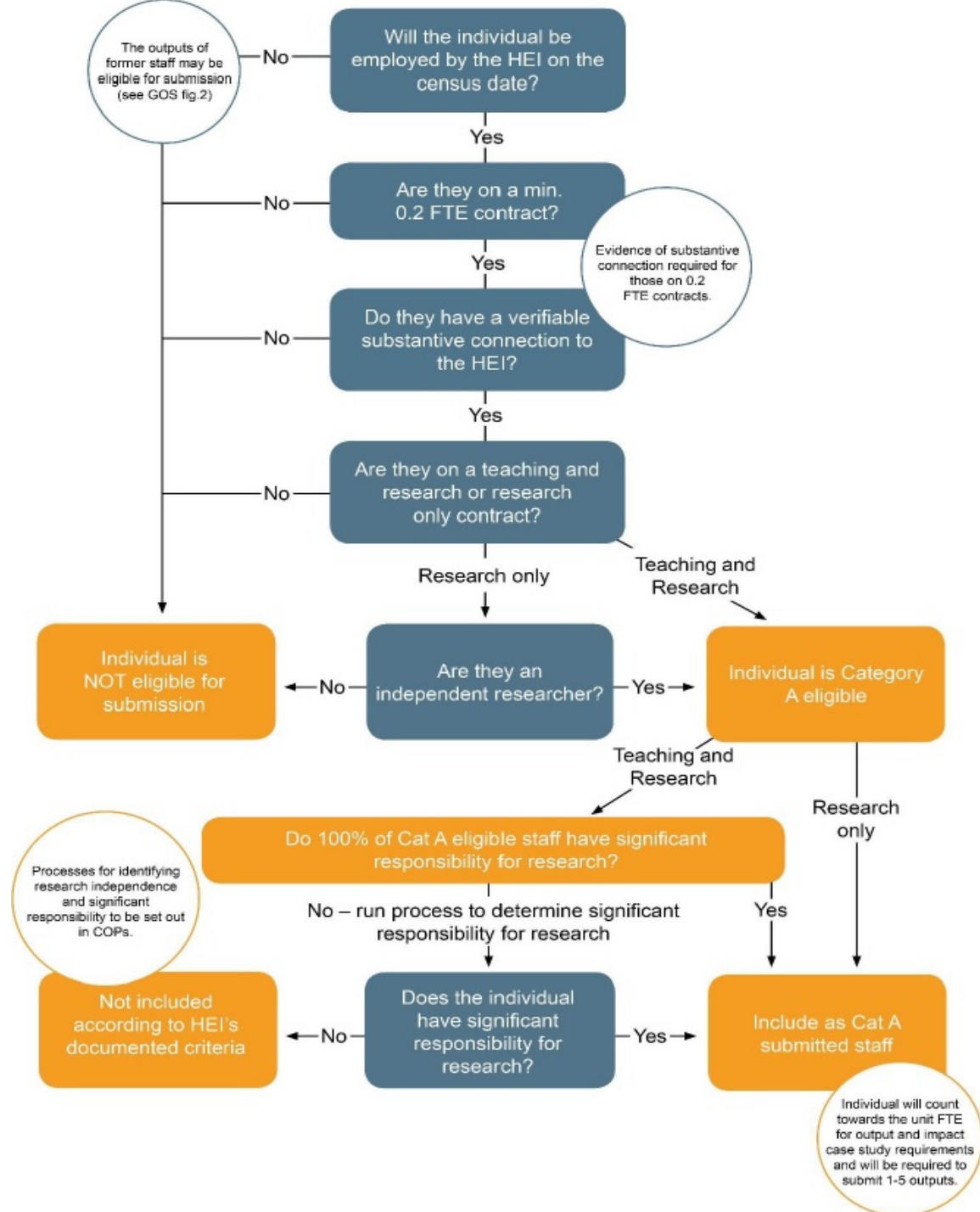
Outputs
= 60% of overall quality rating

Output Eligibility

To be eligible, all outputs have to:

- have been made publicly available for the first time **between 1/1/2014 and 31/12/2020**

To be eligible, all journal articles have to:

- Conform to **Open Access** requirements

- Have been **deposited in the Virtual Research Environment** within three months of acceptance by a publisher
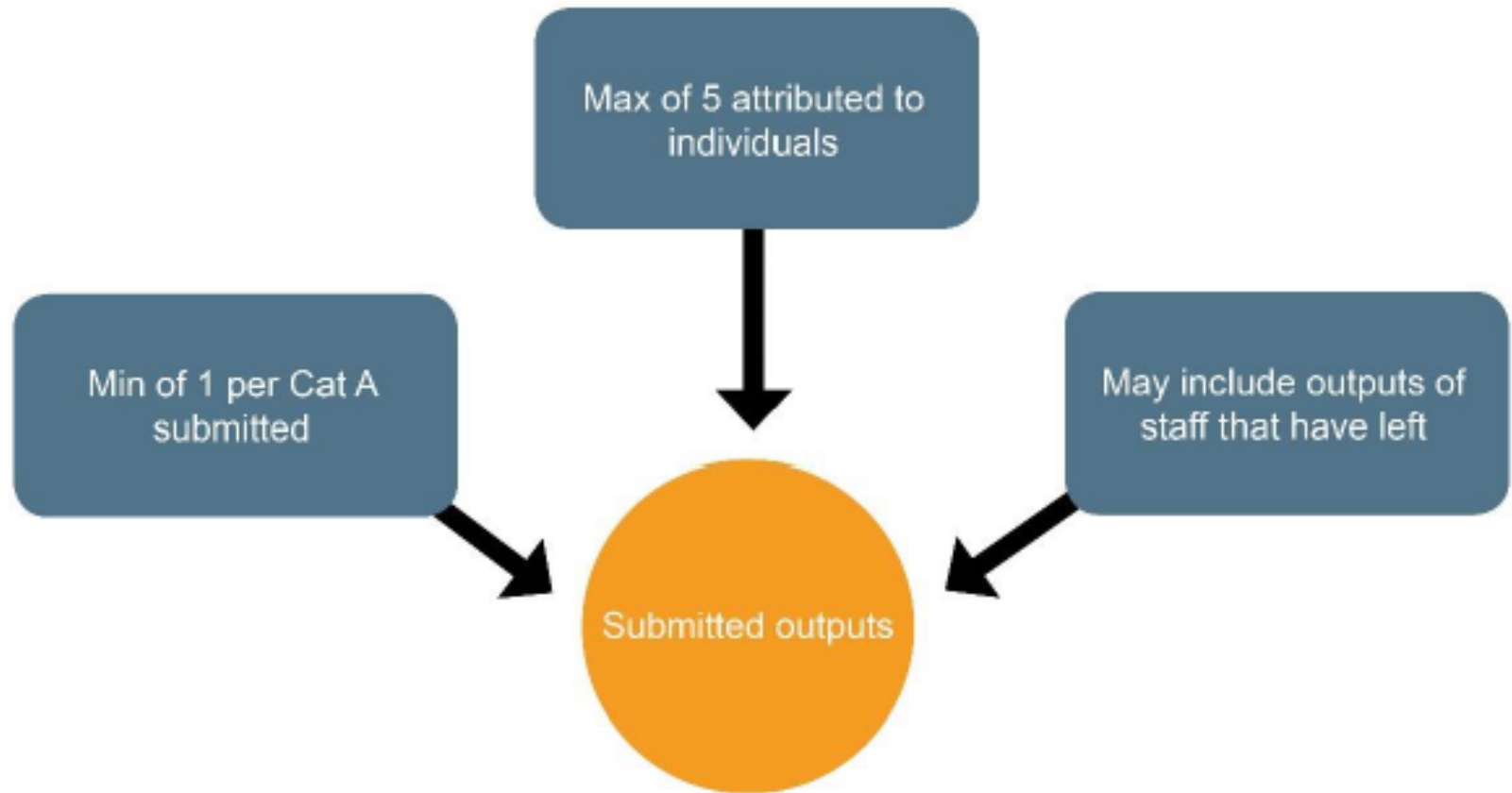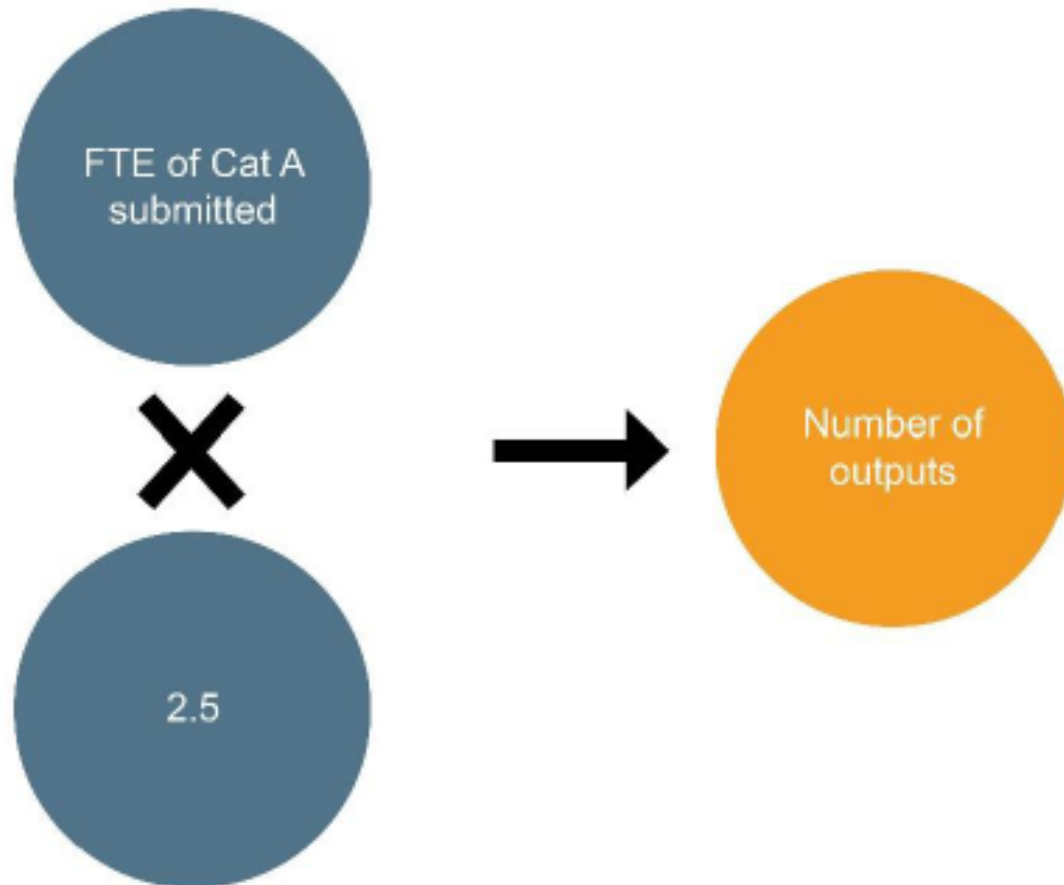
Staff Output Requirements

As opposed to the last REF, different staff may submit different numbers of outputs (up to a maximum of five), providing the overall number of outputs required is submitted by the UoA as a whole.

However, all staff returned as having a significant responsibility for research must submit a minimum one output. Where no output is submitted for a member of staff judged to have a significant responsibility for research, the UoA will receive an Unclassified for the 'missing' output.

Outputs: Each submitted staff member must submit 1 output with max of 5/person

Max of 5 attributed to individuals

Min of 1 per Cat A submitted

May include outputs of staff that have left

Submitted outputs

Outputs: Number of outputs required for each UoA follows a formula

Selection of outputs

- Internal reading of outputs to assign ratings between 1*-4*
- External readers to moderate ratings
- Highest ranking outputs per/staff member and then the highest ranking outputs up to a max of 5/person within the UoA
- Ultimate responsibility for the final selection of outputs will lie with the UoA Lead

Internal reading of all available outputs:
Summer 2019
External reports to be completed:
January 2020

Double-weighted and co-authored outputs

- Panels C and D encourage units to request double-weighting of outputs of substantial scope (e.g. monographs or equivalent).
- Such outputs will count as two of the maximum five that may be submitted by any individual
- Co-authored outputs may be submitted more than once across different UoAs or HEIs, but may <u>not</u> be submitted twice within the same UoA submission.

Impact
= 25% of overall quality rating

Impact case studies

- Impact is defined within the REF process as: an **effect on, change or benefit** to the economy, society, culture, public policy or services, health, the environment or quality of life, **beyond academia.**
- This is assessed via **impact case studies** that detail the reach and significance of the impact generated by a specific body of research within the UoA
- Submissions must include two impact case studies up to 19.99 FTE, plus one further impact case study per 15 FTE staff submitted.

Impact case studies

- The impact detailed in the case studies must cover the period 1st Aug 2013 to 31st July 2020.
- These must be underpinned by excellent (2* or above) research underpinned at Westminster between 1st Jan 2000 and 31st Dec 2020.

Environment = 15% of overall quality rating

Environment Data (Doctoral degrees awarded, research income, and research income-in-kind)

REF 5: Environment Statements (a) Institution-level (b) Unit-level.
These must detail 1. Unit context and structure, research and impact strategy;
2. People (staffing, research students, equality and diversity); 3. Income, Infrastructure and Facilities; 4. Collaboration and contribution to the research base, economy and society.

REF organization and responsibilities

UEB lead and overall responsibility: Roland Dannreuther - DVC Education

REF Director: Dr David Cunningham

Head of Research Office: Dr Nicola Haines

Impact:

Jeeshan Gazi – Research Impact Officer (Research Office)

Outputs:

Jenny Evans - Head of Research and Scholarly Communications

Nina Watts - Repository & Open Access Advise

Data for Staff and Environment:

Colleagues in HR, Finance, Planning and IS

Unit of Assessment Coordinators

UOA	UoA Title	UoA Coordinator
3	Allied Health Professions, Dentistry, Nursing and Pharmacy	Miriam Dwek
4	Psychology, Psychiatry and Neuroscience	Coral Dando
11	Computer Science and Informatics	Tamas Kiss
13	Architecture, Built Environment and Planning	Johan Woltjer
17	Business and Management Studies	Franz Buscha
18	Law	Radha D'Souza
19	Politics and International Studies	Graham Smith
20	Social Work and Social Policy	Val Gillies
26	Modern Languages and Linguistics	Gerda Wielander
27	English Language and Literature	John Beck / Louise Sylvester
28	History	Pippa Catterall
32	Art and Design: History, Practice and Theory	May Adadol Ingawanij / Neal White
34	Communication, Cultural and Media Studies, Library and Information Management	Christian Fuchs/Anastasia Kavada

Key Dates

- March 1st 2019 - research hours in WAM

- June 7th, 2019 - Draft CoP to Research England

- Sep 2019 - HESA staff return

- 31July 2020 - Census date for staff and end of assessment period for impacts and research environment

- 27 Nov 2020 - Closing date for submissions

- 31 Dec 2020 - End of publication period for outputs and outputs underpinning impacts

- Dec 2021 - Publication of outcomes

- Spring 2022 - Publication of submission, panel overview reports and sub-profiles