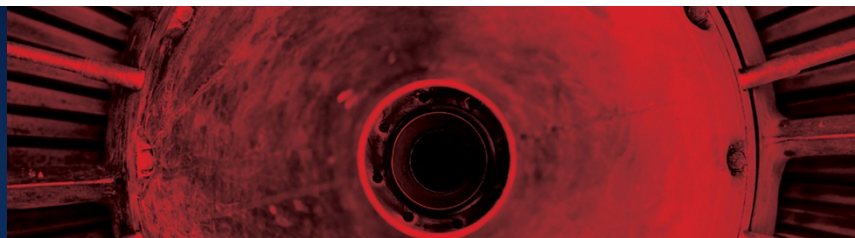
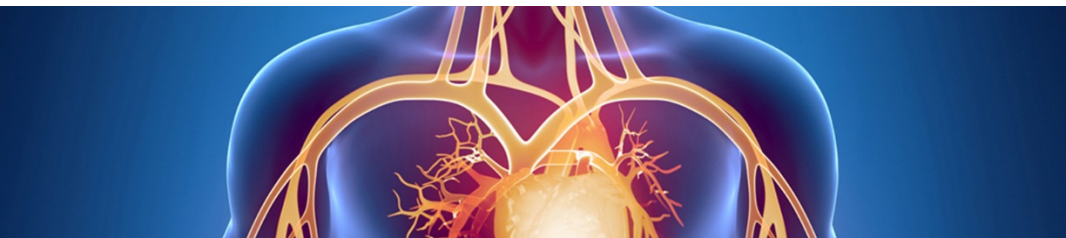




Institutional Research Audit

Developing our output review process and impacts in progress

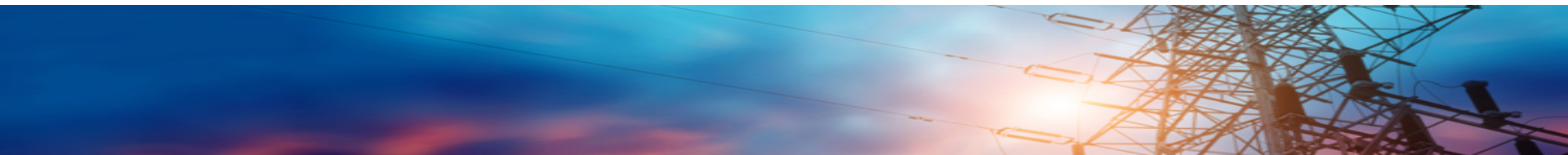
Dr. Craig Young (ex 2390)
Head of Researcher Enhancement
RKES



Research Audit Team

- Craig Young – Team Lead (Ex 2390)
- Scott Kilgariff – Research Indicators (Ex 4271)
- Jo Pitt – Impacts in progress (Ex 4854)
- Lisa Fenwick – Coordination (Ex 4926)

<https://moss.strath.ac.uk/rkesportal/Research/ref/SitePages/Research%20Audit.aspx>



What we will cover

- Audit Background
- Research Audit Data
- Characteristics of 3 and 4* outputs
- Output review process
- Impacts in progress



Audit background

- 4th consecutive year of research audits
- Incorporates internal and external REF2014 feedback
- Consultation for next REF still to be announced
- Assumes no change to REF2014 criteria
- Audit at Department/School level (exc. SBS).
- New Pure REF Module live on 21st October



Research Audit Data

- Department research profiles are based on each department's researchers.
- Colleagues meeting the following criteria are included:
 - Academic contracts
 - Other contracts where “independent researcher” status can be expected
- Prior to Audit Meetings, the REF Team checks with Directors of Research and HR to ensure all relevant staff are included



Research Audit Data

- The Departmental profile is constructed using the individual researcher profiles in Pure:
 - PGR supervision and doctoral awards
 - Research grant awards and research grant income
 - Research outputs (publications) and impact
 - Relevant staff data, e.g. Early Career Researcher status
- Profile data from 01/01/2014 is relevant for REF2020

Please log into Pure to make sure you're happy with your own Pure profile



Research Audit Data

Example of profile used for 2015 Research Audit

Outputs in PURE since Jan 2014

Table 5: Publications Breakdown

Total Pubs	92
Articles and Conf. Papers	80
With attachments*	47

**only includes articles and conf. papers with attachments AND workflow status beyond "entry in progress" AND publications state EITHER "in press" or "published"*

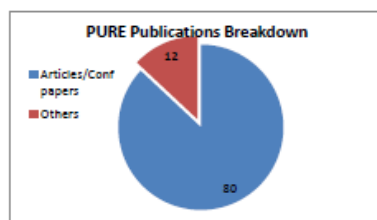


Fig 10: Breakdown of Publications entered

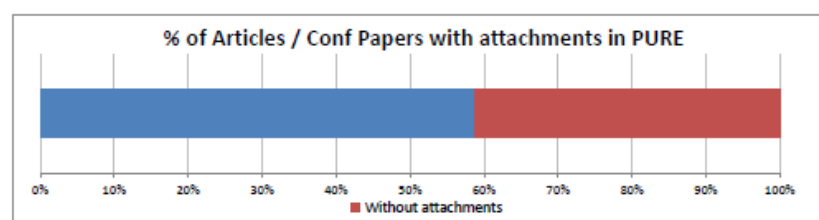


Fig 11: % of Articles / Conf Papers with attachments in PURE

Applications, Awards and Research Income (SunBird Data)

Table 6: 2009/10 to 2013/14, applications, awards, income

	2009/10	2010/11	2011/12	2012/13	2013/14
Application (£k)	4,243	2,645	13,939	8,048	16,937
Award (£k)	2,735	2,284	7,881	6,087	4,025
Income (£k)	1,397	2,029	4,495	6,852	6,282

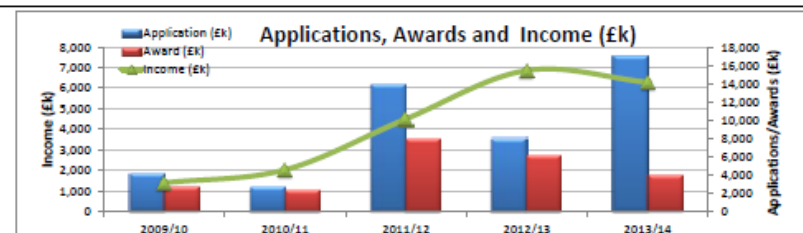


Fig 12: 2009/10 to 2013/14, applications, awards, income

Outputs: Open Access

Date	HEFCE Requirements
01/04/2016	An author final version must be deposited in an Open Access repository (PURE) within three months of the date of publication
01/04/2017	An author final version must be deposited in an Open Access repository (PURE) within three months of the date of acceptance

The requirement applies only to journal articles and conference proceedings with an International Standard Serial Number (ISSN). It will not apply to monographs, book chapters, other long-form publications, working papers, creative or practice-based research outputs, or data.

Strathclyde currently working on the basis of **date of acceptance**



Outputs: Academics

- At Institutional level, REF2014 output performance poorer than expected
- Focus for REF2014 was no 1* and reduction of 2*
- For next REF focus will be on increasing 3* and above

Actions

- All eligible staff propose up to 4 outputs in Pure that they believe are of 3 and 4 star quality.
- Staff to provide additional information for each output



Outputs: Academics

- Understanding the different star ratings
- Focus on REF relevant outputs – not all outputs
- Individual circumstances relating to production of outputs.
- Having a publication plan for producing 3 and 4*

Action

- Discuss publication plans with DoR



Assessment Criteria: The difference between 3* and 4*



Outline

- REF criteria and guiding principals
- Characteristics of the level definitions
- Measuring the criteria
- Towards a 4*
- What your department and RKES can do



Originality, Significance, Rigour

The REF criteria in the assessment of outputs was as follows:

- Originality:** The extent to which the output introduces a new way of thinking about a subject, or is distinctive or transformative compared with previous work in an academic field.
- Significance:** The extent to which the work has exerted, or is likely to exert, an influence on an academic field or practical applications.
- Rigour:** The extent to which the purpose of the work is clearly articulated, an appropriate methodology for the research area has been adopted, and compelling evidence presented to show that the purpose has been achieved.



Characteristics of star level definitions

Evidence of originality, significance and rigour was applied with the expectation to provide evidence for, or potential for, a number of the following characteristics:

- ✧ Quality
- ✧ Contribution to knowledge and concepts
- ✧ Influence in the field
- ✧ Changes to policy / practice
- ✧ Influence on processes, production and management
- ✧ Applicability and significance to relevant service users and research users



Measuring the criteria

Quality of outputs	
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.

Measuring the criteria

Contribution to knowledge and concepts

- 4* Research that contributes to **agenda setting**, that is leading or at the forefront of the research area and that has great novelty in developing **new thinking**, **new techniques** or **novel results**
- 3* Makes important contributions to the field at an international standard



Measuring the criteria

Influence in the field

- 4* Major influence on a research theme or field; developing **new paradigms** or fundamental **new concepts** for research
- 3* Contributes important knowledge, ideas and techniques which are likely to have a lasting influence, but are not necessarily leading to fundamental new concepts



Measuring the criteria

Changes to policy/practice; Influence on process; Significance for end user;

- 4*** Major changes/influence
- 3*** Significant changes/influence



Going forward...

Towards a 4*...

- Great ideas lead to great outputs
- 4* output reads like a 4* output from the abstract onwards: *Always ensure you are conveying the originality, significance and rigour of the research.*
- Chose the time to publish carefully. *Early results will likely get published but by building a considerable body of new knowledge until it can produce a substantial article is a more effective strategy to produce a higher quality output.*



Going forward...

What your Department will do...

- Run an effective mentoring scheme supporting academics through various means such as writing sessions and discussion groups
- Implement an effective internal review process

What RKES can do...

- Identify trends and other indicators through tools such as SciVal and Altmetrics
- Provide clear guidance (eg. scoring templates, REF criteria changes)
- Work with your Department to improve any training or support offered



http://results.ref.ac.uk/



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Results & submissions

Introduction

Search submission data

Analysis

Results and submissions


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Scottish Funding Council
Promoting further and higher education



Department for
Employment
and Learning
www.deln.gov.uk

REF2014

4+

4

4-

3+

3

3-

2+

2

2-

1+

1

1-

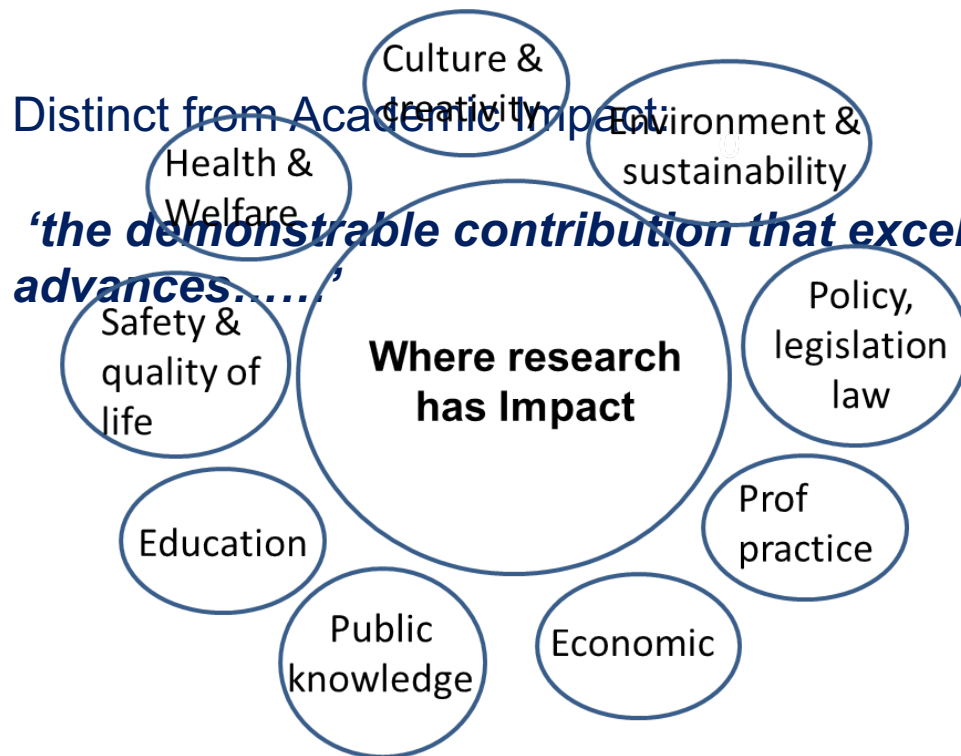
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Outputs: Review

- UoAs/Schools/Departments are best placed to undertake review.
- Consistent and robust review process required.
- REF Panel process:
 - Each output reviewed and rated independently by two internal reviewers
 - 13 point scale used for grading (0, 1-, 1, 1+...4+)
 - Disputed ratings resolved by 3rd reviewer.

What is impact?

“ the demonstrable contribution that excellent research makes to society and the economy” (RCUK)



Impact can be measured by:

- **Reach:** Who or what changed?
- **Significance:** what was the level of change?

Why impact?

“ the demonstrable contribution that excellent research makes to society and the economy” (RCUK)

- **REF 2014** - a measure of research performance – accounting for 20% of the overall profile.
- **RCUK** - greater focus on ‘Pathways to impact’, 7% to support impact (EPSRC).
- **Regionally** – development of Innovation Centres (SFC) to support transformational collaboration between universities and businesses.
- **Institutionally** –Increasing impact forms a key objective of the Strategic Plan, and initiatives such as Impact Accelerator Account, and centres to increase accessibility for research & KE engagement e.g. TIC, Centre for Energy Policy, PNDC.
- **Researchers** – see benefit from your research, explore new avenues of research with new partners often in areas you wouldn’t normally have collaborated.

Impact is here to stay!



Preparing for the next REF



- Impact will be included
- Likely to take the same (or very similar) format - case study
- Working on the basis that number of case studies will remain (~1/1.5 FTE)
- 20% weighting may increase (25%?)
- Impact occurred January 2014-July 2019
- Resubmissions of previous impacts likely to be allowed

We know it's coming!!

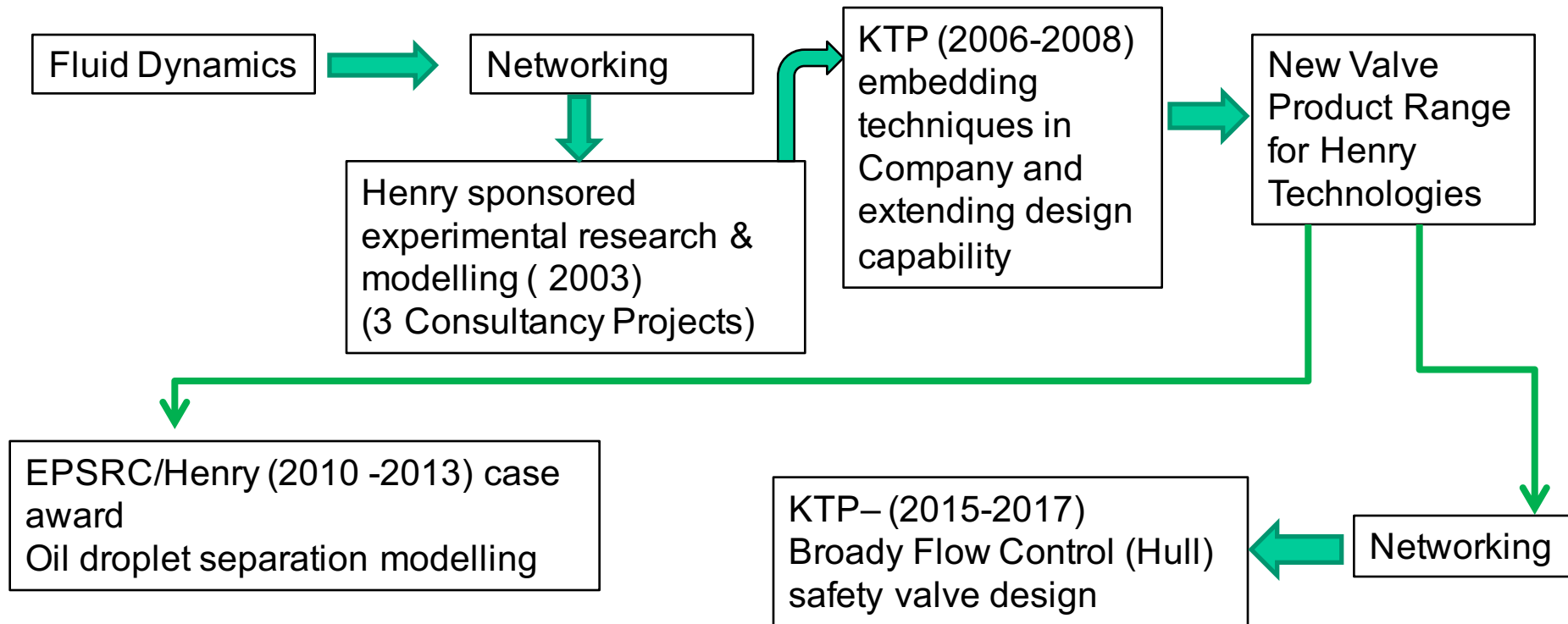


Looking Ahead: The impact Journey



The impact Journey: Case Study 1

Mechanical & Aerospace Eng + Henry Technologies



‘Impacts in Progress’: a snapshot of where you are on the research-impact journey



- **Building on Existing Impact**
- **New Impact**
- **Planning for Impact – early stage, already in progress**



Impacts in Progress

Building on existing impact



- Impact doesn't just 'stop' – can continue long after initial impact has occurred
- Multiple impacts can occur from one body of research
- Recognised by REF – resubmission review included within consultation
- Don't expect a complete rewrite- use existing cases as a base but -
- Outline what has happened since Jan 2014 – how this is linked to the original research
- Highlight what new evidence you have of this – or plan on obtaining



Impacts in Progress

New Impact



- What was the problem/challenge?
- What was the process you went through to bring about change as a result of your research?
- Who or what changed? (the reach)
- By how much did they/it change? (the significance) – can you quantify this with evidence?
- Evidence – webpages, reports, papers, testimonials – or plans to obtain these
- Any plans for further impact in the future?



Impacts in Progress Planning for Impact

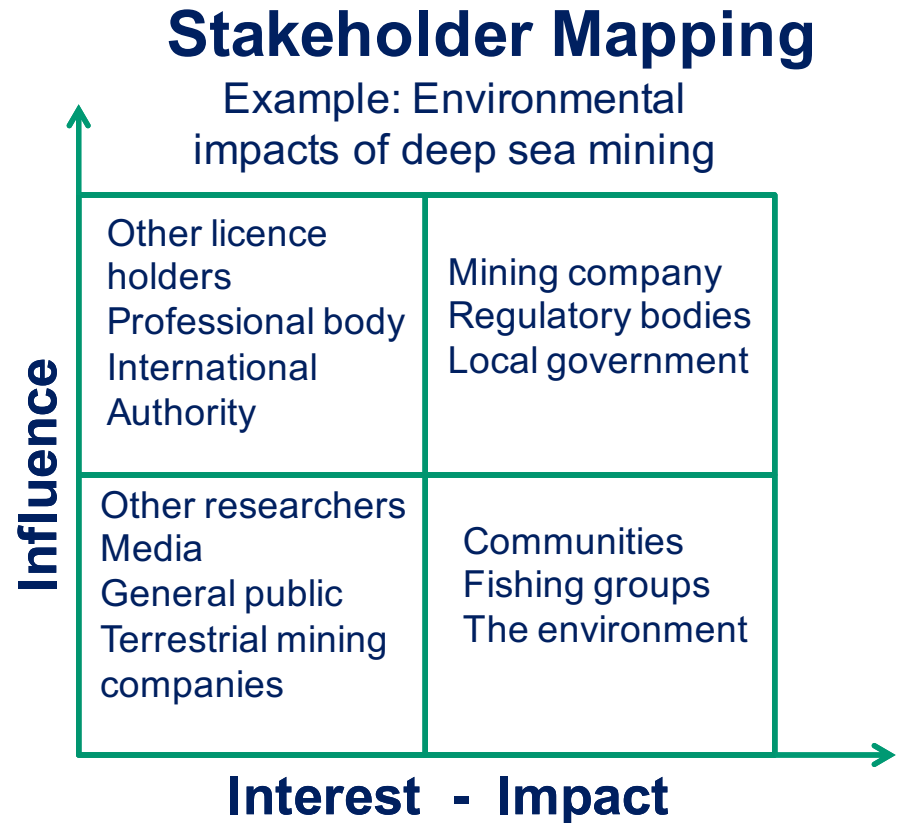


- What is the problem/challenge my research is/was trying to solve?
- Who or what would this benefit?
- Who can facilitate this change to happen
- How do I start this process?
- How will I know if it has been successful?



Impacts in Progress Planning for Impact

- What is the problem/challenge my research is/was trying to solve?
- Who or what would this benefit?
- Who can facilitate this change to happen



Impacts in Progress: Planning for Impact



- **How do I start this process?**

Events, partnership building, one-one engagement, collaborative projects, secondments, publications

- **How will I know if it has been successful?**

What are the measures of success? Change in behaviours?, new product, new service, new or change to existing policy

- **How will I actually measure these?**

plan for testimonials? Quantifiable evidence – but how do you get hold of this – relying on external partners to provide?



Audit 2015 Requirements

Impacts in Progress

- Each Department must produce a number of Impacts in progress as a proportion of academic FTE

Number of Staff (FTE)	Number of Required Case Studies
Up to 14.99	2
15-24.99	3
25-34.99	4
35-44.99	5
45 or more	6, plus 1 further case study per additional 10 FTE

- Each department has a dedicated Impact Coordinator who will provide support to all staff preparing impacts in progress
- Template and Guidance available to download from RKES Sharepoint site



Impacts in Progress Submission

RKES PORTAL Impact » ImpactsInProgress

RKES Portal RKES Support ▾ **Research ▾** Knowledge Exchange ▾

Recently Modified
ImpactsInProgress
Home
How To Use This Library

Costing & Approvals
Data Management
Ethics
Funding
Impact
Impacts In Progress

Pure
Research Excellence Framework (REF)
Researcher Development

Recycle Bin
All Site Content

Research Audit 2016 Impacts in Progress

<https://moss.strath.ac.uk/rkesportal/Research/Impact/SitePages/ImpactsInProgress.aspx>

Within the context of an ever changing research funding environment, achieving impact from our research now forms a core pillar in any research project. Strathclyde's excellent Impact performance in REF 2014, reflects the applied and highly relevant nature of our research. We must continue to build on this success to remain competitive for the next REF. Increased impact forms a key objective of the institution, achieving this will add value to our research and allows us to explore new research areas as a result.



As we move towards the next REF, we need to look forward and plan for impact by building appropriate activities into our research programmes to facilitate and catalyse impact from our research. As such, the Institutional Audit 2016, provides us with the opportunity to review our current level of impact, and plan and prioritise effectively to ensure the development of a strong portfolio of impact.

'Impacts in Progress' is an institutional review of our current level of impact, and our plans to achieve impact over the next 3 years in preparation for the next REF.

Each Department/School is required to submit a number of Impacts in Progress as a proportion of academic FTE.

'Impacts in Progress' will be reviewed using the 'Impacts in Progress Template' below. Please download the template, together with the Academic Guidance and complete the Template following discussion with your Department/School Impact Coordinator. The deadline for submissions is the 29th January 2016.

Please submit your 'Impacts in Progress' using the Add Document button below. Once you have uploaded your completed template, you, as well as your Department/School Impact Coordinators will be able to review and edit your submission.

-  [Research Audit 2016 Academic Guidance_Download.pdf](#)
-  [Research Audit 2016 Impacts in Progress Template Download.docx](#)

Guidance & Template download

Impact Submissions

Name	Faculty	Dept	Created	Created By	Modified	Modified By
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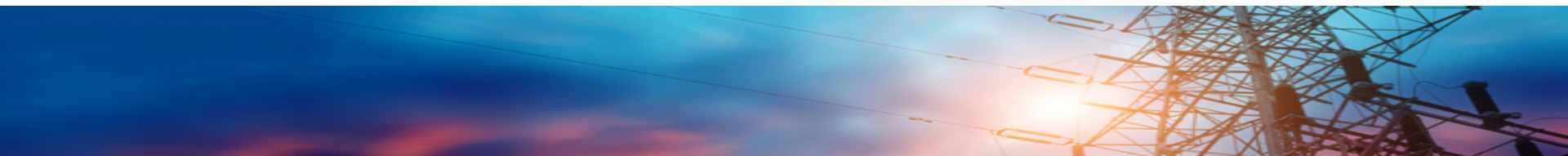
There are no items to show in this view of the "Impact Submissions" document library. To add a new item, click "New" or "Upload".

 [Add document](#)

Upload completed template

Action summary

Propose up to 4 research outputs of 3 and 4 star quality in Pure.	31/12/2015
For each proposed output, provide additional information to indicate the originality, significance and rigour.	31/12/2015
Discuss publication strategy with DoR or Head	Before deadline
If applicable, upload a completed 'Impact in progress' template	29/01/2016
Discuss 'Impact in progress' with your Department/School Impact Coordinator	Before deadline





Questions?

researchaudit@strath.ac.uk

<https://moss.strath.ac.uk/rkesportal/Research/ref/SitePages/Research%20Audit.aspx>

