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# Research Excellence Framework 2014:

## Overview report by Main Panel D and Sub-panels 27 to 36

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# Main Panel D

## Introduction

1. The purpose of this report is to provide key data on submissions, feedback on the process of assessment and an overview of research in the sector. It refers only to research selected by institutions for assessment in REF2014 and submitted to the sub-panels which constitute Main Panel D. The report does not reflect all of the research in the disciplines covered by Main Panel D being undertaken throughout the four nations of the UK. The report has been discussed and collectively agreed by all members of Main Panel D with input from each of the 10 constituent sub-panels.

2. The main panel was comprised of 10 sub-panels, each responsible for a Unit of Assessment (UOA). Together they spanned the breadth of arts and humanities research, as well as covering some fields with a strong social sciences element. This new configuration has offered the opportunity for an overview of arts and humanities research submitted to the REF within a consistent framework for assessment. In this respect the main panel discharged its key responsibility for the overall governance of the process so as to ensure that all submissions, across all 10 sub-panels, were treated equally and fairly, in accordance with the published 'Panel criteria and working methods' (REF01.2012). Accordingly, differences in the quality profiles are a direct consequence of the quality of the research submitted for assessment.

## Executive summary

3. Submissions within Main Panel D demonstrated the considerable strength and contribution of arts and humanities research in the UK. The average overall quality profile for all submissions in Main Panel D<sup>1</sup> shows that: 30 per cent of the submitted research was assessed to be world-leading (4\*); 41 per cent to be internationally excellent (3\*); 24 per cent assessed as internationally recognised (2\*); and 4 per cent as nationally recognised (1\*).

4. Though the profiles for the last Research Assessment Exercise (RAE2008) and REF2014 are not directly comparable, the overall conclusion of the main panel and its sub-panels is that, since 2008, there has been an improvement in the quality of the arts and humanities research submitted for assessment. This is evidenced in the main panel's overall quality profile, which shows a 10 percentage points increase in world-leading research (4\*), from 20 per cent in RAE2008 to 30 per cent in REF2014. Though this is partly a result of the quality of the impact submissions, improvements in the average output and environment profiles also have contributed to this advance. The main panel noted that 98 per cent of the individual submissions to its 10 sub-panels included a percentage of 4\* in their overall quality profiles, which indicates the resilience and depth of arts and humanities research in the UK.

5. Of the research outputs submitted for assessment, 25 per cent were judged to be world-leading (4\*) and a further 41 per cent to be internationally excellent (3\*). There was a decrease of 15 per cent in the number of outputs submitted for assessment and 5 per cent fewer Category A full-time equivalent (FTE) staff. This was due to a combination of factors that included the submission of staff with fewer than four outputs due to a positive use of the guidelines for individual staff circumstances and early career researchers, as well as greater selectivity in the research submitted for assessment. The sub-panels encountered considerable differences of approach in the use of double-weighting which, where used effectively, did have a positive effect on those quality profiles.

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<sup>1</sup> The overall quality profile for each submission is weighted according to the number of Category A full-time equivalent staff in each submission

6. Impact was a new element in the assessment framework to which research users, drawn from a wide range of sectors outside of higher education, made an invaluable contribution. This process also called upon a significant number of organisations and institutions to provide testimonials and data in support of the impact case studies. The main panel wishes to record its appreciation for the invaluable contribution made by these research users, organisations and institutions, both through the wider range of expertise brought to bear and the body of evidence made available. In this first assessment of impact the Main Panel D sub-panels found evidence of many outstanding examples with 37 per cent judged to be outstanding (4\*) and a further 44 per cent to be very considerable (3\*). Whereas some impact case studies demonstrated that the underpinning research had been specifically undertaken to achieve the impacts there were many other instances where significant impacts had not been planned or anticipated when the research was first undertaken.

7. The introduction of a consistent template for the environment greatly assisted the sub-panels in their equal treatment of all submissions. It also served to highlight significant advances in the national infrastructure for research along with the fact that institutions had, generally, evolved more systematic approaches to the development of the research environment in all of its aspects. The average FTE-weighted environment sub-profile for the main panel as a whole was 41 per cent world-leading (4\*), 41 per cent internationally excellent (3\*) and 16 per cent internationally recognised (3\*). This indicates research environments that, through their sustainability and vitality, are conducive to the production of research of world-leading quality and have improved since 2008 through continued investment. Whereas the percentage of doctoral degrees awarded between 2008-09 and 2012-13 increased by 31 per cent the percentage of research income decreased by 4 per cent over the same five-year period. In the latter instance a 10 per cent decline in funding from the Research Councils was accompanied by a 10 per cent increase in funding from the European Union (EU).

8. In REF2014 the main panel assumed greater responsibility for the overall governance of the assessment process across a wider range of sub-panels that spanned the breadth of arts and humanities research, as well as covering some fields with a strong social sciences element. At the outset there was much discussion in the sector about the formation of sub-panels and their membership. The panels' work was divided into two phases: the criteria setting phase followed by the assessment phase. By the second phase the membership of all sub-panels included sufficient expertise to assess all of the material submitted. The wider panel membership resulting from the mergers of some sub-panels also enabled the effective assessment of research where the relevant disciplines intersected.

9. RAE and REF panel members, through their successive engagements with the assessment process, have returned their experience back to the sector to help strengthen and enrich the national infrastructure. In REF2014 panellists collectively scrutinised the material submitted for assessment, and the related evidence, with a high degree of sustained rigour that locates peer review at the heart of the assessment process.

10. International members of the main panel confirmed that 'the assessment had been carried out fairly and with close attention to the published criteria and working methods'. Overall, they confirmed that 'the judgments reached were in alignment with international thresholds of research quality'. User members of the main panel reported that they 'observed that the main panel and sub-panels took seriously the issues of assessing high quality impact, and clearly listened to the users in the sub-panels and respected their views, seeing them as valuable and authoritative'.

11. The main panel and its constituent sub-panels received exemplary support from four advisers and four secretaries each seconded from a UK higher education institution (HEI) for the

duration of the exercise. They, together with the sub-panel chairs, ensured that all phases of the assessment process were conducted in line with the 'Panel criteria and working methods' as published and that sufficient information was available to assure a robust process. The entire exercise has been managed and underpinned by outstanding support from the REF manager and REF team based at the Higher Education Funding Council for England.

## **Panel membership**

12. The total membership of Main Panel D and its constituent sub-panels was 325 along with an observer representing the Arts and Humanities Research Council. In selecting panel members due regard was given to representation from a wide range of constituencies including, for example, subject expertise, geographic location and institutional type. In the case of gender balance, the overall sub-panel membership comprised 54 per cent men and 46 per cent women, with the sub-panel chairs being 64 per cent men and 36 per cent. The diversity of the membership appeared to reflect that of the nominated candidates. Nominating bodies, including subject associations, may wish to consider engaging more actively with the process of nominating panel members, and to have particular regard to equality and diversity issues broadly, not just in relation to gender.

13. Members were appointed to the sub-panels in preparation for work being undertaken in two phases: firstly, the criteria setting phase followed by the assessment phase.

14. The chairs of each sub-panel were also ex-officio members of the main panel who, along with four international and four user members of the main panel, oversaw the work of both phases. Throughout the criteria setting phase all sub-panels included research users as part of their core membership.

15. The core membership of each sub-panel was further enhanced in preparation for the assessment phase to ensure that appropriate specialist expertise was in place across all sub-panels. Accordingly, an additional 94 assessors were appointed for phase two with 40 being impact assessors and 54 being output assessors. Of the total panel membership 61 [19 per cent] were research users (members and impact assessors) who were drawn from a wide range of sectors outside of HEIs. Full details of the panel membership are available at [www.ref.ac.uk](http://www.ref.ac.uk) under 'Expert panels'. The core panel membership was 231 of which 70 panellists (30 per cent) served in RAE2008. One of the International members also served on Main Panel O in 2008, the Chair of Main Panel D also was chair of Main Panel O<sup>2</sup> and the chair of Sub-panel 36 oversaw the equivalent panel in 2008. Of the remaining sub-panel chairs, seven had served in RAE2008 and two were new to the process.

## **Overview of submissions and results**

16. In REF2014 the constituent sub-panels of Main Panel D (MPD) received a total of 579 submissions from HEIs. The number of submissions within each UOA ranged from 22 to 89. In total, 11,863 staff (headcounts) were submitted with 39,323 research outputs and 1,647 impact case studies. The following table shows a breakdown for each UOA along with comparative data for RAE2008.

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<sup>2</sup> The panel structure for RAE2008 may be found at [www.rae.ac.uk/panels/](http://www.rae.ac.uk/panels/).

**Table 1: Summary of submissions**

UOA		Number of submissions	Category A staff FTE	% change in Category A FTE staff	Category A and C staff headcount	Number of outputs	Outputs per Category A and C staff headcount	Impact case studies
MPD	2014	582	10,692	-4.9%	11,856	39,323	3.32	1,647
		<b>754</b>	<b>11,247</b>		<b>12,913</b>	<b>46,457</b>	<b>3.60</b>	-
UOA 27		23	483	-41.5%	503	1,727	3.43	71
	2008	53	825		924	3,425	3.71	-
UOA 28	2014	57	1,386	-5.8%	1,464	4,943	3.38	192
	2008	162	1,471		1,581	5,779	3.66	-
UOA 29	2014	89	1,971	+6.5%	2,155	6,933	3.22	283
	2008	87	1,851		2,054	7,441	3.62	-
UOA 30	2014	83	1,786	+1.4%	1,885	6,458	3.43	267
	2008	83	1,761		1,927	6,960	3.61	-
UOA 31	2014	22	383	-7.7%	401	1,388	3.46	59
	2008	24	415		461	1,657	3.59	-
UOA 32	2014	40	591	+3.1%	641	2,174	3.39	101
	2008	42	573		614	2,151	3.50	-
UOA 33	2014	33	413	-13.8%	443	1,562	3.53	78
	2008	38	470		540	1,988	3.68	-
UOA 34	2014	84	1,604	-21.1%	2,027	6,356	3.14	239
	2008	102	2,034		2,697	9,331	3.46	-
UOA 35	2014	84	1,142	+13.9%	1,318	4,261	3.23	197
	2008	95	1,003		1,211	4,338	3.58	-
UOA 36	2014	67	935	+10.7%	1,019	3,521	3.46	160
	2008	68	845		904	3,387	3.75	-

17. Though the UOAs in Main Panel D received 23 per cent fewer submissions than in RAE2008 this reflected many instances where smaller submissions had been consolidated into a single unit. In this respect, and by contrast, the volume of FTE staff reduced by just 5 per cent. This was particularly evident in UOA 28 (Modern Languages and Linguistics) (comprising seven separate sub-panels in RAE2008) where the number of submissions reduced by 65 per cent but the total number of FTE staff by just 6 per cent. Again, UOA 35 (Music, Drama, Dance and Performing Arts) (comprising two separate sub-panels in RAE2008) received 12 per cent fewer

submissions but saw an increase of 14 per cent FTE staff. Instances where there were reductions in both the numbers of submissions and the numbers of FTE staff were UOA 27 (Area Studies) (-57 per cent submissions, -41 per cent staff), and UOA 34 (Art and Design: History, Practice and Theory) (-18 per cent submissions, -21 per cent staff). UOAs 29, 30, 32, 35 and 36 saw increases in submitted staff ranging from 1 per cent to 14 per cent.

18. Overall, the headcount number of staff (Category A and C) reduced by 1,057 (8 per cent) from 12,913 in RAE2008 to 11,856 in REF2014.

19. The main panel welcomed the evidence it received of high quality research and impact being delivered in the disciplines covered by the main panel throughout the UK, and commends HEIs for their efforts in supporting the delivery of this activity. Table 2 shows the average overall quality profile for the submissions in each UOA, and for all submissions in the main panel as a whole<sup>3</sup>.

**Table 2: Overall quality profiles (FTE weighted averages)**

UOA	Name	Average percentage of research activity judged to meet the standard for:				
		4*	3*	2*	1*	U
	Main Panel D	30	41	24	4	1
27	Area Studies	28	42	25	5	0
28	Modern Languages	30	42	23	4	1
29	English Language and Literature	33	41	22	4	0
30	History	31	44	23	2	0
31	Classics	34	42	22	2	0
32	Philosophy	31	42	24	3	0
33	Theology and Religious Studies	28	40	27	5	0
34	Art and Design: History, Practice and Theory	26	42	25	6	1
35	Music, Drama, Dance and Performing Arts	29	39	24	6	2
36	Communication, Cultural and Media Studies, Library and Information Management	29	38	24	8	1

## Panel working methods

20. The main panel's working methods were designed to ensure that the criteria as published in the 'Guidance on submissions' (REF02.2011) and the 'Panel criteria and working methods' were consistently applied across all of the sub-panels. Consequently, the main panel agreed common principles to govern the working methods developed by each of its sub-panels and a

<sup>3</sup> The averages profiles are calculated by weighting each submission by the number of Category A staff FTE in each submission. This method is also used to calculate the FTE-weighted average sub-profiles in tables 6, 9 and 11 below.

common framework to help calibrate the application of these criteria both within and across the sub-panels.

## **Principles**

21. All sub-panels observed the following principles when implementing their working methods:

- From the start of the assessment process to the final agreement of profiles, no sub-panel member had any knowledge of the performance of their own institution's submission, or the submission of any other HEI with which they had a major conflict of interest.
- At no point during or after the assessment process did panel members see detailed grades for their own submission or the submission of any other HEI with which they had a major conflict of interest.
- Individual elements within each submission were assessed by a range of sub-panel members identified for their expertise to undertake such assessments and to ensure that no one person had too great a degree of influence over the quality profiles for a particular submission.
- Each, and all, of the individual elements within a submission were scrutinised in sufficient detail to form robust quality judgments.
- Mechanisms were put in place to assure the robustness of judgments by identifying and addressing significant differences in grades and borderline cases.
- Output and impact assessors operated as full and equal members of their sub-panels for the element of the assessment (i.e. outputs or impact) for which they were responsible.
- The responsibility for agreeing quality profiles, and for recommending these to the main panel, lay with the sub-panel as a whole.

## **Framework**

22. In developing their working methods each sub-panel ensured that the assessment of components within a submission (outputs, impact, and environment) was through the following roles: (i) chair (ii) lead and (iii) reader.

23. The chair (and deputy) ensured the good governance of the assessment process by:

- Overseeing planning of the sub-panels' work and ensuring the timely delivery of results to the main panel on completion of the assessment
- Ensuring adherence to the agreed criteria, working methods and equalities guidance, and consistent application of standards
- Identifying and allocating leads and readers to the elements of submissions
- Working with main panel international members and user members to ensure the calibration of standards
- Mediating discussions between sub-panel members and monitoring of grading by sub-panel members with a view to ensuring consistent application of standards and procedures

- Reporting the sub-panel's progress to the main panel and both seeking and providing advice to the main panel chair and REF team as required
- Presenting and explaining the sub-panel's recommendations to the main panel.

24. Leads were identified for each component of a submission (outputs, environment, impact) and worked with the chair (and deputy) to:

- Identify material to test and assure the consistency of quality judgments
- Report issues arising and identify any need for additional expertise
- Check specific instances of borderline cases and unclassified judgments
- Resolve any differences in grades between reviewers of the materials
- Examine requests for the double-weighting of research outputs
- Co-ordinate additional readings of outputs where appropriate
- Draft a concise statement of feedback to the HEI on a sub-profile.

25. Readers were identified on the basis of their expertise to assess elements of a submission allocated to them and to recommend quality grades. They examined all such material in sufficient detail so as to form robust quality judgments. They also made recommendations in response to requests for the double-weighting of research outputs.

26. Environment templates and impact templates were scrutinised by each sub-panel as a whole. The leads for environment were academic members of the sub-panel, supported by at least one further reader; the leads for impact templates were academic members of the sub-panel supported by two or more readers, one of whom was a user member or impact assessor. In the case of impact case studies at least one reader was an academic member and at least one a user member or impact assessor. The assessment of all research outputs within a submission was overseen by a lead who was an academic member of the sub-panel along with at least one reader.

27. In allocating material for review, all sub-panels ensured that appropriate expertise was brought to bear on the element of the submission in question. In some instances, further readers reviewed submitted material where, for example, a judgement could not be reached because of a lack of sufficient specialist knowledge, or there was disagreement between reviewers, and this might involve the chair or deputy chair of a sub-panel acting as arbitrator. Specialist advisers were used to review outputs in languages outwith a sub-panel's competence; further comments may be included in sub-panel reports. Cross-referral was employed as laid out in paragraphs 42-45 below, where the sub-panel in question did not consider that it had sufficient expertise to reach an informed judgement on an output (no impact case studies were cross-referred in Main Panel D).

28. At each stage of the process, sub-panels reported on their working methods. They made recommendations to the main panel on any issues encountered and the outcomes of assessment. All results were approved by the main panel as a whole. In discharging its responsibility for the good governance of the assessment process the main panel also operated as a forum for discussion of contentious issues encountered during the assessment process (for example, consistent guidance for sub-panellists on dealing with such issues was developed where this was thought appropriate).

29. The main panel chair and international members attended many of the sub-panel meetings as a means of reviewing and confirming consistency of approach across the sub-panels, as well as to provide advice to sub-panels on matters of cross-panel significance.

30. The main panel concluded that the introduction of these common working methods was an improvement in practice compared with RAE2008, ensuring an appropriate degree of consistency across sub-panels without being unduly constraining on each sub-panel's responsibility to address matters of disciplinary significance. Given the thematic commonality of case study materials, a further enhancement to working methods and calibration could be the introduction of a mechanism to enable the effective wider sharing of impact assessor expertise across the sub-panels.

31. The main panel noted that those sub-panels which had been formed by the merger of a number of previously separate sub-panels had in general operated very successfully. In particular, the wider panel membership resulting from these mergers had enabled the effective assessment of research where the relevant disciplines intersected or overlapped (for example, aspects of Film Studies in Sub-panel 35). It should be added, however, that the members of Sub-panel 36 concluded that the two areas of Communication, Cultural and Media Studies, and Library and Information Studies were less cognate, representing quite discrete areas of research without overlap, and that therefore they did not see the same benefits in disciplinary terms as did Sub-panels 27, 28, 34 and 35.

### Calibration

32. In preparation for the assessment phase the main panel and its sub-panels undertook initial calibration exercises that were designed to ensure the criteria and quality thresholds were consistently applied within and between the sub-panels. These initial calibration exercises were followed by a process of ongoing calibration that ran throughout the assessment phase, including a continuous process of review of grading patterns conducted by sub-panel chairs and their deputies, and regular discussions at main panel meetings.

33. International and user members of the main panel played central roles in the overall calibration process. They chaired review groups within the main panel, participated in the calibration of submitted materials and international members observed sub-panel meetings throughout the assessment phase. One of the international members had also been involved in the RAE2008 and so was able to compare both exercises. Likewise, the main panel and sub-panel members who had served in RAE2008 engaged in the calibration exercises alongside new panel members so as to assist continuity across the two exercises.

34. Materials were selected from research outputs, impact case studies and environment templates for use in the initial calibration exercises. These were considered against the assessment criteria set out for outputs, impact and environment and as further amplified in the 'Panel criteria and working methods'.

35. In the case of outputs the materials selected for calibration were specific to each sub-panel but assessed against a common framework of criteria across all sub-panels drawn from the 'Panel criteria and working methods' (paragraph 80) as shown below, to ensure consistency of approach and adherence to the published criteria.

	4*	3*	2*	1*
	World-leading	Internationally excellent	Internationally recognised	Nationally recognised
A primary or essential point of reference	An important point of reference	A recognised point of reference		
Or profound influence	Of lasting influence	Of some influence		
Instrumental in developing	A catalyst for, or important	An incremental and		Based on existing traditions

new thinking, practices, paradigms, policies or audiences	contribution to, new thinking, practices, paradigms, policies or audiences	cumulative advance on thinking, practices, paradigms, policies or audiences	of thinking, methodology and/or creative practice
A major expansion of the range and depth of the research and its application	A significant expansion of the range and depth or the research and its application	A useful contribution to the range and depth of the research and its applications	A useful contribution of minor significance
Outstandingly novel, innovative and/or creative	Significantly novel, innovative and/or creative		

36. In the case of impact and environment, the same materials were used in both the sub-panel and main panel calibrations to ensure that sub-panel members calibrated material from across the main panel UOAs as part of the calibration exercise for impact and environment. Each sub-panel selected a range of calibration materials that illustrated assessment issues distinctive to their disciplines and, generally, across the main panel as a whole, i.e.:

Research outputs	the range of output types in each UOA requests for double-weighting
Impact case studies and templates	the impact period a range of HEI types a range of impact types a range of evidence types
Environment Templates	a range of HEI types a range of environment types e.g. scale.

37. As part of the initial calibration exercises the main panel reviewed the materials across all of the sub-panels and provided feedback both at this stage and throughout the ongoing process of calibration. At each stage of assessment where there was a spread of grades from sub-panel members or where grades deviated significantly from the mean these were reviewed and re-calibrated.

38. A further calibration exercise with respect to impact material was carried out across all four main panels towards the end of the assessment period, with a view to ensuring as far as possible the consistent application of standards for assessing impact case studies. The four main panel chairs and a sample of international and user members from each main panel participated. The outcome confirmed an appropriate degree of consistency of approach between the four main panels.

### Interdisciplinary research

39. Steps were taken to ensure interdisciplinary research was appropriately assessed:

- Cross sub-panel membership: SPs 27 and 33 shared an output assessor, with expertise in Hebrew and Jewish Studies. SP 28 shared an output assessor with SP 25 Education; SPs 35 and 36 shared two output assessors with specialisms in Film

Studies. SPs 29 and 30 shared an output assessor with a specialist interest in American Studies. SPs 30 and 31 shared a user member with expertise in publishing.

- Cross sub-panel working: SPs 28 and 29 cross-calibrated with respect to Linguistics and Creative Writing, and advice was provided by SP 29 on the assessment of Creative Writing outputs where requested by other sub-panels, with particularly close working between SPs 28 and 29 with respect to such outputs.
- Panel membership: the makeup of sub-panels, particularly those formed through the combination of previously separate RAE sub-panels, was more inter- and multidisciplinary than in the past, and thus better equipped to cope with such research.
- Sub-panel chairs consulted on matters of common interest, including issues relating to the assessment of interdisciplinary research and material at the boundary of their UOAs, throughout the process, both to ensure parity of treatment of such material and to identify and benefit from specific expertise within particular sub-panels.
- Cross-referral: where appropriate, outputs were cross-referred to other sub-panels for advice (see paragraphs 42-45).

40. Whilst it was evident that much research submitted to individual UOAs was interdisciplinary within the broadest definitions of the relevant discipline, there was significantly less evidence of interdisciplinarity across discipline boundaries. It is not possible to say from the material as it was presented whether this reflects a lack of such research being undertaken, or an unwillingness by institutions to include such research within their submissions.

41. Analysis was carried out by the REF team to ascertain whether interdisciplinary research was scored more or less favourably than other types of research. This analysis showed no significant difference in scoring patterns between research flagged by institutions as interdisciplinary and other types of research (see [www.ref.ac.uk](http://www.ref.ac.uk) under 'Results & Submissions' then 'Analysis').

### **Cross-referral**

42. Of the 39,323 research outputs submitted to the UOAs within Main Panel D, 1,487 (3.8 per cent) were cross-referred out to other sub-panels. In such instances the receiving sub-panel provided the 'home' sub-panel with advice, and the latter remained responsible for the grading. Of these cross-referred outputs, 67 per cent were to other sub-panels within Main Panel D, and the remaining 33 per cent to sub-panels within the other three main panels.

43. The sub-panels within Main Panel D received a total of 1,140 outputs through cross-referral. Of these, 88 per cent were from other sub-panels within Main Panel D and the remaining 12 per cent were from sub-panels within the other three main panels.

44. Some sub-panels were surprised to receive submissions that included material significantly outwith their UOA boundary descriptor as outlined in the 'Panel criteria and working methods'. Such instances did not appear to be explained by the internal structures of the institutions in question. In these instances the sub-panel's judgement was informed by advice received through cross-referral, in order to ensure that appropriate expertise was brought to bear on the assessment of this research, and that there was a consistent application of quality standards across broadly similar discipline areas.

45. Please see the individual overview reports for each sub-panel for an explanation of the activity mapped in table 3.

**Table 3: Cross-referrals**

UOA	Name	Cross-referrals out to other sub-panels			Cross-referrals in from other sub-panels		
		Within MPD	Outside MPD	Total out	From within MPD	From outside MPD	Total in
	Main Panel D	1,002	485	1,487	1,002	138	1,140
27	Area Studies	55	32	87	131	3	134
28	Modern Languages	130	53	183	146	28	174
29	English Language and Literature	97	6	103	145	4	149
30	History	220	18	238	59	33	92
31	Classics	15	12	27	161	10	171
32	Philosophy	13	15	28	47	22	69
33	Theology and Religious Studies	49	22	71	45	4	49
34	Art and Design: History, Practice and Theory	55	179	234	135	24	159
35	Music, Drama, Dance and Performing Arts	52	25	77	99	6	105
36	Communication, Cultural and Media Studies, Library and Information Management	316	123	439	34	4	38

## Scoring scheme

### Outputs

46. Each output was assessed against the criteria of originality, significance and rigour, with particular reference to the expansion of the quality descriptors in the 'Panel criteria and working methods' referred to in paragraph 35 above. Integer scores on the scale 0-4 were assigned to each output, with each sub-panel operating mechanisms to identify and discuss items which fell on the borderline between assessment scores. All instances of unclassified grades were reviewed and discussed by the sub-panel as a whole.

### Impact

47. In developing the impact sub-profiles, sub-panels used a consistent approach to allocating grades, against the criteria of reach and significance. Each case study and each impact template was graded on a nine point scale consisting of integer and half-integer scores from 0-4, with the integer scores corresponding to the level descriptors for the impact sub-profile. Half-integer scores of 0.5, 1.5, 2.5 and 3.5 were allocated to case studies and impact templates that were judged to be on the borderline between two of the quality levels, incorporating aspects of each.

48. An impact case study or template with a half-integer score contributed to the impact sub-profile by the assignment of half its grade to each of the two starred levels that the borderline grade fell between. All instances of unclassified grades were reviewed and discussed by the sub-panel as a whole.

## Environment

49. In developing the environment sub-profiles, sub-panels used a consistent approach to allocating grades, against the criteria of vitality and sustainability. Each section of the environment template (that is, Research Strategy; People: Staffing Strategy and Staff Development; People: Research Students; Income, Infrastructure and Facilities; and Collaboration and Contribution to the Discipline) was graded on a nine point scale consisting of integer and half-integer scores from 0-4, with the integer scores corresponding to the level descriptors for the environment sub-profile. Half-integer scores of 0.5, 1.5, 2.5 and 3.5 were allocated to sections of the environment templates that were judged to be on the borderline between two of the quality levels, incorporating aspects of each.

50. A section of the environment template with a half-integer score contributed to the environment sub-profile by the assignment of half its grade to each of the two starred levels that the borderline grade fell between. So, for example, since each of the sections listed in paragraph 49 were equally weighted at 20 per cent of the overall environment sub-profile, if the Research Students section of a template was graded at 0.5, this contributed 10 per cent to U (unclassified) and 10 per cent to 1\* of the sub-profile. All instances of unclassified grades were reviewed and discussed by the sub-panel as a whole.

## Outputs

51. The table below shows the average output sub-profiles for Main Panel D and its constituent sub-panels. The panels were pleased to see this evidence for the improvement in quality of submitted research outputs in comparison with the previous RAE.

**Table 4: Output sub-profiles (FTE weighted averages)**

UOA	Name	Average percentage of research activity judged to meet the standard for:				
		4*	3*	2*	1*	U
	Main Panel D	25.1	41.2	27.6	5.4	0.7
27	Area Studies	23.6	39.7	30.7	5.5	0.5
28	Modern Languages	24.8	42.3	27.6	4.6	0.7
29	English Language and Literature	28.6	41.7	25.3	4.1	0.3
30	History	27.8	42.7	26.9	2.4	0.2
31	Classics	29.4	41.0	27.0	2.3	0.3
32	Philosophy	26.3	42.8	27.3	3.4	0.2
33	Theology and Religious Studies	23.7	38.4	31.5	5.9	0.5
34	Art and Design: History, Practice and Theory	18.5	42.6	30.0	7.7	1.2
35	Music, Drama, Dance and Performing Arts	25.0	37.1	27.7	8.5	1.7

36	Communication, Cultural and Media Studies, Library and Information Management	23.4	39.3	26.6	9.7	1.0
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52. The number of research outputs submitted to the sub-panels within Main Panel D reduced since RAE2008 by 7,134 (15 per cent). The average number of outputs per person submitted reduced from 3.6 to 3.3, which was largely the result of a sharp increase in the numbers of staff submitted with fewer than four outputs. This was a result of the more structured provisions for individual staff circumstances, which were widely welcomed as beneficial in allowing staff, at the beginning of their academic career, or with varied working patterns, or difficult individual circumstances, to demonstrate the quality of the research they had undertaken during the assessment period without making undue demands on them in terms of the volume of outputs required.

### Double-weighted outputs

53. Provisions to enable institutions to propose items of sufficient scale and scope for double-weighting (supported where appropriate by a reserve item and explained through the provision of a 100 word statement) were included in the Main Panel D section of the 'Panel criteria and working methods' (paragraphs 63-70). Overall, the percentage of outputs submitted within MPD requested for double-weighting was 6.1 per cent. The figures below indicate the extent to which double-weighting was used in submissions to each of Main Panel D's constituent UOAs. Across the UOAs in Main Panel D, almost all the requests for double-weighting – 98 per cent – were accepted.

**Table 5: Double-weighting requests**

UOA	Name	Double-weightings requested
	Main Panel D	2254
27	Area Studies	31
28	Modern Languages	204
29	English Language and Literature	506
30	History	804
31	Classics	166
32	Philosophy	107
33	Theology and Religious Studies	112
34	Art and Design: History, Practice and Theory	87
35	Music, Drama, Dance and Performing Arts	167
36	Communication, Cultural and Media Studies, Library and Information Management	70

54. The considerable variance in use of double-weighting by different subject communities can be seen in these figures. This may in part be explained by differing levels of familiarity with the concept of double-weighting, since some of the sub-panels (such as History, with the highest

proportion of double-weighting) also made use of double-weighting in RAE2008. Specific sub-panels comment further in their overview reports on the particular issues associated with double-weighting that they encountered. These included:

- Ineffective use of the 100 word statement explaining the reasons why an output should be double-weighted, which should have referred to the possible characteristics of double-weighted outputs listed in Section D paragraph 64 of the 'Panel criteria and working methods' but very frequently did not. Sub-panel members often found that they were better served by careful review of the scale and scope characteristics of the output in question than by the supporting 100 words.
- An over-cautious approach to double-weighting which had a consequent impact on the outputs sub-profile of institutions.

55. It was also notable that the majority of the requests for double-weighting (but by no means all) were for monographs, most probably as a consequence of the 'scale' aspect of the double-weighting criteria. This may also form part of the explanation for the differing levels of request for double-weighting across sub-panels, as there is a close correlation between the percentage of double-weighting requests by sub-panel and the percentage of monographs submitted. Sub-panels were disappointed that more non-text based outputs were not proposed for double-weighting, and recognise that for future exercises, the relevant section of the panel criteria might need further amendment to make clear the likely characteristics of such work.

56. Analysis of the grades awarded to double-weighted outputs, in comparison with all other outputs, illustrates how the judicious use of double-weighting will have impacted positively on the outputs grade profiles of some institutions, as well as having contributed to the strong overall grade profile for outputs as a whole across Main Panel D. At Main Panel D level, 66 per cent of double-weighted outputs were graded at 4\* with the figure for all other outputs being 19.7 per cent.

### **Output types**

57. The 'Panel criteria and working methods' clearly stated that the sub-panels in Main Panel D would 'neither advantage nor disadvantage any type of research or form of output, whether it is physical or virtual, textual or non-textual, visual or sonic, static or dynamic, digital or analogue' (paragraph 48); and would not 'privilege any journal or conference rankings/lists, the perceived standing of the publisher or medium of publication, or where the research output is published' (paragraph 75). Each sub-panel wishes to affirm its adherence to this aspect of the panel criteria, and furthermore that at least internationally excellent, and in almost all cases world-leading, quality research was identified in every type of output submitted. Clearly different disciplines and sub-disciplines received different combinations and proportions of types of output, and these are commented on further in the sub-panel overview reports below.

58. For some of the sub-panels with wider ranges of output types there were concerns about the ways in which institutions had categorised their outputs. Whilst this did not affect the assessment of individual outputs, it made analysis of output type difficult and could sometimes lead to a lack of clarity about the exact nature of the output that was being submitted; where necessary audit was used to address these concerns. In future exercises to avoid this problem recurring the relevant section of the guidance should include a glossary explaining in more detail the characteristics of the different output types.

**Table 6: Types of output submitted**

		MPD	27	28	29	30	31	32	33	34	35	36
A	Authored book	8,450	290	937	2,096	2,071	432	342	496	658	583	545
B	Edited book	1,627	53	230	382	262	117	27	63	228	169	96
C	Chapter in book	9,026	401	1,313	1,792	1,464	434	487	440	1,096	808	791
R	Scholarly edition	424	6	70	174	59	26	6	8	7	63	5
D	Journal article	14,826	963	2,292	2,283	2,479	342	1,284	530	1,633	1,210	1,810
E	Conference contribution	371	4	43	10	19	3	2	4	197	40	49
U	Working paper	142	6	16	13	53	15	18	5	4	6	6
L	Artefact	709	0	0	0	0	0	0	0	679	21	9
P	Devices and products	22	0	0	0	0	0	0	0	19	1	2
M	Exhibition	1,219	1	1	4	2	1	0	0	1,139	47	24
I	Performance	488	0	2	37	0	0	0	0	119	327	3
F	Patent	25	0	0	0	0	0	0	0	23	2	0
J	Composition	666	0	0	3	0	0	0	0	18	639	6
K	Design	74	0	0	0	0	0	0	0	71	3	0
N	Research report for external body	94	1	4	2	4	0	0	0	38	10	35
O	Confidential report	15	0	0	0	0	0	0	0	15	0	0
G	Software	13	0	0	1	0	0	0	0	5	4	3
H	Website content	117	1	10	21	14	8	6	2	30	19	6
Q	Digital or visual media	483	0	5	10	2	0	0	2	205	170	89
S	Research datasets and databases	61	0	11	7	16	3	1	3	4	6	10
T	Other	471	1	9	98	13	7	1	9	168	133	32

## **Overlap**

59. The 'Panel criteria and working methods' specifically addressed the submission of outputs with significant material in common ('overlap') in paragraphs 54 and 55. It was noted by many sub-panels, and is discussed further in their overview reports below, that some submissions did indeed include such material. In all such cases, sub-panels used their professional judgement to ensure that the outputs in question were assessed in such a way as to enable the greatest credit to be awarded to an institution. Nonetheless, there were instances where the extent of the overlap was so great that one of the outputs was graded as 'U'.

60. The panel criteria requested the inclusion of 100 words in those instances where a submitted output contained significant material in common with an output published prior to 1 January 2008, to explain 'how far the earlier work was revised to incorporate new material'. This was a provision with which HEIs frequently did not comply. Sub-panel experience suggests that extending this requirement to all instances of overlap might help assessors in understanding how best to assess such material. In practice, audit queries were often used to investigate such cases further.

## **Practice as research<sup>4</sup>**

61. Those sub-panels which received substantial proportions of outputs which fell into this category (that is, sub-panels 34, 35 and, to a lesser extent, 36), have noted in their sub-panel overview reports a number of issues associated with how institutions appear to understand practice as research and how such material was submitted. In brief, the additional 300 words to make further evident the research imperatives and/or research process of an output (paragraph 71(b) of the 'Panel criteria') were used inconsistently and the question of the research imperative was not always well-articulated. Portfolios (paragraph 71(c)) could in some cases have benefitted from being much better structured and more focused, with a clear 'route-map' for assessors to understand the research being presented.

## **Early career researchers**

62. The total combined headcount of Category A and C staff submitted in MPD UOAs (11,856) included 18 per cent early career researchers (ECRs) (2,173). Sub-panels were pleased to observe the generally high standard of contribution from ECRs, an important indicator of the sustainability of the sector in the future.

63. The overall strength of the quality profile for outputs as a whole across Main Panel D confirms the strength of research being undertaken across the disciplines covered by Main Panel D throughout the UK.

## **Impact**

64. The sub-panels received a total of 1,647 impact case studies and 579 impact templates. The average number of impact case studies was 2.8 per submission. It may be noted that the UOAs in Main Panel D received one case study per 6.5 FTE staff submitted, compared with the average across all panels of one case study per 7.5 FTE staff submitted. The reason for this is probably related to the higher number of small submissions made within Main Panel D than in the other main panels.

65. The table below shows the average impact sub-profiles for Main Panel D and its constituent sub-panels.

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<sup>4</sup> In this instance this term should not be taken to include creative writing where research portfolios were not provided.

**Table 7: Impact sub-profiles (FTE weighted averages)**

UOA	Name	Average percentage of research activity judged to meet the standard for:				
		4*	3*	2*	1*	U
	Main Panel D	36.7	44.4	15.1	3.1	0.7
27	Area Studies	34.7	46.2	16.3	2.5	0.3
28	Modern Languages	37.8	43.0	12.9	5.7	0.6
29	English Language and Literature	35.8	47.0	13.6	3.4	0.2
30	History	36.1	47.3	15.4	1.1	0.1
31	Classics	41.4	46.8	10.0	0.8	1.0
32	Philosophy	35.3	38.7	23.3	2.7	0.0
33	Theology and Religious Studies	37.4	42.2	18.6	1.8	0.0
34	Art and Design: History, Practice and Theory	36.6	44.7	13.6	3.9	1.2
35	Music, Drama, Dance and Performing Arts	38.8	41.3	16.4	1.7	1.8
36	Communication, Cultural and Media Studies, Library and Information Management	35.2	42.0	17.0	3.8	2.0

66. Impact is a new element in REF2014, and there has been, and continues to be, debate in the sector about the viability and utility of submitting and assessing impact activities as part of this process. The data above demonstrate that despite these concerns, high quality impact was observed by all sub-panels in a large proportion of the material submitted.

67. All sub-panels confirmed their confidence in applying the assessment criteria, and would once again draw attention to the close involvement of user members and assessors, with their wide range of expertise as detailed in sub-panel reports, in the assessment of impact.

68. Impact was located across an extensive range of areas, including:

- **Civil society** (including in regional and local contexts): offering strategies for community engagement; championing equality, rights and educational opportunities for minority groups; developing a clearer and deeper understanding of identity among marginalised communities; and creating or enhancing channels of expression for a wide range of communities.
- **Cultural life**: contributing to and influencing cultural and artistic practice; benefitting the public through making the products of research available through a wide variety of mechanisms including TV, radio, museums of all types and books; enabling the engagement of particular groups with, for example, practices or repertoires with which they would not otherwise come into contact; increasing awareness in a body of creative work that leads to further reflection; enhancing the imaginative and intellectual lives of a range of audiences, such as through work in the museum, gallery and heritage sectors; documenting and preserving endangered

languages and cultures, and contributing to their revitalisation; and the enrichment of public understanding through research-based practices and related debates.

- **Economic prosperity:** the development of technologies, products, networks and services; contributions to the publishing, creative, heritage and tourism industries, TV companies and the media generally; the establishment of spin-off companies and new companies, especially the creation of new small-scale specialist companies, flexible manufacturing and luxury goods industries; supporting the digital economy; contributing significantly to the critiquing, development and use of evaluation methodologies to measure the value of the creative and cultural industries in the UK and elsewhere.
- **Education:** contributing to innovation in HEI and non-HEI level education through research that was shown to inform curriculum development and assessment, enhancing cultural provision in schools; contributions to educational policy.
- **Policy making:** influential contributions to expert panels advising governments, local authorities, non-governmental organisations (NGOs) and development agencies on a range of matters including equality issues; informing regulatory policy in various fields, such as broadcasting and journalism; influencing arts policy through a contribution to debates on the allocation of resources by grant-awarding bodies in the public and charity sector.
- **Public discourse:** contributions to the intellectual life of the UK and beyond; enhancing public understandings of a wide range of key issues and debates, including through and with creative practice.
- **Public services:** contributing to the health, well-being, rights and even survival of specific user groups; enriching the experience and understanding of public and social space; informing the industrial development of new technologies; active collaborations and partnerships with bodies that utilise research.

69. One of the issues identified by the sector, and by sub-panels, of potential concern was the number of case studies required for very small submissions (i.e. two case studies for all submissions up to 14.99 FTE). Evidence from the exercise suggests that institutions responded very differently to this requirement, with high and low quality impact material being found within both very large and very small submissions. Specific sub-panels comment further on this point in their reports below.

70. Sub-panels generally observed that the strongest impact templates provided evidence of activities and approaches to research that were outstanding in their engagement with external organisations and audiences. They also displayed a clear understanding of the need for institutional support when describing their strategy and plans and made convincing cases for the sustainability of their approaches to impact with concrete plans for building on existing structures.

71. Strong impact case studies typically provided brief but detailed summaries of activities and impacts rather than long lists; and provided concrete evidence of the claims being made with regard to both reach and significance, including who benefitted and how. They clearly articulated substantial research imperatives in the 'underpinning research' section, which were then evidenced by research outputs and robust data that explicitly reflected the relationship between the research process, finding or product and the impact achieved in the public domain. They also clearly identified the beneficiaries from research, offering concrete evidence of reach and/or significance to support the narrative, and a discussion of the wider context of engagement. A

number of case studies involved relationships that had been developed over a long period of time. Less persuasive case studies did not always effectively demonstrate the link between the underpinning research and the benefits claimed and were graded accordingly (some as unclassified where no material link could be ascertained at all).

72. There were a few instances of the underpinning research for a case study not meeting the 2\* threshold, and in all such instances every effort was made to review as much of the material cited in section 3 of the impact case study as possible (using audit where necessary) to confirm such judgements.

73. Sub-panels noted that institutions were not always able to provide full and convincing evidence of the impacts claimed. It is anticipated that, should the assessment of impact in the future be retained in the same format as for REF2014, accumulated institutional experience will lead to continuous improvement in both the quality and the wider range of evidence that will be made available in subsequent exercises.

74. A number of sub-panels were concerned that impacts resulting from the personal interventions of individuals could not be submitted – where this impact drew upon their broader expertise and reputation, deriving from many decades of research – if it was not based on more recently published outputs.

75. The main panel was impressed by the range and quality of impact templates and case studies received for assessment, which demonstrate a wide variety of robust, long-standing and innovative partnerships with users and beneficiaries of research for the arts and humanities and associated disciplines, as well as some interesting serendipitous impact, the value of which should also be highlighted. It is clear that research covered by Main Panel D impacts on the UK and beyond in a wide range of life-enhancing ways, as noted in paragraph 68 above and in the sub-panel reports.

76. Both the main panel and its constituent sub-panels wish to thank their user members, who contributed thoughtfully, generously and with great rigour to the effective assessment of impact as part of this exercise, and who greatly enhanced the process as a consequence.

## **Environment**

77. Table 8 shows the average environment sub-profiles for Main Panel D and its constituent sub-panels.

**Table 8: Environment sub-profiles (FTE weighted averages)**

UOA	Name	Average percentage of research activity judged to meet the standard for:				
		4*	3*	2*	1*	U
	Main Panel D	40.9	40.7	15.7	2.5	0.2
27	Area Studies	37.7	43.6	17.1	1.4	0.2
28	Modern Languages	39.8	44.8	14.0	1.3	0.1
29	English Language and Literature	46.3	35.0	14.9	3.4	0.4
30	History	39.5	45.2	14.2	1.0	0.1
31	Classics	42.6	43.9	12.8	0.7	0.0
32	Philosophy	42.7	43.2	12.4	1.7	0.0
33	Theology and Religious Studies	37.1	42.2	16.0	4.6	0.1
34	Art and Design: History, Practice and Theory	40.5	40.8	15.5	3.0	0.2
35	Music, Drama, Dance and Performing Arts	36.4	40.3	19.7	3.5	0.1
36	Communication, Cultural and Media Studies, Library and Information Management	41.2	34.0	19.6	4.5	0.7

78. Whilst the assessment of environment is a longstanding and familiar component of research assessment, the 'Panel criteria and working methods' specified in considerably more detail than in the past the structure and recommended content of the template. The very best submitted templates provided direct responses to these requirements, describing vital and sustainable research environments specific to the discipline in question and (usually) well-supported by the submitting institution. Weaker templates often failed to address the requirements or did so in a generalised way without examples specific to the submitting unit, or focused on the institution at the expense of the submitting unit.

79. Sub-panels endeavoured to ensure that submissions were not advantaged or disadvantaged as a consequence of their size or type, by, for example, comparing data by size of submission, or reviewing all submissions of a similar size and type together, or by reviewing proposed grades in the light of size and type of submission.

80. Brief comments on the specific sections of the template follow (issues relating to specific sub-panels are addressed in the relevant reports).

### **Research strategy**

81. The strongest templates articulated a clear, well-illustrated strategy that engaged with plans set out in RAE2008, including explaining deviations from them, as well as laying out a directed approach to the period ahead. Templates with detailed data to illustrate the points being made and a clear description of research plans, aspirations and current research activity and appropriate support according the categories set out in the relevant section of the 'Panel criteria

and working methods', including support for interdisciplinary and collaborative research, made a persuasive case for the vitality and sustainability of the research culture of the unit.

### **Staffing strategy and staff development**

82. The most impressive templates described staff development and mentoring procedures, policy for research leave and career progression, and the demonstrable support for and contribution of all researchers (from postdoctoral researchers and ECRs to professors) to the research culture of the unit. With respect to ECRs, the strongest environments indicated and evidenced in detail the specific mentoring procedures in place to support staff. Evidence of sensitivity to teaching loads, as well as training programmes around the development of a research portfolio, publication opportunities, grant applications and postgraduate research (PGR) supervision were notable. Active and inclusive seminar programmes were also evidence of an environment in which established staff could show research leadership in developing departmental specialisms and research groups involving ECRs as well as the wider research community.

### **Research students**

83. World-leading environments for research students mapped robust institutional procedures, training programmes specifically geared to student needs, funded studentships from bodies such as the Arts and Humanities Research Council (AHRC) as well as the HEI, financial support for research trips and travel, seminar programmes and access to conferences, and the like. Evidence of vitality and sustainability were found in tangible statistics about completions, prizes and awards, publications and career progression, as well as PGR initiatives appropriate to the discipline under review.

### **Equality and diversity**

84. Submissions were specifically asked to address equality and diversity issues in the Staffing strategy and staff development section of their template, but this point was not always addressed, or little information was provided on proactive initiatives in this area, and this was taken into account in determining the appropriate grade for this section of the template. Support for equality and diversity was evidenced in those submissions which, for example, delineated training programmes that improve awareness of these issues; links to institutional equality plans or objectives; support for part-time working; recognition of time constraints when scheduling meetings; the presence of support networks, development workshops and mentoring schemes for staff in minority categories; concrete information on staffing changes, promotion of staff in minority categories, and structures for support of staff with caring responsibilities; the pursuit of research that encourages cultural diversity and engages with issues of difference. With respect to postgraduate students, submissions could have referred to such mechanisms as part-time PhDs, good maternity leave arrangements during PhDs, or account being taken of caring responsibilities, bereavement and severe ill-health.

### **Income, infrastructure and facilities**

85. The strongest templates provided concrete examples of how research funding had, for example, strengthened the staff base, brought in ECRs, generated new areas of research or fed into particular outputs submitted to the REF. It was especially the case in relation to Income, infrastructure and facilities that submissions did not address all the headings listed in the panel criteria. The focus was too often on funding alone and did not sufficiently acknowledge the facilities and infrastructures for research available to the submitting unit, how these were managed and resourced, and how they contributed to the submitting unit's research.

## Contribution to the discipline

86. The best examples showed a highly proactive approach, going beyond lists of activities and achievements to demonstrate how staff within the submitting unit, as appropriate to their particular career stage, had shaped and influenced its field of scholarship and practice. Templates generally, and particularly this section, were better received and tended to score more highly when presented as a narrative in a well-structured way, rather than a densely packed list of facts. In future exercises, consideration could be given to providing HEIs with clearer guidance and perhaps a more structured approach to this section of the environment template.

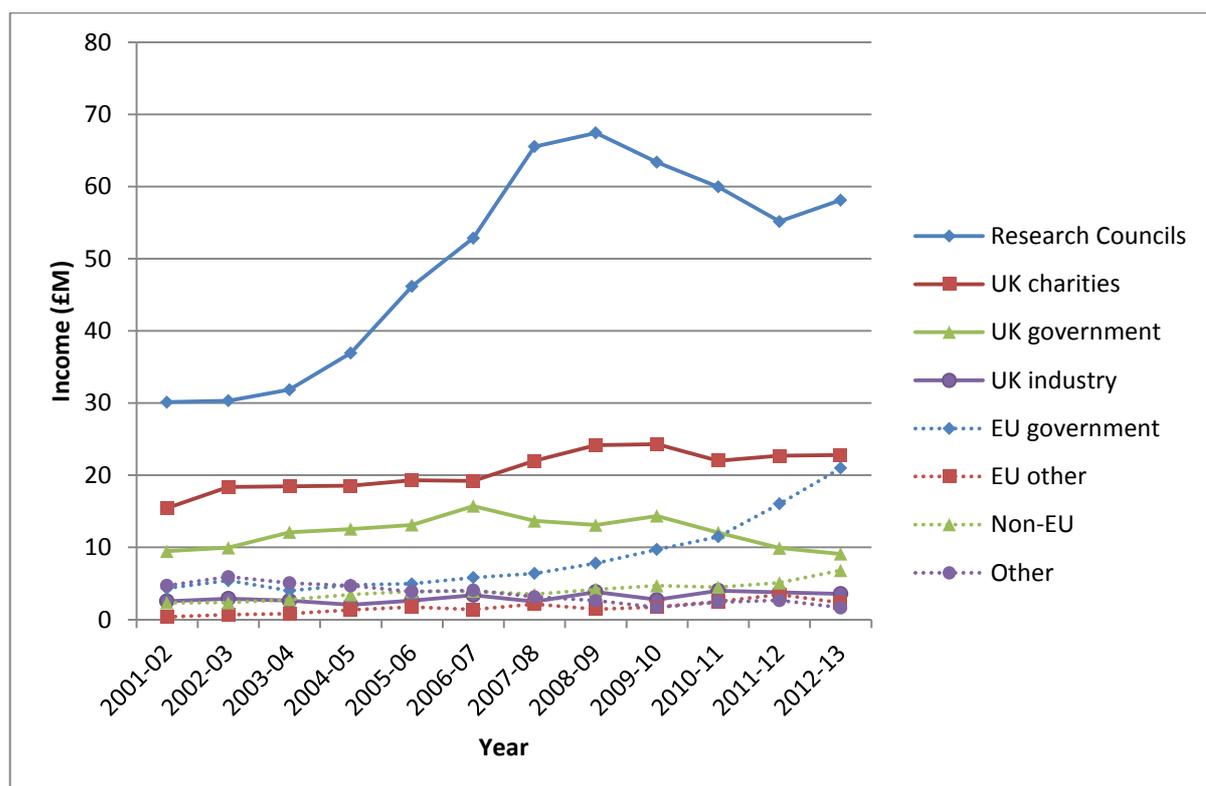
87. When considering the sections on Research students and on Income, infrastructure and facilities, sub-panel discussions were informed (but not determined) by the review of submitted data on income and PhD completions.

88. Table 9 below summarises changes in the amount of income reported to the REF over the assessment period. Whilst disciplines covered by Main Panel D do not rely on the acquisition of research income in the same way as science, technology, engineering and mathematics (STEM) disciplines, funding is nonetheless extremely valuable in securing time to undertake significant programmes of research, some of which may be collaborative and/or interdisciplinary; enabling access to or enhancing key research materials; enabling the employment of research staff to work on particular programmes of research activity; and in some cases enhancing the research infrastructure more generally. In this context the decline in income at main panel level over the period is regrettable, particularly when viewed alongside the figures laid out in Figure 1 following.

**Table 9: Research income (including income-in-kind)**

	Research income (£000s) in 2012-13 prices					Change in income 2008-09 to 2012-13 (£0 000s)	Percentage change in income 2008-09 to 2012-13
	2008-09	2009-10	2010-11	2011-12	2012-13		
MPD	146,418	145,632	141,556	139,254	140,593	-5,825	-4.0%
27	10,601	10,395	9,825	8,884	7,909	-2,692	-25.4%
28	20,667	20,635	20,773	20,579	20,448	-219	-1.1%
29	13,877	14,183	12,788	14,067	15,693	1,816	13.1%
30	26,430	24,604	22,837	22,517	23,796	-2,634	-10.0%
31	6,499	6,916	6,238	5,729	5,944	-555	-8.5%
32	6,804	8,551	9,027	9,010	8,213	1,410	20.7%
33	5,674	5,435	5,442	5,489	6,268	595	10.5%
34	32,134	30,363	29,840	28,962	27,621	-4,514	-14.0%
35	9,572	10,006	11,741	12,252	11,706	2,134	22.3%
36	14,161	14,544	13,045	11,763	12,994	-1,167	-8.2%

**Figure 1: Research grant income for Main Panel D subjects reported to the Higher Education Statistics Agency, by source (income in 2012-13 prices)**



89. The decline in Research Council income in recent years from a peak in 2008-09 can clearly be linked to the financial consequences of the recent recession. Though the increase in funding from the EU is positive – and a trend which is likely to continue – assuming that this will continue to offset the drop in Research Council income is a significant risk to the arts and humanities.

90. Given the value to society as a whole of the impact of research undertaken by disciplines covered by Main Panel D, there is a strong case for not just continued but improved investment in research in these areas.

91. Data on doctoral degree completion as submitted to the constituent sub-panels of Main Panel D are provided in Table 10 below. This shows welcome and extremely encouraging increases in the numbers of PhD students completing over the period for all sub-panels (31.4 per cent for the Main Panel overall). Given the importance of PhD students to the vitality of the research environment in their home unit during their period of study and to the long-term sustainability of disciplines where they subsequently move into academic posts, these figures underline the continued strength of arts and humanities in the UK. They also suggest the need for careful support for postgraduate students with respect to their career aspirations, since many have aspirations for careers outside academia, and this is an important contribution that the sector makes to the wider knowledge economy.

**Table 10: Doctoral degrees awarded**

	Doctoral degrees awarded					Change in degrees awarded 2008-09 to 2012-13	Percentage change in degrees awarded 2008-09 to 2012-13
	2008-09	2009-10	2010-11	2011-12	2012-13		
MPD	2,417	2,457	2,834	2,864	3,175	758	31.4%
27	132	126	140	158	145	122	9.2%
28	316	314	317	336	412	96	30.3%
29	462	444	557	582	615	153	33.2%
30	394	424	475	473	503	109	27.7%
31	81	84	99	86	109	28	34.3%
32	133	104	148	156	173	40	29.8%
33	230	224	293	285	278	49	21.2%
34	292	298	354	310	407	115	39.3%
35	204	243	257	283	327	123	60.2%
36	172	194	195	195	206	34	19.7%

### Feedback from international and user members

92. The international and user members of Main Panel D were invited, in their considered and informed view, to confirm the degree to which the REF process, as implemented by Main Panel D and its constituent sub-panels, had been robust and whether the outcomes aligned with international standards of research excellence.

93. International members of Main Panel D confirmed that the sub-panels had conducted their tasks with the utmost consistency and rigour. They were also impressed by the thoughtfulness and diligence of the sub-panel chairs and all members of the sub-panels whose work they had observed. They also confirmed it to have been clear that strenuous efforts were deployed to ensure the transparency of the process and the measure of international standing and impact of research outcomes. Any potential conflict of interest was dealt with by the panel member concerned absenting themselves from the relevant discussion. Overall, they concluded the panels had adopted good systems to ensure fairness and consistency.

94. The international members also observed that assessment of non-text research in the creative and performing arts and design was noteworthy for engaging with the difficult task of distinguishing between advanced practice presented as research, and practice-based work that fulfilled the definition of research as set out for REF2014. They also commented that, in the case of text-based creative writing, where the history of assessing such material is more recent, there may be need for further review in the future.

95. International members confirmed that in terms of environment assessment, sub-panels had treated gender equality with various degrees of explicitness, but that this variance had not influenced the overall decisions reached.

96. All the international members of Main Panel D agreed, without hesitation, that the assessment had been carried out fairly and with close attention to the published criteria and working methods. Overall, they confirmed that the judgments reached were in alignment with international thresholds of research quality.

97. The user members of Main Panel D reported that they were impressed by the professionalism and seriousness with which the main panel and sub-panels addressed the challenges of assessing impact in the arts and humanities, and by their diligence, intelligence and willingness to be open to different perspectives. They observed that the main panel and sub-panels took seriously the issues of assessing high quality impact, and clearly listened to the users in the sub-panels and respected their views, seeing them as valuable and authoritative.

98. User members also commented that future assessments could include guidance on the use of web and media metrics. All panels should have multiple externals and cross-referrals should be extended to users outside of the sub-panel to ensure mutual understanding of impact assessment. Impact measures in the arts and humanities are inherently more subjective and complex than those in the natural and social sciences and would repay an open, collaborative and reflective debate after this REF exercise to ensure that impact is established as a valued and respected part of the process of academic peer assessment.

99. With input from its international and user members Main Panel D is able to confirm the robustness of the assessment process and its adherence to the criteria as published along with the excellence of the research submitted for assessment. Impact case studies provide a wealth of evidence to illustrate the benefits of arts and humanities research for a wide range of constituencies and communities – the environment profiles further show this to be a sustainable endeavour. Taken together, the three elements of the assessment framework (outputs, impact and environment) evidence a rich and sophisticated research ecology in which institutional missions vary and are each able to demonstrate the highest levels of excellence. In reporting that 71 per cent of the arts and humanities research submitted for assessment is judged to be world-leading and internationally excellent, and that 98 per cent of all submissions to its 10 sub-panels included a percentage of 4\* in their overall quality profiles, the main panel believes this to reflect a rich and diverse sector that is in good health – one that is making a significant contribution to the UK's well-being and prosperity as well as to communities and organisations around the world.

## UOA 27: Area Studies

1. All sub-panel members have discussed and collectively agreed this report. It should be read alongside the Main Panel D section which deals with matters of generic interest.

### Summary of submissions

2. Sub-panel (SP) 27 (Area Studies) covers Anglophone and American Studies, Asian Studies, European Studies, and Middle Eastern and African Studies, which comprised four separate panels in RAE2008. The sub-panel received 23 submissions. One HEI made a multiple submission. Three submissions were made by HEIs in Scotland, the others were from HEIs in England. Submissions ranged in size from 4.75 FTE staff to 71.1 FTE staff.

3. The composition of the sub-panel enabled an assessment of Area Studies in the round. It could assess submissions that were concentrated in a specific area and those that ranged across different areas. Panel members welcomed this configuration as an improvement on RAE2008. Panel members had a range of disciplinary and interdisciplinary expertise. Collectively it had very extensive foreign language expertise.

**Table 1: Summary of submissions**

	Number of submissions	Category A FTE staff	Category A and C headcount staff	Research outputs	Double-weighted outputs	Outputs per person	Impact case studies
<b>REF2014</b>	<b>23</b>	<b>483</b>	<b>503</b>	<b>1,727</b>	<b>31</b>	<b>3.43</b>	<b>71</b>
RAE2008	53	825	924	3,425	–	3.71	–
% difference	-56.6%	-41.5%	-45.6%	-49.6%	–	-7.5%	–

4. In establishing its working methods SP 27 adhered to the assessment principles and framework adopted across Main Panel D (see paragraphs 21-31 of the Main Panel report) and participated in the calibration exercises that were conducted within the sub-panel and then across the main panel (see paragraphs 32-38 of the Main Panel D report).

**Table 2: UOA average profiles**

	% 4*	% 3*	% 2*	% 1*	% uc
<b>Overall quality</b>	<b>28</b>	<b>42</b>	<b>25</b>	<b>5</b>	<b>0</b>
Outputs	23.6	39.7	30.7	5.5	0.5
Impact	34.7	46.2	16.3	2.5	0.3
Environment	37.7	43.6	17.1	1.4	0.2

5. Total research income submitted in this UOA amounted to £45.79 million. Mean research income per FTE was £94,803.

6. A total of 700.75 doctoral students completed their degrees in the assessment period, with the mean number of completions as 1.45 per FTE.

## Outputs

**Table 3: UOA average outputs sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Outputs	23.6	39.7	30.7	5.5	0.5

7. Virtually all submitted outputs were authored books, edited books, book chapters, or journal articles. The Sub-panel recognised that outputs of all kinds are important to the dissemination of high quality research in Area Studies. It found evidence of world-leading research across all output types.

8. The Sub-panel was pleased to see evidence of a variety of methods being used appropriate to the research question(s). Many impressive outputs manifested deep knowledge of a particular area, incorporating archival or ethnographic research carried out in challenging research environments and using sources in languages other than English. In addition to research embedded in a single discipline, most submissions incorporated substantial interdisciplinary research, some of which questioned disciplinary norms. Some of the most compelling outputs helped to map the 'area' by drawing attention to misleading but widely-held assumptions in some quarters that the 'local' necessarily presupposes the absence of the national and/or the global and cosmopolitan. We saw outstanding outputs related not only to the literature, history, politics and economics of each of the areas covered by the sub-panel (Europe, the Americas, Asia and Africa), but also to the relationships between one area and another. Notable contributions addressed the movement and transfer of people, languages, ideas, products and practices between different areas, for example on matters related to global problems of poverty, health and inequality. Further impressive outputs drew attention to hidden or neglected histories, post-colonial cultures, gender relations, religion, the politics of metaphor, and the history and politics of visual and print culture.

9. 13 submissions made at least one claim for double-weighting in accordance with the published criteria and in all instances the sub-panel accepted the claim. Some institutions decided not to make a claim for double weighting even when it would have been appropriate and when it accorded with the published criteria. (See the relevant section of the MPD overview report for further information about double-weighting.).

10. The Panel Criteria and Working Methods specifically addressed the submission of outputs with significant material in common. Where issues of 'overlap' were identified, the sub-panel used its professional judgment to ensure that the outputs in question were assessed in such a way as to enable proper credit to be awarded to the submission. Only in one instance was the extent of the overlap so great that the output received an Unclassified grade.

11. Each output was treated on its merits. Outputs were examined in detail by members of the sub-panel. Where disagreement arose between panel members this was resolved by seeking a further view either from within the sub-panel or via cross-referral to a cognate sub-panel.

12. The Sub-panel allocated 23 outputs to specialist assessors.

13. The Sub-panel cross-referred 87 outputs to other sub-panels, in particular to SP 18 (Economics). Cross-referrals into SP 27 were received from a variety of other panels, particularly SP 28 (Modern Languages and Linguistics) and SP 33 (Theology and Religious Studies).

**Table 4: Cross-referrals**

	Into Sub-panel 27		Out of Sub-panel 27		Difference		Outputs Submitted
Within MP	131	7.6%	55	3.2%	76	4.4%	
Outside MP	3	0.2%	32	1.9%	-29	-1.7%	
<b>Total</b>	<b>134</b>	<b>7.8%</b>	<b>87</b>	<b>5.0%</b>	<b>47</b>	<b>2.7%</b>	<b>1,725</b>

## Impact

**Table 5: UOA average impact sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Impact	34.7	46.2	16.3	2.5	0.3

## General remarks

14. The Sub-panel received and assessed 23 Impact templates and 71 Impact case studies. It conducted a series of calibration exercises and its deliberations were informed by feedback from MPD. The Sub-panel observed its customary conventions relating to conflicts of interest. Its discussions at each stage reflected the views and assessments of three user members who were full members of the sub-panel and who were chosen for their knowledge and experience of impact in relation to areas including, but not confined to, cultural activity, education, quality of life, government policy, public discourse, and economic benefits. Throughout its deliberations the sub-panel kept in mind the published criteria referring to the need to establish a relationship between the research and the changes or benefits arising from the research. All impact templates and case studies were assessed using clusters of Sub-panel members, each of which included a user member. User members formally confirmed their confidence in the robustness and fairness of the process.

15. Submissions to the sub-panel demonstrated a broad range of activities and interests, in line with MPD's indicative range of impacts. The Sub-panel found abundant evidence of the reach and significance of impact from research in humanities and social sciences that is underpinned by deep engagement with the world beyond the UK, and how this research in turn impacts upon the UK. It is also clear that research strength in Area Studies is a powerful inducement for foreign students to undertake graduate research in the UK.

## Templates

16. The Sub-panel found that the strongest submissions were those in which the institution demonstrated a convincing, sustained and proactive strategy for impact, as well as a clear sense of direction. Less strong templates were those in which there was some uncertainty of focus in regard to the strategy for impact. The Sub-panel noted that impact could be contingent and serendipitous rather than deliberate and planned; both types of impact were found to be equally valid. Some submissions attached particular importance to 'challenging stereotypes', although the evidence did not always demonstrate the outcome of this strategy.

17. The Sub-panel welcomed templates that drew attention to established or emerging links between researchers and users. Some templates highlighted invitations to deliver presentations to national and/or international forums: the most convincing of these demonstrated that repeat invitations underscored the benefits to users of the expert advice being given by researchers, and the confidence that users – including government, non-governmental and commercial users – placed in their research. Convincing templates referred to the systematic collection of feedback from audiences and from stakeholders in general, and the sub-panel welcomed this, while also noting that monitoring of audience or stakeholder response may not always be possible or appropriate.

### Case studies

18. The Sub-panel was impressed by the quality of research that underpinned the case studies, and did not identify any issues in relation to the 2\* quality threshold.

19. Some of the very best submissions to the sub-panel pointed to impact resulting from conversations and interaction between researchers and user groups, over sometimes considerable periods of time, demonstrating that outstanding impact is often a two-way and long-term process. Excellent examples of impact were also found among case studies that were determined by the needs of users responding to research (what might be termed the ‘consultancy’ model) or the imperatives of researchers (what might be termed the ‘discovery-dissemination’ model). Less convincing submissions tended to dwell on the esteem of the researcher(s), or to give a list of speaking engagements and media appearances, rather than providing strong evidence of the impact of research.

20. A majority of case studies gave convincing and compelling examples of reach and significance in the UK and beyond, including:

- improving economic prospects, e.g. in supporting business, and enhancing economic opportunities and building capacity in developing countries
- enriching understanding of other cultures and faiths, e.g. among young learners, and among people working in or visiting cultural institutions
- informing the policy making process in the UK and beyond, e.g. contextualising and/or problematising the decisions debated and reached by governments and civil servants, NGOs, and other bodies
- providing expert advocacy and testimony, e.g. advising on legal cases involving asylum, migration, extradition or human rights issues.

21. The most impressive case studies were not only well written but also provided clear and convincing evidence of the ways in which research had made a transformative impact. Less strong case studies found it harder to establish a clear link between the underpinning research and the impact that was being claimed.

### Environment

**Table 6: UOA average environment sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Environment	37.7	43.6	17.1	1.4	0.2

22. The Sub-panel was careful to ensure that its deliberations were informed by the criteria and not by recourse to any extraneous information. Its proceedings were observed by international members from Main Panel D. In addition to its plenary discussions, the sub-panel split into sub-groups in order to look in detail at each submission. The Sub-panel found it helpful to be provided with the standard data analyses. These helped to inform, but did not determine, its deliberations. In accordance with the assessment criteria, the sub-panel considered and assessed each component of Environment separately.

23. The Sub-panel noted that submissions in Area Studies in general demonstrated clear evidence of vitality and sustainability in submissions of varying size and configuration. In paying close attention to sustainability, the sub-panel looked for evidence of an institutional strategy to address the consequences of the loss of key researchers, particularly in small or medium-sized units.

24. Some submissions included crucial information in the Overview section, which the panel criteria clearly stated would not be assessed, rather than in the appropriate section of the template.

### **Research strategy**

25. The Sub-panel noted that not all submissions took the opportunity to refer to research plans described in RAE2008. In some units the research environment had been radically reshaped since 2008, and the sub-panel particularly appreciated clear explanations of the rationale and outcome.

26. Many submissions provided clear and compelling statements of research strategy, although some institutions found it more challenging to articulate an overarching vision and a sense of strategic priorities as opposed to listing a series of objectives. The most convincing and authentic submissions were those that in the opinion of the sub-panel appeared to be clearly focused and closely owned by the submitting unit while also being integrated into a wider institutional context, and which illustrated specific challenges and how they were being addressed.

27. The Sub-panel welcomed attempts where appropriate to demonstrate clear and convincing synergies between research clusters.

### **Research staffing strategy and staff development**

28. The Sub-panel welcomed clear statements of staffing strategy where these were provided. It took due note of attempts to support early career researchers and to demonstrate clear and equitable policies for research leave.

29. Not all submissions were able to articulate a clear and convincing statement about equality and diversity. The most convincing submissions provided evidence that a commitment to equality and diversity had yielded demonstrable changes in culture and practice.

### **Research students**

30. The Sub-panel appreciated clear statements about mechanisms to encourage successful completions and paid attention to the wider institutional setting within which research students were supervised and trained, including where appropriate vital, albeit labour intensive training in foreign languages. It found strong evidence that research students are properly supported and mentored.

31. The Sub-panel noted in particular attempts to encourage and assist research students in disseminating the results of their research, and took this to be one sign of successful integration of research students into the research culture of the submitting unit.

### **Research income and infrastructure**

32. In addition to noting some impressive examples of substantial research income, the sub-panel was pleased to see evidence of diverse sources of funding and statements that described the unit's strategy for diversification. Where there was a degree of turbulence including a decline in income, the sub-panel looked for but did not always find an explanation.

33. The Sub-panel noted that in several instances a significant difference to research capacity had been made by investment in strategic/vulnerable languages.

34. Significant investment in infrastructure and research facilities has taken place in some institutions. Some statements were rather lacklustre, failing to make clear the contribution to the research environment of infrastructure provided by the institution or indicating how such investment has contributed to the vitality of the discipline as a whole.

### **Collaboration**

35. The Sub-panel welcomed examples of demonstrable contribution to the field. Many submissions interpreted the guidance as an invitation to provide a list of editorial positions, refereeing, keynotes, etc. The most compelling submissions provided a narrative explanation and related these activities to other sections of the submission, such as to research clusters.

36. The Sub-panel found impressive examples of international collaborations in Area Studies as well as demonstrable contributions to the discipline. Several submissions showed that bridges continue to be built between researchers across different continents.

### **Overview**

37. In agreeing the boundary descriptors during the criteria-setting phase, SP 27 sought to be as inclusive as possible. The Sub-panel brought scholars together from a number of disciplines and geographic areas, and it relished a sense that this was 'a UOA without borders', a refreshing departure from the configuration of panels in RAE2008. Some members of SP 27 emphasised the importance of the 'area' as a discrete and self-contained object of enquiry, whereas others were more wedded to the idea of the interactions between areas and sub-areas. These stimulating conversations enriched the work of the sub-panel, all of whom agreed that the process enabled it to assess Area Studies in the round.

38. In REF2014, as in RAE2008, extensive research activity in Area Studies takes place in HEIs that decided not to make a submission in this UOA. As this overview report indicates, the sub-panel does not speculate on institutional strategies, but rather seeks to concentrate on the strength and significance of the research that was submitted for assessment. Nevertheless, the sub-panel saw only a sample of overall research strength in this field. In particular, there were no submissions to SP 27 in Latin American Studies, Irish Studies, or in Australian/New Zealand and Pacific Studies. In some submissions to SP 27 there was evidence of a narrowing of geographic focus.

39. As noted above, only one HEI chose to make a multiple submission. The Sub-panel recognises that a single submission affords an opportunity for institutions to demonstrate synergies between research that focuses on different geographical areas. At the same time, the sub-panel invites HEIs to consider multiple submissions where appropriate in future.

40. The Sub-panel found an impressive quantity, quality and diversity of the research in Area Studies that was submitted for assessment, and welcomed evidence that the overall quality of research had increased since RAE2008. Excellent research and impact were evident in institutions of differing types and sizes, and smaller units were clearly able to provide convincing evidence of vital and sustainable research environments.

41. The international profile of research and the resulting impact reflect the expertise (in particular, the impressive linguistic expertise) of researchers and a familiarity with different cultures, politics and societies based upon relationships that have been carefully built up over many years. Engagement also included work with a wide range of communities, commercial enterprises, and partner organisations in the UK and beyond, where there is likewise evidence of sustained or developing relationships. It was very evident that research in Area Studies has the capacity to influence policy, and does so in and beyond the UK. As indicated above, the reputation of research in Area Studies helps also to attract international students to undertake graduate research in the UK. In addition, it encourages organisations beyond the UK to seek advice and expertise from within the UK research community.

42. The extent and quality of research impact were thus a particular highlight of the exercise, and the sub-panel welcomes the publication of the impact case studies submitted for assessment, as an indication of the notable and fundamental strength of Area Studies, which offers an important means of challenging parochialism in and beyond the UK academy. In this connection it is vital for the sustainability of the field that resources continue to be made available by funding bodies for capacity building in foreign languages and area studies, which will enable the next generation of scholars to understand, interpret and engage with cultures and societies other than their own, and in so doing to reflect upon their own and enable society at large to do likewise.

43. In sum, REF2014 demonstrates that Area Studies as a whole plays a crucial part in projecting the reputation of UK research around the globe, and in keeping the public as well as policy makers informed about and capable of influencing political, cultural, historical, economic and social debates in and beyond the UK. Submissions to the Area Studies panel demonstrate the role that academic research plays in generating and maintaining in-depth knowledge of other countries and regions. The quality and depth of this understanding must be considered in relation to complex, taxing and often unforeseen challenges around the globe. The Sub-panel strongly recommends that this research capacity be safeguarded and enhanced.

## UOA 28: Modern Languages and Linguistics

100. All sub-panel members have discussed and collectively agreed this report. It should be read alongside the Main Panel D section which deals with matters of generic interest.

### Summary of submissions

101. The sub-panel received submissions from 50 institutions; seven of these made multiple submissions (four institutions made separate submissions for Celtic studies and for Modern languages and linguistics; a further three institutions made submissions for Linguistics, with a separate submission for Modern Languages and Celtic and Scottish Studies; Modern Languages, Literatures and Culture; or Languages and Cultures, respectively), so that there were a total of 57 separate submissions. In total 1,464 members of staff were submitted (1,386 FTE staff), with a total of 4,943 outputs. Of Category A staff submitted, 257 (17.6 per cent) were defined as early career researchers. 37 of the submissions came from institutions in England (including two multiple submissions), three from Northern Ireland (one multiple submission), nine from Scotland (two multiple submissions) and seven from Wales (two multiple submissions).

**Table 1: Summary of submissions**

	Number of submissions	Cat A FTE staff	Cat A and C headcount staff	Research outputs	Double-weighted outputs	Outputs per person	Impact case studies
<b>REF2014</b>	<b>57</b>	<b>1,386</b>	<b>1,464</b>	<b>4,943</b>	<b>204</b>	<b>3.38</b>	<b>192</b>
RAE2008	162	1,471	1,581	5,779	–	3.66	–
% difference	-64.8%	-5.8%	-7.4%	-14.5%	–	-7.7%	–

102. The sub-panel appointed at the criteria setting stage consisted of 24 academics and one user member. A third of the academics had been members of one of the precursor RAE2008 sub-panels. At the assessment stage, a further six output assessors were added as well as four impact assessors. Advice was also sought from five specialist advisors. All sub-panel members had been nominated by at least one discipline association. Where assessors or advisors were sought with specialist expertise for which no nominations had been received, the relevant discipline associations were consulted. Throughout the process Sub-panel 28 was careful to base its assessment only on the documentation submitted by institutions and not to take any extraneous information into account.

103. The major change from RAE2008 for the sub-panel was that it represented disciplinary fields that were previously divided over seven sub-panels (Celtic; French; German, Dutch and Scandinavian; Iberian and Latin American languages; Italian; Linguistics; Russian, Slavonic and East European). One consequence of this was that the mean size of submissions had gone up drastically, from just over nine FTEs across the seven relevant sub-panels of RAE2008, to just over 24 FTEs for Sub-panel 28 in REF2014. The largest submission consisted of 116.75 FTE staff and the smallest of three FTEs. 12 submissions consisted of 10 or fewer FTE members of staff.

104. The radical changes to sub-panel constitution make comparison between RAE2008 and REF2014 somewhat less reliable than for sub-panels that have undergone less change. Changes to institutional structures further complicate comparison. 1,464 (1,386 FTE) researchers were submitted to Sub-panel 28 of REF2014, whereas the comparable number for the seven sub-

panels of RAE2008 was 1,581 (1,471 FTE), hence a reduction of 7.4 per cent (5.8 per cent in FTE). However, there were institutions which submitted to the precursor sub-panels in RAE2008 and did not submit to Sub-panel 28 in REF2014, but which may now have submitted researchers working within modern languages and linguistics to other sub-panels.

105. The large number of cross-referrals into Sub-panel 28 indicates that work that falls within the boundaries of the sub-panel was included in submissions to all other sub-panels within Main Panel D and, particularly in the case of linguistics, to sub-panels within all other main panels. The material submitted to Sub-panel 28 only gives a partial overview of research within the subject areas included in its boundary descriptors, and it is impossible to make a firm estimate of the number of researchers working within the fields included in Sub-panel 28's remit on the basis of the submission received.

106. There has been a decrease in the mean number of outputs submitted per FTE from 3.66 in RAE2008 to 3.38 in REF2014. This can be taken as evidence that the approach to individual staff circumstances, particularly those of ECRs, has meant that institutions felt more confident in submitting staff with reduced numbers of output.

107. A number of the final reports of the relevant sub-panels of RAE2008 commented on the fact that during the period covered by that process, many modern languages and linguistics units had undergone structural changes within the institution and had been embedded in larger structural units. For many institutions, these larger units, which determine aspects of the research environment, correspond fairly closely to the delineation of Sub-panel 28, so that it was to the institutions' benefit to submit as one large unit. However, as indicated by the multiple submissions and cross-referrals, it was not always the case that the structure of institutions' research environments showed a good fit with the descriptor and boundaries of Sub-panel 28.

**Table 2: UOA average profiles**

	<b>% 4*</b>	<b>% 3*</b>	<b>% 2*</b>	<b>% 1*</b>	<b>% uc</b>
<b>Overall quality</b>	<b>30</b>	<b>42</b>	<b>23</b>	<b>4</b>	<b>1</b>
Outputs	24.8	42.3	27.6	4.6	0.7
Impact	37.8	43	12.9	5.7	0.6
Environment	39.8	44.8	14.0	1.3	0.1

108. In establishing its working methods UOA 28 adhered to the assessment principles and framework adopted across Main Panel D (see paragraphs 21-31 of the Main Panel report) and participated in the calibration exercises that were conducted within the sub-panel and then across the main panel (see paragraphs 32-38 of the Main Panel report).

109. Given the change in sub-panel structure, the sub-panel decided to carry out a calibration in December 2013, in addition to the calibration exercises described in the report of Main Panel D. The outcome of this initial calibration exercise inspired confidence in the panel's ability to assess a broad range of outputs. Groups of members of Sub-panel 28 also participated in specific calibration exercises with Sub-panel 29 for English language and linguistics, and creative writing. A joint output assessor between Sub-panels 28 and 25 (of Main panel C) was appointed to cover educational linguistics. The double reading carried out within the panel also functioned as an ongoing calibration process.

## Outputs

**Table 3: UOA average outputs sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Outputs	24.8	42.3	27.6	4.6	0.7

110. The sub-panel received 4,943 outputs, distributed over the different categories as detailed in Table 4.

**Table 4: Output Types**

Authored books	937
Chapter in book	1,313
Conference contributions	43
Digital or visual media	5
Edited books	230
Exhibitions	1
Journal articles	2,292
Performance	2
Research datasets and databases	11
Research report for external body	4
Scholarly edition	70
Website content	10
Working papers	16
Other form of assessable outputs	9

111. The outputs were assessed without reference to place or mode of publication. Outputs of the highest quality levels were found amongst all types of outputs, across all sub-fields and time periods and in outputs written in a range of languages other than English. Outstanding work was found across institutions, in large and small submissions. The sub-panel did not find any evidence of a meaningful correlation between the quality of outputs and any proxies for quality, such as rankings of journals or publishers or other metrics, and did not take any such proxies into account. When identifying readers a number of aspects of their expertise were taken into account, such as their expertise in relation to language, sub-discipline, time period and methodology.

112. In some sub-disciplines assessed by the sub-panel, the monograph or other significant output resulting from a major project is an important format which is often assessed as being of a high quality. In these areas it is important that such major projects continue to be supported within institutions and that institutions use appropriate options such as double-weighting that aim to recognise the contribution to research of outputs of significant scale and scope.

113. Requests for double-weighting were submitted for 204 outputs, and of these 200 were accepted. This was a drastic change from RAE2008, where the precursor sub-panels judged a small proportion of outputs to be of sufficient scale and scope to warrant double-weighting. The approach to requests for double-weighting with the inclusion of a reserve output appears to have worked well in principle. It is, however, noticeable that institutions varied substantially with respect to nominations for double-weighting. A number of institutions had not nominated for double-weighting some pieces of work that would have satisfied the criteria. In some cases this may well have been due to a strategic assessment of the quality of different outputs, but there are also instances where it would clearly have been in the institution's interest to nominate for double-weighting and where the sub-panel got the impression that the decision had resulted from a reluctance to adopt this option.

114. Though the sub-panel accepted the vast majority of nominations for double-weighting, it concurs with the comment in the Main Panel report (see paragraph 55) that the 100 word statement was frequently not used well in that it did not refer to the characteristics of double-weighting identified in the 'Panel criteria and working methods'. Ineffective use of the 100 word statement was an even bigger issue with respect to outputs submitted as 'edited book'. In many cases, the information provided did not address the submitting member of staff's research contribution to the book, but focused on technical detail and minor editorial tasks.

115. The new larger sub-panel meant that much cross-disciplinary work could be dealt with within the sub-panel, but in some cases expertise was sought through cross-referral to another sub-panel. In total 183 outputs were cross-referred to 18 different sub-panels. At the same time, 12 sub-panels cross-referred a total of 174 outputs to Sub-panel 28 for advice. 41 outputs were referred to a specialist advisor, generally because the sub-panel did not have expertise in the language in which the output was written, or those sub-panel members with the appropriate language expertise had conflicts of interest which prevented them from assessing the outputs.

**Table 5: Cross-referrals**

	Into sub-panel		Out of sub-panel		Difference		Outputs Submitted
Within MP	146	3.0%	130	2.6%	16	0.3%	
Outside MP	28	0.6%	53	1.1%	-25	-0.5%	
<b>Total</b>	<b>174</b>	<b>3.5%</b>	<b>183</b>	<b>3.7%</b>	<b>-9</b>	<b>-0.2%</b>	<b>4,943</b>

116. Where outputs were assessed as 'unclassified', this was frequently because the date the output was first made publicly available fell outside the assessment period; or it was due to substantial overlap with another output submitted by the same person to REF2014 or with research published outside of the REF assessment period. Whenever there was deemed to be substantial overlap between outputs submitted by the same researcher to REF2014, this was resolved so as to maximally reward quality without any research counting twice.

117. The revised Main Panel structure and the more coordinated approach to calibration across sub-panels have ensured that the assessment criteria have been applied consistently, so that a comparison with related disciplines within the main panel offers a reliable picture of the quality of outputs submitted to Sub-panel 28. A direct comparison between RAE2008 and REF2014 is not possible given the changes in panel structure as well as other differences between the two processes, but it is still worth noting an increase in the percentage of outputs

deemed to be of 4\* or 3\* quality, from 47.6 per cent of outputs submitted to the precursor sub-panels in RAE2008 to 67 per cent in REF2014.

118. The new sub-panel structure allowed identification of a number of positive trends across the sub-fields. There is evidence of strength in methodological and theoretical diversity in all disciplines, and this feeds in many cases into significant interdisciplinary work. All language areas also show excellent chronological coverage with respect to linguistic, literary and cultural studies.

119. Many environmental statements outline measures to increase collaboration between language areas, but there is relatively little comparative work spanning language areas, except in linguistics. There are some notable exceptions to this and there is also evidence of sharing of methodology and theoretical approaches between sub-fields.

120. Though the new sub-panel structure has allowed better assessment of the field as a whole and of interdisciplinary work, it has also made the sub-disciplines less visible, and it is more difficult to perceive trends within individual language areas. However, the work of Sub-panel 28 has identified some characteristics and developments of individual language areas and linguistics.

## **Celtic**

121. Celtic Studies remains a broad and diverse field. Medieval and early modern studies continue to be prominent within the discipline in all geographical areas, but research into the language, literature and culture of the modern period is also well represented among the outputs submitted. There was a notable absence of material on Cornish, Breton and Manx. The outputs deal with subjects ranging from archaeology to contemporary literature and sociolinguistics, including editing of texts, literary criticism and theory, lexicography, area studies, human geography, ethnology and ethnomusicology, language policy and creative writing. Sociolinguistics continues to grow and is a prominent area within Celtic Studies; the growing interest in Celtic languages, literatures and cultures outside of Europe is also notable. Research within the discipline engages with and is informed by current literary and linguistic theories and the evolving insights produced within cognate disciplines such as history, literary studies, linguistics and sociolinguistics. The vitality of the discipline is evidenced by the quality of the outputs across all areas, periods and languages.

122. The field makes a dynamic contribution to the maintenance of cultural heritage and to the lives of minority language speakers. The outputs submitted provide ample evidence of research in Celtic engaging vigorously and productively with a range of communities. The sub-panel welcomed outputs written in Irish, Scots Gaelic and Welsh and noted the importance of sustaining academic discourse in the living Celtic languages.

## **French**

123. French remains a chronologically and geographically diverse field with outputs addressing the whole chronological span from pre-medieval to contemporary, and most regions of francophone culture as well as France itself. Whilst French Studies is a strongly multi- and interdisciplinary sub-field that includes history, politics, sociology, philosophy and linguistics as well as the study of cultural media and artefacts, literary studies still constituted the majority of outputs.

124. World-leading research was identified in all areas of French Studies, and the work submitted suggested continuing vitality and diversity across all periods, including medieval and 16th century. The sub-panel detected a slight decline in the volume of 17th-century studies and there was particular evidence of outstanding editorial work in the 18th century. 19th-century studies continues to develop as a lively and innovative field of research. Significantly more

outputs focus on the modern and contemporary period than on the pre-modern, and the panel noted particularly in work on the 20th and 21st centuries a move towards ambitious thematic and interdisciplinary approaches. In the modern period, the evidence of the outputs suggested a greater emphasis on narrative fiction than on theatre or poetry, and relatively little emphasis on popular or mainstream as opposed to 'high' culture.

125. Excellent and innovative work was noted in politics and cultural history as well as in film studies, which continues to grow. The Francophone postcolonial field also continues to develop in terms of significance and originality, and shows further diversification of geographical areas addressed. Gender and queer perspectives are increasingly widespread and have produced some outstanding contributions to research.

126. On the evidence of the outputs, developing approaches and areas of interest include phenomenological perspectives on film, disability studies, sensory or 'neuro'-humanities and animality/anthrozoology.

### **German, Dutch and Scandinavian Studies**

127. The submissions to REF2014 provided evidence of excellent work across the full range of time periods from the early middle ages to the present day, although there is a large preponderance of work in the 20th and 21st centuries. The trend identified in the report of RAE2008 of a shrinking number of institutions including researchers specialising in the medieval period has not been reversed. There is still much excellent work in this area, but the panel felt that opportunities for conducting further excellent research in this and other pre-modern periods had been left unexploited. Although German is the dominant language of study, there is also high quality work on Dutch, the Scandinavian languages and Yiddish.

128. Much work in German across all chronological periods is now characterised by an ambitious and mature interdisciplinarity. Approaches including intermediality and cultural studies methodologies mean that visual and postcolonial studies (notably in film, translation and exhibition studies, also memory studies and migrant writing) continue to thrive. Overall, it is clear that German Studies is now understood by the research community to be thoroughly embedded in and defined by wider, international, intercultural and interdisciplinary contexts.

### **Italian**

129. Research in Italian continues to be vibrant and innovative. Literary studies are healthy, and they have been invigorated by an intensified trend towards diversification. There continues to be a strong research presence especially in traditional areas such as Dante, Renaissance Studies, Leopardi and modern literature as well as Italian linguistics. Philological research continues to be strongly represented, with a focus on the early modern period.

130. Diversification has produced innovative work on other objects of research and media, such as photography and film, visual culture, and gender and queer studies. Most of the new areas identified in the RAE2008 report have continued to develop, and have been joined by work on migration studies, memory studies and philosophical thought.

131. The interest in interdisciplinarity noted in the RAE2008 report has continued to inform research and is often underpinned by the funding of inter-institutional research projects. Individual works of scholarship, however, continue to be one of the sub-discipline's great strengths.

### **Linguistics**

132. The general trend across the sub-panel of an increased variety in theoretical and methodological frameworks is also evident in linguistics. However, whereas cross-language

comparison is relatively rare in the literary and cultural areas, comparative work is prominent in linguistics. Many excellent studies rely on corpora and quantitative methodology or on the use of new technologies. General empirical, theoretical and applied work within core areas continues to thrive, and there was world-leading research in all areas of the discipline. The report from the Linguistics sub-panel of RAE2008 referred to a lack of outputs in the core areas of theoretical phonology and semantics. In the submission to REF2014 there was evidence of depth and breadth in both areas.

### **Russian and East-European Studies**

133. Submissions provided evidence that Russian and East-European Studies is a small but vibrant research area in the UK. As in previous exercises, submissions received related predominantly to Russia (including the Russian Empire and former Soviet Union) from the medieval period to the present day, with the modern period (19th century onwards) most heavily represented. Outputs relating to the Czech lands, Poland, Serbia, Ukraine and other parts of Eastern Europe were both less numerous and more focused on the period from the 19th century onwards.

134. Literary studies remain strong, with evidence of continuing research on classical literatures and canonical authors, on contemporary literatures, and on genre and medium (with particular emphasis on the modern period). There is continued evidence of a movement towards studying literature in broader perspectives, with a welcome increase in sophisticated cultural-historical approaches drawing on archival materials, and on theories and methods from outside as well as inside the Russian and East European domain. Similarly, there is notable work with a significant intermedial dimension alongside work with a focus on particular media (e.g. film, music, television, online materials).

135. Historical philology and linguistics/language studies retain a presence, although this is comparatively small.

136. Overall, research on Slavonic and East European languages and cultures other than Russian is, as noted in the RAE2008 report, in quantitative terms rather thinly represented, which gives some cause for concern given the actual or potential national strategic importance of these fields.

137. While research in Russian and East-European Studies has a strong presence in English and Scottish institutions, REF2014 provides (as was noted in the RAE2008 report) no evidence of its presence in Wales and Northern Ireland.

### **Spanish, Portuguese and Latin-American Studies**

138. The vitality of Spanish, Portuguese and Latin American Studies was evident in the quality of the outputs across all fields and centuries (from the Middle Ages to the present), geographical spread (including Europe, the Americas, Africa and Asia), and the full diversity of languages and peoples (including Amerindian culture). This vitality rests on a sustainable base: the research contribution of ECRs correspondingly spanned the geographical, disciplinary and chronological range. The sub-panel noted that an increasingly diverse set of methodological approaches characterised the consolidation of literary, historical and visual studies. Principled eclecticism is the dominant force in this new thinking.

139. There was marked evidence of innovation in cultural history. The field of enquiry has been expanded to include, for instance, outputs on cyber-culture, medical humanities, exhibition and museum culture, the history of publishing and collecting, migration studies, transatlantic studies, performance and translation studies, popular culture, and ephemerae. Lusophone Studies remain

a notable, growing area of strength; Brazil and Portugal are of equal importance to researchers, and interest extends further still across the Lusophone world. The panel observed that Galician and Catalan Studies are engaging in dynamic dialogue with comparative and transnational approaches to cultural and political enquiry.

## Impact

**Table 6: UOA average impact sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Impact	37.8	43	12.9	5.7	0.6

140. The impacts submitted were on communities, groups or individuals, on public bodies, on commercial companies, on charitable and non-government organisations, and on the general public, and took place at local or national level in the UK or in other geographical areas. Case studies included contributions to widening public access to and participation in policy processes.

141. A notable proportion of case studies contained international dimensions, and the sub-panel noted with interest a number of instances of wide-ranging and significant impact on the raising of critical awareness of other cultures and histories beyond the UK. It included outstanding examples of influencing legislative changes and also informing public debate on key areas of interest and concern.

142. Case studies revealed a wide variety of types of powerful and pervasive impacts, including, but not limited to, influence in the areas of practice, education, public debate, artistic performance and language preservation. Research was seen to influence a range of spheres, including civil society and the quality of life, and involved a variety of partners including in the fields of policy and commerce. Case studies were the result of individual or collective research (or a combination of these), and often included collaboration with researchers and other partners beyond the UK.

143. Impact emerged via a wide variety of mechanisms, and the links between research and its consequences were seen to be direct and causal, or non-linear and unpredictable. Activity occurred through a number of approaches, including contributions to the media and interventions in policy as well as community engagement. Some case studies used traditional methods of achieving impact, including public engagement, whereas others resulted from innovation and the use of new technologies. Excellent impact in terms of reach or significance, or a combination of the two, was to be found across the full spectrum of case studies and across institutions. Underpinning this was a broad range of enabling mechanisms and media adopted, including translations, diverse acts of public engagement, performances (including poetry readings, theatre and dance), art works, exhibitions, and interactive technologies of all kinds.

144. In general, the evidence provided to support the claim that the underpinning research passed the 2\* quality threshold was clear. The quality of the evidence supporting the claim that there had been impact was more varied, with some case studies evidencing dissemination rather than impact. In a number of case studies this was the major weakness. In some cases, the link between the underpinning research and the claimed impact was not clearly evidenced.

145. Impact has resulted from the full range of sub-disciplines covered by Sub-panel 28. The presence of a strong base of evidence for transformative benefits was noted in many cases, and this was described with powerfully persuasive indications of reach and significance. There was evidence of good institutional support in many cases.

146. The sub-panel noted a significant number of linguistic- and language-related case studies, including evidence of outstanding impact in areas including bilingualism, multilingualism, language policy, and minority/ endangered languages. Many of these cases revealed high levels of ambition and creativity, and were internationally enriching in terms of impact. Significant impact was evident in the areas of supporting language communities as well as increasing the visibility and public understanding of languages and cultures.

147. Case studies provided compelling evidence of an outstanding contribution to influence of practice, across various professions but also in the wider cultural arena. This included, for example, commercial impact on forensic speech services, such as the development of speaker recognition software, as well as activity in other areas, including speech synthesis. Case studies revealed impact of research in the area of speech and language therapy. Researchers in areas covered by the sub-panel also provided outstanding support in the area of policy for public bodies and services, including in the areas of language, communications and welfare, and this activity extended to compelling cases of impact relating to sign language and subtitling.

148. The sub-panel noted in addition some outstanding innovation in the design and development of new technologies. This included innovation and entrepreneurial activity through the delivery of new products or services, including the development of apps. The mediation of research through a range of digital resources represents an emerging trend in subjects represented by the sub-panel, with some particularly striking examples of planned as well as unforeseen impacts.

149. The subjects represented by the sub-panel have made a clear impact in the areas of publication and translation, and there is also a significant contribution to key activities in the area of public understanding of languages, cultures and histories, including through exhibitions, festivals and major public lectures.

150. The sub-panel noted impact of considerable scope and scale in the area of heritage, including contributions to preservation and policy.

151. The sub-panel noted that the broader, culturally-significant, communicative aspects of research in the fields represented by the sub-panel provided a genuine platform for the development of impact in creative and often unanticipated directions: these included projects that have impacted on how issues of race, gender and sexual orientation are perceived, and others that have encouraged reflection on situations of conflict, truth and reconciliation.

## Environment

**Table 7: UOA average environment sub-profile**

	<b>% 4*</b>	<b>% 3*</b>	<b>% 2*</b>	<b>% 1*</b>	<b>% uc</b>
Environment	39.8	44.8	14.0	1.3	0.1

152. The submissions to Sub-panel 28 provided evidence of research environments displaying both vitality and sustainability. Excellent research environments come in a range of shapes and sizes. The high proportion of ECRs (18 per cent), and evidence that they make a full contribution to their respective environments, is a particularly strong indication of sustainability. The standard data analyses provided for the environment helped inform, but did not determine, the sub-panel's assessment of a submission's environment.

153. Not all institutions were successful in presenting a coherent strategy for the unit's future. In a number of cases, this section did not contain a well-articulated strategy, but instead took the

shape of a list of individual researchers' plans. This lack of evidence of strategic thinking in some institutions was recognised also in a number of the reports of our precursor RAE2008 sub-panel reports.

154. There is evidence of improvement in the support systems for fostering research excellence, for instance through research-leave policies, through provision of funds for piloting research projects, and through support systems at local or institutional level.

155. Many institutions had excellent support systems in place for ECRs and staff who had taken career breaks or were working part time, though some institutions provided little evidence of such support being available and more generally did not refer to any policy relating to active support of equality and diversity. Some institutions had a substantial number of staff on short-term contracts, without commenting on support for the career development of staff in this category.

156. The number of PhDs awarded has grown over the period from 316 in 2008-9 to 412 in 2012-13 (or from 0.23 to 0.30 per FTE). Many institutions have in place strategies for increasing the number of PGR students, including the establishment of MA programmes to support recruitment and development. Many institutions have excellent support for PhD students and supportive processes in place for monitoring progress, but some institutions provided little evidence of support systems for postgraduate students.

157. The fields covered by the sub-panel attract research income from both Research Councils UK (RCUK) and other sources and there is also evidence of institutional support. There was little correlation between the size of the submitted unit and the amount of research income per FTE. In some institutions the research income fluctuated greatly due to a small number of large grants, whereas in others, the amount remained quite steady over the period. Fluctuation has a bigger effect on small submissions and the sub-panel took size into account when assessing these aspects of the environment.

158. Though some institutions had seen investment in infrastructure such as new buildings, there was across the sub-panel relatively little evidence of substantial investment in infrastructure such as libraries or IT provision.

159. The vitality of the field nationally is evidenced by the substantial contribution colleagues make to their respective disciplinary fields nationally and internationally. Colleagues play leading roles in national and international associations, participate in international research networks, organise major international conferences, edit influential journals and are called on to assess the work of colleagues by funding bodies and institutions across the globe.

## **Overview**

160. The submissions to Sub-panel 28 provide evidence of a vibrant research community across the language areas and fields covered by the sub-panel. Excellence in outputs, impact and environment was identified in a wide variety of institutions. A broad range of output types were submitted and examples of outstanding achievement were found across the categories. The research carried out in the submitting institution has impact on a range of individuals and groups beyond the academic world. There was evidence of colleagues making a crucial contribution to the research environment, locally, nationally and internationally. Early career researchers make a full contribution to all aspects of the submissions.

## UOA 29: English Language and Literature

1. All sub-panel members have discussed and collectively agreed this report, which provides more specific information on the matters of generic interest covered in the report from Main Panel D.

### Summary of submissions

2. There were 89 submissions made to UOA 29 (English Language and Literature). This is broadly in line with RAE2008, when 87 submissions were made to UOA 57 (English Language and Literature). Of these, 74 were in England (71 in 2008), two in Northern Ireland (two in 2008), eight in Scotland (eight in 2008) and five in Wales (six in 2008).

**Table 1: Summary of Submissions**

	Number of submissions	Cat A FTE staff	Cat A and C headcount staff	Research outputs	Double-weighted outputs	Outputs per person	Impact case studies (ICS)	FTE staff per ICS
<b>REF2014</b>	<b>89</b>	<b>1,971</b>	<b>2,155</b>	<b>6,933</b>	<b>506</b>	<b>3.22</b>	<b>283</b>	<b>7.0</b>
RAE2008	87	1,851	2,054	7,441	–	3.62	–	–
% difference	2.3%	6.5%	4.9%	-6.8%	–	-11.0%	–	–

3. The number of researchers submitted in this UOA showed an increase of 5 per cent. 2,155 researchers were returned in categories A and C, including 466 ECRs; in 2008, 2,054 researchers were returned in these categories.

4. Total research income submitted in this UOA was £68,163,095, and the average research income per FTE was £34,600.

5. 2,660 doctoral students completed their degrees within this assessment period, giving an average number of students completing per FTE as 1.35.

6. The sub-panel confirms that the approach and methods set out in the published criteria were scrupulously followed in every aspect of the assessment process. Due regard was paid to conflicts of interest throughout the assessment process.

7. Research and impact of high quality was to be found in institutions of differing types, and units of all sizes provided strong evidence of vital and sustainable research environments. Outputs of world-leading quality were identified among outputs of all types, and they were submitted by researchers at all career stages. World-leading research in English, generating impact of outstanding quality, is found across the discipline community, and this is a crucial source of resilience and diversity for the research community as a whole.

**Table 2: UOA average profiles**

	% 4*	% 3*	% 2*	% 1*	% uc
<b>Overall quality</b>	<b>33</b>	<b>41</b>	<b>22</b>	<b>4</b>	<b>0</b>
Outputs	28.6	41.7	25.3	4.1	0.3
Impact	35.8	47.0	13.6	3.4	0.2
Environment	46.3	35.0	14.9	3.4	0.4

8. These scores reflect high levels of ambition and achievement among submitting institutions and researchers active in the field of English Language and Literature across the sector. The overall quality of the research environments that have been developed to support and enhance research activity was especially impressive, as was the quality of the impact generated by research within the discipline.

9. In establishing its working methods UOA 29 adhered to the assessment principles and framework adopted across Main Panel D (see paragraphs 21-31 in the Main Panel Section of this report) and participated in the calibration exercises that were conducted within the sub-panel and then across the main panel (see paragraphs 32-38 in the Main Panel report).

## Outputs

**Table 3: UOA average outputs sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Outputs	28.6	41.7	25.3	4.1	0.3

10. 6,933 outputs were submitted for assessment. This compares with a total of 7,441 outputs in RAE2008. The drop in the number of outputs submitted for REF2014 is due to the number of researchers who were permitted to claim a reduction in the number of outputs submitted.

11. The sub-panel assessed the quality of outputs irrespective of the form or mode or place of dissemination of the research, and adhered to the working methods described in the published documentation (see paragraph 57 in the Main Panel section of this report).

12. In general, the sub-panel was very favourably impressed by the diversity and quality of the outputs submitted for assessment. Outputs of every type were represented among those that achieved the highest scores. Most of what was read was at least of internationally recognised quality. In terms of their originality, rigour and significance, the range and quality of these outputs speak highly of the health of research undertaken within the discipline.

13. However, the sub-panel read a small number of outputs where scores were affected by breaches of the published criteria regarding eligibility of the submitted research. If the research had been previously published outside of the assessment period without significant revision, development or addition to the research findings within the period, it was deemed ineligible. Substantially overlapping or duplicated material between separate outputs submitted by one or more researchers resulted in lowered scores.

14. A very small number of outputs were judged to demonstrate quality that fell below the standard of nationally recognised work, or did not meet the published definition of research for the purposes of this assessment. These received an 'Unclassified' grade.

15. It would have been helpful if all institutions had provided clear additional information on the research element of work submitted in forms where the nature and extent of the research content was not immediately evident.

## Disciplinary developments

16. Much research in English literature continues to be broadly historicist in its nature, and is often framed in terms of cultural enquiry. This approach encourages work of an interdisciplinary or multidisciplinary nature, and such outputs were often sophisticated, wide-ranging and assured. Strong disciplinary research continues to represent an element of notable vigour.

17. The sub-panel noted and welcomed the continuing strength of research across all periods of literary history. Some departments have chosen to focus their research in selected periods, while others include researchers working across a wide range. Both approaches are producing work of high quality.

18. Research in English literature continues to be diverse. Major interests in textual editing, literary biography, the study of Anglophone literature in English, Irish, Scottish, Welsh and global contexts (including American, European and postcolonial literatures), textual criticism, the history of the book, archival and manuscript studies, the sociology of texts, multilingual research, ecocriticism, gender and sexuality, disability studies, medical humanities and the study of literature in the context of the history of ideas continue to characterise research in English literature. The sub-panel also noted a substantial proportion of work that brought together creative and critical practice, or combined research in language and literature in innovative ways.

19. The sub-panel noted a significant increase in the variety and volume of creative writing and creative practice, submitted from institutions of differing size and character. The best of this work was outstanding in terms of its originality, rigour and significance, extending the traditional boundaries of research in the discipline of English in absorbing and sometimes exhilarating ways. A significant proportion of the creative writing submitted for assessment was judged to be of world-leading quality.

20. In English language, the sub-panel was impressed by the quality of research across the range of HEIs. The submitted outputs covered a wide variety of approaches and methods across the spectrum of General Linguistics and Applied Linguistics, drawing on contemporary and historical materials. The rigour demonstrated was of disparate kinds, including argumentation, experiment design, sophistication of quantitative techniques, and detail of qualitative description. One development of note is the adoption of corpus-based methods as part of a broad palette of approaches; another is the predominance of collaborative work.

21. The sub-panel welcomed the submission of non-standard outputs in the field of English language, such as databases and websites, and appreciated the presentation of research in a variety of forms, including textbooks and handbooks, in cases where these forms demonstrate originality, rigour and significance. It noted a clear trend towards forms other than the monograph within this research community.

**Table 4: Output Types**

	%
Authored book	30.2%
Chapter in book	25.8%
Composition	0.0%
Conference contribution	0.1%
Digital or visual media	0.1%
Edited book	5.5%
Exhibition	0.1%
Journal article	32.9%
Other form of assessable output	1.4%
Performance	0.5%
Research datasets and databases	0.1%
Research report for external body	0.0%
Scholarly edition	2.5%

Software	0.0%
Website content	0.3%
Working paper	0.2%

22. Authored books (including creative writing), scholarly editions (sometimes identified by institutions within the category of authored books) and edited collections formed 38.2 per cent of the submitted outputs. Substantial outputs of this kind are of central importance to the dissemination of high quality research in English, and the sub-panel welcomed the range, ambition and achievement of the outputs it received within these categories. Also of central importance, and often of world-leading quality, were shorter outputs, in the form (for instance) of articles (which comprised 32.9 per cent of submitted outputs), or essays in edited collections. Journal ranking played no part in the sub-panel's assessment of submitted articles.

23. Institutions were permitted to request double-weighting (D/W) for outputs that fulfilled the relevant criteria, submitting a 'reserve' output in case the claim for double-weighting were not accepted. This option, which was not available in RAE2008, was often effectively used, and the sub-panel judged almost all of the submitted requests for double-weighting to be justified. In a significant number of cases, double-weighting was not requested for outputs where this would clearly have been appropriate. In other cases, the option was used inconsistently, or very sparingly. Some institutions chose not to request double-weighting for any of their outputs. This had an appreciable effect on the outputs sub-profile of a number of institutions.

**Table 5: Double-weighting requests**

Research outputs	D/W requests	D/W requests approved
6,933	506 (7.3% of outputs)	505 (99.8% of request)

24. Research outputs where double-weighting was requested and allowed were in general, though not always, judged to be of high quality. This was the case across the range of different types of outputs for which double-weighting was requested (e.g. scholarly editions, monographs, creative writing outputs or journal articles reflecting research of exceptional scale and scope).

25. The sub-panel's work in assessing outputs was supported by the contribution of seven additional output assessors, representing a wide range of specialised expertise within the discipline. They played a full part in subsequent discussions. It was standard practice for each output to be examined in detail by more than one assessor, with due regard to their areas of academic expertise.

**Table 6: Cross-referrals**

	Into sub-panel		Out of sub-panel		Difference		Outputs Submitted
Within MP	145	2.1%	97	1.4%	48	0.7%	6,933
Outside MP	4	0.1%	6	0.1%	-2	-0.0%	
<b>Total</b>	<b>149</b>	<b>2.1%</b>	<b>103</b>	<b>1.5%</b>	<b>46</b>	<b>0.7%</b>	

26. The sub-panel received advice on 103 outputs from members of other sub-panels. These included outputs cross-referred to UOAs 27 (Area Studies), 28 (Modern Languages and Linguistics), 30 (History), 31 (Classics), 35 (Music, Drama, Dance and Performing Arts), and 36

(Communications, Culture and Media Studies, Library and Information Management) within Main Panel D, and 23 (Sociology) within Main Panel C.

27. The sub-panel gave advice on 149 outputs submitted to other sub-panels. These included outputs cross-referred from UOAs 27 (Area Studies), 28 (Modern Languages and Linguistics), 32 (Philosophy), 34 (Art and Design: History, Practice and Theory), 35 (Music, Drama, Dance and Performing Arts), and 36 (Communications, Culture and Media Studies, Library and Information Management) within Main Panel D; and 17 (Geography, Environmental Studies and Archaeology) and 21 (Politics and International Studies) within Main Panel C.

## Impact

**Table 7: UOA average impact sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Impact	35.8	47.0	13.6	3.4	0.2

28. The range and quality of the impact templates and case studies submitted were outstanding, revealing the transformative influence of research undertaken within this discipline on public life in the UK and beyond. The sub-panel drew on the expertise of nine specialist impact assessors, widely experienced beyond academia in judging the quality of the impact of research, whose work is based in regions across the UK. They represented sectors including museums, libraries and art galleries, theatres, the medical humanities, literary festivals, publishing, broadcasting, and a number of large national arts and cultural bodies. Each of these assessors played a full part in the process of assessment, formally confirming their confidence in the robustness and fairness of the process as the work was concluded. The assessment of impact was conducted according to the published description of the Main Panel's working methods (see paragraphs 21-31 of the Main Panel section of this report).

29. This impact was achieved through an impressive range of activities, including collaborations with publishers, the creative and cultural industries and heritage organisations, the curation of exhibitions or performances, or partnerships with a range of public bodies. Collaborations with a particular focus on specific local or regional communities often generated powerful impact.

30. Submitted impact arose from diverse kinds of research in English literature, English language and creative writing. It produced public benefit in various areas of civic and economic life, including, for example, the development of public policy; public benefit arising from performance, or the encouragement of creativity; the enhancement of public understanding of key writers, texts, or forms of literature; the enrichment of public understanding of major political, cultural, linguistic and social issues; the enhancement of education; the generation of economic prosperity; the support of innovation and entrepreneurial activity; and the cultural enrichment of diverse groups and communities.

31. Some institutions provided evidence for impressively innovative and coherent practices designed to create and support the generation of impact from research; others confined themselves to accounts of strategies that were little more than unconnected lists of existing or hoped-for areas of activity, or of specific projects relating to impact. The best templates were clear, well-structured, and fully evidenced.

32. There were occasionally problems in describing and evidencing the submitted impact. Case studies were sometimes weakened by a failure to demonstrate a strong connection between the underpinning research and the impact that arose from the research. In other cases,

impact was not clearly differentiated from public engagement, or the simple dissemination of research. Contributing researchers, and the dates of their contributions, were not always clearly identified. Corroborating evidence was sometimes scanty, or barely relevant to the details of the impact claimed. The sub-panel noted that the titles of the case studies sometimes bore little relation to the impact described.

33. The strongest case studies demonstrated impressive levels of innovation, commitment and public value.

## Environment

**Table 8: UOA average environment sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Environment	46.3	35.0	14.9	3.4	0.4

34. The assessment of environment templates was conducted according to the published description of the Main Panel's working methods (see paragraphs 21-31 of the Main Panel section of this report).

35. The standard data analyses submitted in relation to the sub-panel's assessment of environment templates helped to inform, but did not determine, the outcomes of its deliberations.

36. The strongest environment templates provided clear and specific accounts of the ways in which research was encouraged and supported at both institutional and departmental level, in an integrated process. Less convincing templates tended to be vaguer, listing disparate activities or aspirations rather than describing coherently focused and sustainable strategies, or failing to address the specific terms of the Main Panel criteria.

37. The level of support provided for early career researchers was one of the features that frequently distinguished the best submissions, along with clear and supportive mechanisms (such as research leave) for staff as a whole. Similarly, innovative and thoughtful equality and diversity practices were often to be found in the best submissions, whereas weaker templates gave these little or no serious attention.

38. Many submissions recorded extensive and successful work to secure and enhance levels of research income. The sub-panel noted pleasingly diverse sources of research funding across the discipline, including the AHRC, the Economic and Social Research Council (ESRC), the Leverhulme Trust, the Wellcome Trust, the British Academy, European funding, and commercial or charitable funding.

39. Submissions often described robust processes for the support and development of research infrastructure, including libraries, archives and special collections, computing facilities, and online resources.

40. Postgraduate research is in general carefully and effectively supported, even in departments with few postgraduate students, and the sub-panel identified the range and quality of postgraduate work in English among the notable strengths of the discipline. The support mechanisms described, including support for career development, were often impressively thorough, and sometimes innovative. However, the sub-panel noted that in some cases the provision was more perfunctory, and in a few instances departments did not provide sufficiently detailed evidence of the quality of their support for postgraduates.

41. Contributions to the discipline in a wider sense (including the support of subject associations, learned societies, the research councils and other funding bodies, editorships,

initiating and supporting research collaborations, or hosting major conferences) were strikingly diverse and committed, and the sub-panel welcomed evidence that departments of varying size and character were actively supporting the development of research in English language and literature in regional, national and international contexts. The fact that such contributions were by no means confined to senior members of the profession was noted, and welcomed.

## **Overview**

42. The sub-panel was greatly impressed by the quality and diversity of the research submitted for assessment in this exercise, by the excellence of the impact that it is generating, and by the evidence of commitment to a supportive research environment. Research continues to grow in energy and creativity and to explore new fields of investigation, while sustaining established areas of high achievement within the discipline. The level of commitment to nurturing talent among postgraduate students and early career researchers is notable and heartening, as is the discipline's wide-ranging contribution to public life. Research undertaken in English language and literature is evidently in vigorous health.

## UOA 30: History

1. All Sub-panel members have discussed and collectively agreed this report. It should be read alongside the Main Panel D section which deals with matters of generic interest.

### Summary of submissions

2. UOA 30 received 83 submissions from HEIs, the same number as in RAE2008, and 1,786 FET staff, a small (1.4 per cent) increase on 2008. 67 of the submissions came from HEIs in England, nine from Scotland, five from Wales and two from Northern Ireland. The sub-panel assessed 350 Impact items (this included 83 templates and 267 case studies) and 6,431 outputs (counting double-weighted outputs as two outputs and eliminating reserve items; this was the equivalent of 6,478 outputs). In the latter case this was again a similar number to 2008, although here there are issues of comparability, given that, for example, historians submitted to Area Studies rather than History varied considerably between RAE2008 and REF2014. The sharp increase in academic staff submitted with fewer than four outputs owing to clearly-defined and complex circumstances also affected this figure, reducing it by 7.6 per cent overall.

**Table 1: Summary of Submissions**

	Number of submissions	Cat A FTE staff	Cat A and C headcount staff	Research outputs	Double-weighted outputs	Outputs per person	Impact case studies
<b>REF2014</b>	<b>83</b>	<b>1,786</b>	<b>1,885</b>	<b>6,458</b>	<b>804</b>	<b>3.43</b>	<b>267</b>
RAE2008	83	1,761	1,927	6,960	–	3.61	–
% difference	0.0%	1.4%	-2.2%	-7.2%	–	-5.0%	–

3. The overall quality profile and the three sub-profiles for UOA 30 (History) are shown below.

**Table 2: UOA average profiles**

	% 4*	% 3*	% 2*	% 1*	% uc
<b>Overall quality</b>	<b>31</b>	<b>44</b>	<b>23</b>	<b>2</b>	<b>0</b>
Outputs	27.8	42.7	26.9	2.4	0.2
Impact	36.1	47.3	15.4	1.1	0.1
Environment	39.5	45.2	14.2	1.0	0.1

4. In establishing its working methods UOA 30 adhered to the assessment principles and framework adopted across Main Panel D (MPD) (see paragraphs 21-31 of the Main Panel report) and participated in the calibration exercises that were conducted within the sub-panel and then across the Main Panel (see paragraphs 32-38 of the Main Panel report).

5. The overall quality of research in UOA 30 (History) has improved since RAE2008, with the sub-panel concluding that History as a discipline is in very good shape across the UK University sector with some 4\* work being recognised in nearly every submission.

## Outputs

**Table 3: UOA average outputs sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Outputs	27.8	42.7	26.9	2.4	0.2

6. Outputs of world-leading quality were produced by scholars at every career stage, from early career researchers through to those now retired, and by those writing in English and those writing in other languages (4 per cent of the total). Work of world-leading quality was found spread widely across the work of the submitted staff, and the great majority of staff were judged to have produced work in more than one quality band. In particular, although it must be stressed that the sub-panel did not grade individuals, it was noted at the end that very few people submitted to SP 30 had a complete set of 4\* outputs; that sort of clean sweep is very rare in History. The sub-panel noticed that in many cases 2\* work, also submitted, had acted as a springboard for subsequent 4\* work, and could be seen as its crucial underpinning.

7. World-leading research is being produced in almost all of the submissions to UOA 30, and in all areas of the subject. The sub-panel read much that was exemplary in its rigour and of outstanding significance for the course of research in the areas it covered. This included many works which were already or would become recognised as primary and essential points of reference, many that were already or would be of profound influence, many that were instrumental in developing new thinking, new practices, new paradigms, new policies or new audiences, or which represented major expansions of the range or depth of research and its application, or were outstandingly innovative and/or creative. The outputs read by the sub-panel also showed that UK research in History as a whole continues to be world-leading. The types of research submitted, as in RAE2008, cover every aspect of the discipline, and no major variations between them were observed by the sub-panel: areas of strength were observable in most submissions, but, taken together, they cover all the sub-fields of the discipline. History is an intrinsically interdisciplinary subject, and the sub-panel read and assessed a substantial amount of work which could equally well have been submitted to other sub-panels; the range of quality shown there was the same as in outputs which were more focused inside the disciplinary field.

8. This range of quality was also visible in all the forms that outputs came in: monographs and other single- or dual-authored books, edited collections of articles, journal articles, book chapters, scholarly editions of texts, websites, working papers, or publications in other media.

9. Authored books (32.1 per cent), journal articles (38.4 per cent) and book chapters (22.7 per cent) constituted 93.1 per cent of all submitted outputs, although this understates the numbers of scholarly editions, which were often listed as monographs or edited books. In RAE2008, these three figures were 24, 36 and 36 per cent respectively; the percentage of books has gone slightly down and that of journal articles substantially up. The number of websites and databases submitted has decreased substantially (out of small numbers) since 2008.

**Table 4: Output Types**

	Output type	UOA 30
A	Authored book	2,071
B	Edited book	262

C	Chapter in book	1,464
R	Scholarly edition	59
D	Journal article	2,479
E	Conference contribution	19
U	Working paper	53
M	Exhibition	2
N	Research report for external body	4
H	Website content	14
Q	Digital or visual media	2
S	Research datasets and databases	16
T	Other	13

10. All forms of publication were treated equally in the grading process for outputs, and every form of publication, including book chapters and working papers, showed examples of the highest grade. The sub-panel did not rank journals in any way. Quality of content, not type of output, dictated scores awarded, and institutions that artificially selected by type of output may have thereby lowered their scores. That said, websites/databases, scholarly editions and monographs were the three types of output which tended, overall, to produce the highest percentage of the highest grade. It was also observable that, in the case of articles and book chapters, relatively short contributions tended to gain fewer higher grades. The focus and cohesion of edited books (including journal special issues) varied considerably; the best of them succeeded in mapping a new research agenda, but this is sometimes hard to demonstrate. In making quality judgements the sub-panel was often only able to judge the editor's contribution by reference to their substantive introductions and authored chapters – even with the help of the additional information supplied, which was in every case read by the sub-panel.

11. Some of the outputs submitted overlapped in content with others. In each case, the sub-panel read both together, so as to assess the research content only once, but in the most generous way possible: in particular, a book chapter/article which overlapped with part of a monograph was assessed first, and then the monograph was assessed with the shorter output omitted. In only a very small number of cases of extreme overlap was it impossible to give a classified grade to both.

12. Double-weighting requests were made for a wide range of output types, of which the sub-panel accepted 99.1 per cent of the requests. The overwhelming majority of these were for books, of which 59 per cent had double-weighting requests attached to them. This accurately reflects the importance of monographs and other books in History as a discipline; double-weighting is a crucial element in a fair assessment for such works, allowing assessors to recognise the degree of research input without privileging this in assessing the quality of the eventual output.

**Table 5: Double-weighting requests**

Research Outputs	D/W requests	D/W requests approved
6,458	804 (12.5% of outputs)	797 (99.1% of requests)

13. A few submitting units, however, did not ask for double-weighting for any of their submitted outputs, or else they asked for it for a rather smaller percentage than in the requests of other units. In nearly every case, given that the rules did not permit the sub-panel to double-weight if this was not requested, this did harm to the output profile of the submissions concerned.

14. Overall, double-weighted items tended to be graded far more often as world-leading or internationally excellent; so this was an opportunity missed. The sub-panel further noted that there were few double-weighting requests for articles or book chapters, even though these were eligible under the REF rules; and that some units who submitted people with only one output (because of defined circumstances) did not request that the output be double-weighted, even though it could have been. Submitting units also showed a greater reluctance to double-weight scholarly editions than authored monographs, even though such editions tended to score highly.

15. Outputs submitted to UOA 30 were assigned to sub-panel members and five output assessors, recruited to fill in gaps in the sub-panel's expertise, for classification on the basis of the expert knowledge of each member and assessor.

16. Where the output concerned was more appropriately assessed outside SP 30, whether the unit had requested it or not – 238 outputs in all – it was cross-referred to another panel. In the case of Ancient History, Classics, Byzantine Studies (all to SP 31) and Art History (to SP 34) this cross-referring was automatic. Other items were cross-referred to Geography, Environmental Studies and Archaeology (SP 17), Politics and International Studies (SP 21), Area Studies (SP 27), Modern Languages and Linguistics (SP 28), Philosophy (SP 32), Music, Drama and Theatre Arts (SP 35), and Communication, Cultural and Media Studies (SP 36).

**Table 6: Cross-referrals**

	Into sub-panel		Out of sub-panel		Difference		Outputs Submitted
Within MP	59	0.9%	220	3.4%	-161	-2.5%	
Outside MP	33	0.5%	18	0.3%	15	-0.2%	
<b>Total</b>	<b>92</b>	<b>1.4%</b>	<b>238</b>	<b>3.7%</b>	<b>-146</b>	<b>-2.3%</b>	<b>6,458</b>

17. 92 outputs and one case-study were cross-referred into SP 30 by the sub-panels assessing Biological Sciences (SP 5), Business and Management Studies (SP 19), Law (SP 20), Social Work and Social policy (SP 22), Anthropology and Development Studies (SP 24), Sport and Exercise Sciences (SP 26), Area Studies (SP 27), Modern Languages and Linguistics (SP 28), English Language and Literature (SP 29), and Communication, Cultural and Media Studies (SP 36).

18. The sub-panel thought that History was thriving in all chronological periods and in all countries its research covered. But it did note several positive developments in the field since the start of the REF cycle in 2008: some of them new developments, some of them further developments of themes and practices which were older.

19. It was generally agreed that History as a profession in the UK showed itself to very good effect when it confronted topics using an international/transnational perspective. The best history of Britain, in all periods, was often alert to comparisons with, and to alternative historiographies in, the wider world of Europe and beyond, setting UK topics inside wider debates. The history of non-UK topics was, similarly, often at its best when it confronted transnational, international, often global, issues. Global history in general, indeed, taking a broad definition of 'global', has often

resulted in very high quality outputs, from the middle ages to the 21st century. It was noted that high quality work of this type very often needed a good command of languages, whether European or non-European; the sub-panel hoped that the steady decline in language knowledge in the UK would not in future menace this important strength of UK History.

20. Interdisciplinary work was often recognised to be of notable originality and significance; links between History and a very wide range of disciplines were observed, from medicine through social science to literary disciplines. It was also generally agreed that some of the best work was also open to a range of genres of evidence at once, and alert to the different forms of knowledge which could be derived from each, from written texts through oral history to material and visual sources and film. This was indeed one of the clearest directions the discipline appeared to be currently taking.

21. Some other areas of particular quality which the sub-panel noted included: ambitious uses of qualitative methods, environmental and agricultural history, and 'big data', in economic history; a renewed attention to the intersection between cultural and intellectual history (including work on the circulation of ideas); non-UK imperial history; German and eastern European history; colonial American history; Asian and African history, not least of the pre-modern world; American, European and African histories of slavery in a global context; the cultural history of religion (including, not least, medieval heresy studies), which is a field increasingly enlivened by engagement with different methodological approaches; the cultural history of economics; a continued strength in the history of science and medicine, especially, again, where different types of source were used.

22. The sub-panel agreed that the strength of international approaches did not mean that regional, local and micro-historical studies were of less high quality. Similarly, the rise of cultural history has not meant that political and diplomatic history was necessarily of less high quality. The best of these were again world-leading. Some areas of traditional expertise could however have been enriched by using more diverse approaches, such as, apart from the foregoing, gender. Gender history in fact, outside the 20th century, did not seem always to be closely integrated with other forms of study, to the disadvantage of each. The sub-field of memory, commemoration and heritage studies contains some strong work, but outputs which were not informed by wider historiographies were graded less highly. Archival research was seen to continue to be strong and rigorous; when this resulted in the edition of texts, the published results were often world-leading.

23. Finally, the sub-panel was agreed on the notable quality of much ECR publication, including material deriving directly from doctoral work; this was often highly innovative, and promises well for the future development of the discipline.

## Impact

**Table 7: UOA average impact sub-profile**

	<b>% 4*</b>	<b>% 3*</b>	<b>% 2*</b>	<b>% 1*</b>	<b>% uc</b>
Impact	36.1	47.3	15.4	1.1	0.1

24. Overall, the sub-panel found that the impact agenda has been taken very seriously by most submitting units, and some of them, particularly some smaller units, have decided to specialise in the impact arena very substantially. Where that happened, the impact template and the case studies often scored particularly highly. Impact, to be properly achieved, requires

investment, and the most successful submissions (both large and small) generally showed that they were aware of this; smaller units with fewer resources however sometimes struggled.

25. The sub-panel found that it was much less difficult to grade the impact case studies than had been anticipated, and ended up confident in its judgements. The user members came from a variety of professions, including government, the NGO sector, the BBC, education, publishing and museums and the heritage sector; they and the academic panellists were in full agreement about this, and were also fully in agreement over the grading criteria and the final profiles for each submission.

26. The impact of research in History is clearly very considerable. The overall grade averages show it. Historical research provides measurable impact, in many cases very considerable in both reach and significance, in a wide variety of areas as well: in public policy, including both governmental and non-governmental organisations; in developing school curricula; in heritage management and museum practice; in informing local public knowledge about the past; in radio, TV, and trade-book publishing; and it does all of this both in the UK and abroad. There was little difference in the quality of impact across most of these sectors, although the sub-panel thought that there was still room for maximising the potential of collaboration with schools and of the development of school curricula. Historical research sometimes contributed so directly to the impact that it is hard to separate the two out; sometimes the impact was targeted by the researcher; sometimes it was taken up by others by chance; but in each of these there were case-studies in which impact could be shown to be great, and could receive the highest grades. In their impact templates units often demonstrated both a good understanding of the ways in which their research has been achieving impact, and of how to ensure the maximum future impact of existing and planned research. Although the problem of turning public engagement into demonstrable public impact remains necessarily difficult, departments generally had sensible strategies for directing their research to publics beyond the academy most likely to record a measurable response.

27. Submitting units did not, however, always demonstrate a clear understanding of the rules for impact as set out in the REF materials. In particular, they sometimes included impact that was outside the REF period of 2008-13; they sometimes included impact based on research not undertaken in the unit, and also impact which was underpinned by the research activity of academics at other institutions. These could not be taken into account at all and in a small minority of cases, where the impact depended on these elements, they represented a failure of the threshold criteria which meant that the case study could not be classified. In other cases such shortcomings weakened the impact being claimed with a consequent effect on the grade awarded.

28. Units were also sometimes vague about the nature of the relationship between the research and the claimed impact, and it was difficult to be sure (sometimes even after audit) if there was one. And, although the sub-panel took full account of the fact that the impact agenda only became operative half-way through the REF cycle, impact templates in some units were very generic indeed, not engaging with the suggestions in the panel criteria at all. The sub-panel and assessors had clear criteria for assessing them, but it was harder for a very generic template to get the highest grade. The sub-panel hopes that, as with environment templates, this will improve if, after review, the assessment of impact continues.

29. The sort of impact case-study which could usually be graded highest was able to show that an element of human practice and/or understanding had actually been changed as a result of the research undertaken (its 'significance'). It was recognised by the sub-panel that this is sometimes very difficult indeed to demonstrate; the sub-panel indeed recognised that sometimes

the dissemination (the 'reach') of research in itself showed the highest level of impact, and assessed accordingly. But it also noted that some submissions did not try to show 'significance' even when the data were potentially available. External supporting evidence (e.g. letters from external users) was sometimes not targeted to the specifics of the impact, but simply corroborated the activity. This too had an effect on grades. Overall, the sub-panel could and did only assess the evidence presented to it.

## Environment

**Table 8: UOA average environment sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Environment	39.5	45.2	14.2	1.0	0.1

30. The content of environment templates was more closely specified in REF2014 than in RAE2008, and the sub-panel assessed templates according to the vitality and sustainability of the unit, as assessed in five categories, corresponding to the template: research strategy; people (staffing); people (research students); income, infrastructure and facilities; and collaboration and contribution to the discipline. The introduction of a standard template in REF2014 helped the presentation of the environmental material for units very considerably. The grading of each was much easier, and the sub-panel had a good deal of confidence in the result, which also showed, in common with other sub-panels, higher figures than other sectors of REF2014, as well as higher than in RAE 2008 – which shows in itself that units have become more skilled at presenting this material. History as a discipline is clearly sustainable at present, as shown by the steady state evidenced by submissions, and the growth in research students which the sub-panel observed shows that it can continue to be so in the UK.

31. That said, units were uneven in their use of the template. In some cases, they diverged from it considerably, placing important information in unexpected places, including the introductory section which is not graded. The sub-panel was able to mark them appropriately, seeking out information wherever it was presented, but it is fair to say that in most cases the units which did this did not receive the highest grades on other grounds as well. In general, too, units which missed out sections of the template were graded less highly in those areas, for the sub-panel was unable to assess information that was lacking. Environment templates which appeared to have been written by non-historians tended to score less highly; the best templates showed an effective relationship between the submitting unit and its HEI.

32. Submitting units showed a wide range of research strategies, from the highly managed, which seemed sometimes to depend for their sustainability on the presence of particular individuals, to the laissez-faire. Many units had a very clear strategy for research development; some restricted themselves to listing past achievements, with a strategy for the future which did not add much to the phraseology of the template itself. The latter submissions tended to get less high grades as well.

33. A significant number of submissions did not demonstrate fully satisfactory working practices, particularly with regard to the treatment of early career staff (including lighter workloads), post-early career staff development, regular study-leave with transparent procedures, and equality and diversity (units that discussed gender often did not address other forms of diversity). Frameworks of support for staff and their research (at all stages of their careers) did not always appear to be as robust as those for research students. Staff development is however a crucial part of a sustainable research environment, and the sub-panel took the REF guidelines for

what to include in the template as seriously here as it did elsewhere. Overall, that sub-section scored less highly than others.

34. The sub-panel laid some stress on the overall scale per FTE of research grants gained and the numbers per FTE of research degrees completed whilst recognising that the data referred in many cases to a larger cohort than the FTE submitted. In each case, however, it did so against the background of the infrastructure described in the text, so as to be able to assess the vitality and sustainability of each; and in each case it also did so by comparing units of similar size and type. As such the data were used to inform, but did not determine, the sub-panel's deliberations. Credit was given, in particular, for the recent development of a good graduate infrastructure even where student numbers were not yet great, or where funding was not currently available.

35. Like the staffing section, collaboration and contribution to the discipline tended to score less highly than others, with some submissions resorting to undifferentiated lists of memberships of editorial boards and seminar papers given; lists which were hard to grade highly. Those who did score highly usually presented the material more discursively and selectively (see Main Panel report, paragraph 86). Here, institutional support (for, for example, time-consuming journal editorial work and grant assessment) often helped higher assessments, but the sub-panel also recognised editing, peer review, and international collaboration as important features of wider professional service.

36. Units of every size and type showed the highest-scoring levels of environment; there was widespread evidence of people working effectively with scarce resources.

## **Overview**

37. Overall, the sub-panel saw much evidence that the submissions returned to UOA 30 were extremely lively, strongly engaged with research in History, and pursuing research strategies that could be sustained long-term, with many signs of good practice, healthy investment, and a great deal of individual and collective devotion to the subject. The strongest submitting units often showed awareness that to make the most of their limited resources they needed to target their research towards areas of common interest, and to take full advantage of relevant research priorities and support mechanisms in their institutions; small submissions which concentrated on specific areas often received high grades. Conversely, a diversity of research areas was often also a strength.

38. The sub-panel saw evidence of much good practice with regard to research students and of their integration into the research of the submitting unit as a whole. There has been good investment during the assessment period both in infrastructure and in staffing. The units submitting to UOA 30 showed themselves very generally to be closely concerned with the health of the discipline as a whole, contributing to the wider discipline by both outward-looking research activities (including by 'lone scholars') and short- and long-term collaborations; and also, importantly, through active leadership of and participation in national and international bodies. Nevertheless, in some units such wider activities seemed to be left to a limited sub-section of staff, rather than to involve the full staff of the unit.

39. To repeat, finally: the sub-panel concluded that History as a discipline is in extremely healthy shape across the UK University sector. The REF2014 exercise demonstrated the major contribution which researchers in UK universities make to the discipline world-wide, and that the results of this research can be seen to have been disseminated very widely through committed public engagement.

## UOA 31: Classics

1. All sub-panel members have discussed and collectively agreed this report. It should be read alongside the Main Panel D section which deals with matters of generic interest.

### Summary of submissions

2. 22 units submitted to Sub-panel 31. Sub-panel 31 assessed 59 impact case-studies and the equivalent of 1,388 outputs (counting double-weighted outputs as two outputs). In addition 171 outputs were cross-referred to Sub-panel 31 by the sub-panels assessing Archaeology and Geography (SP 17), Modern Languages and Linguistics (SP 28), English Language and Literature (SP 29), History (SP 30), Philosophy (SP 32) and Theology and Religious Studies (SP 33). Of the 22 submissions to SP 31, 18 were from England, 3 from Scotland and one from Wales.

**Table 1: Summary of submissions**

	Number of submissions	Cat A FTE staff	Cat A and C headcount staff	Research outputs	Double-weighted outputs	Outputs per person	Impact case studies (ICS)	FTE staff per ICS
<b>2014</b>	<b>22</b>	<b>383</b>	<b>401</b>	<b>1,388</b>	<b>166</b>	<b>3.46</b>	<b>59</b>	<b>6.5</b>
2008	24	415	461	1,657	–	3.59	–	–
% difference	-8.3%	-7.7%	-13.0%	-16.2%	–	-3.6%	–	–

3. All the units returned to Sub-panel 31 were in pre-1992 universities, a high proportion of them in universities in the Russell Group. Classics has been under pressure in many universities for several decades, and it is clear that all the units returned to Sub-panel 31 were thoroughly fit for purpose. Some outputs from every single unit in Classics were judged to be 4\*. Within Main Panel D the distribution of quality grades in Sub-panel 31 was notably the most bunched, both overall and in each of the three parts of the profile (outputs, impact, environment). As a result, although the maximum 4\* and 4+3\* percentages for units returned to Sub-panel 31 were not at all the highest in Main Panel D, the average grade awarded by Sub-panel 31 was particularly high.

**Table 2: UOA average profiles**

	% 4*	% 3*	% 2*	% 1*	% uc
<b>Overall</b>	<b>34</b>	<b>42</b>	<b>22</b>	<b>2</b>	<b>0</b>
Outputs	29.4	41	27	2.3	0.3
Impact	41.4	46.8	10.0	0.8	1.0
Environment	42.6	43.9	12.8	0.7	0.0

4. In establishing its working methods Sub-panel 31 adhered to the assessment principles and framework adopted across Main Panel D (see paragraphs 21-31 of the Main Panel report) and participated in the calibration exercises that were conducted within the sub-panel and then across the main panel (see paragraphs 32-38 of the Main Panel report).

## Outputs

**Table 3: UOA average outputs sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Outputs	29.4	41	27	2.3	0.3

5. World-leading research is being produced in all the units submitting to Sub-panel 31 and in all areas of the subject. The sub-panel read much that was exemplary in its rigour and of outstanding significance for the course of research in the areas it covered. This included many works which were already or would become recognised as primary and essential points of reference, many that were already or would be of profound influence, many that were instrumental in developing new thinking, new practices, new paradigms, new policies or new audiences, or which represented major expansions of the range or depth of research and its application, or were outstandingly innovative and/or creative. The REF2014 criteria recognise a wider range of ways in which outputs might be world-leading or internationally excellent and this enabled Sub-panel 31 to give due recognition to the different ways in which research submitted to it led the world (and makes the classification in REF2014 not strictly comparable to the classification in RAE2008).

6. Outputs of world-leading quality were produced by scholars at every career stage, from early career researchers through to those now retired, and by both those writing in English and those writing in other languages. Work of world-leading quality was indeed found spread widely across the work of the submitted staff, and the great majority of staff were judged to have produced work in more than one quality band.

7. The sub-panel is conscious that for a variety of reasons it did not see the full range of work done in Classics in the units who submitted to it. Nevertheless, within individual areas of the subject there was a very wide range of scholarship to welcome, although also some gaps to regret.

8. There was widespread evidence of top-class work in text editing, history and criticism of texts, and history of scholarship. Editions and commentaries submitted included an encouraging number of contributions of monumental standing, landmark editions which will stay standard for years, while others serve more purely didactic aims (with some variation in quality).

9. The study of Greek literature has remained in the forefront of the discipline internationally. All periods received intensive study, though the archaic and classical periods have continued to dominate, contributing some two thirds of outputs. Research ranged widely from traditional editions and commentaries to innovative interdisciplinary and theoretical work. The centre of gravity, in keeping with trends of recent years, has inclined towards the latter end of this spectrum, though much excellent work deployed skills from across the board. Outputs taking account of reception and contemplating dialogue in both directions, from antiquity to modernity and back again, achieved some notable insights. The field remains overwhelmingly historicist in its approach to literature (with some dissenting voices), and anthropologically-informed models of reading continue to be influential. Unsurprisingly therefore the dialogue between Greek literature and other sub-disciplines in Classics has been close and fruitful.

10. Latin studies in the UK as a whole shows a remarkable diversity of approaches and methods, with a majority of work clearly world-leading or internationally excellent in quality. The picture on the whole is one of notable health, vigour, expansion and catalysis of further research. Much work produced on Roman poetry has demonstrated a high level of theoretical

sophistication; there have been some particularly impressive studies of Roman drama. Intertextuality and intermediality continue to be important concerns, as is the mapping of poetic production onto the broader culture of which it is a part. It is also pleasing to see that Latinists have begun to use the insights and methods of work on classical receptions within the period of classical antiquity. There continues to be valuable research produced on Roman historiography and, more broadly, on the interface between Latin literature and history (showing the artificiality of the division). In the field of Roman oratory the best studies have focused effectively on integrating speeches into their performance contexts. Other areas of strength include the literature of late antiquity and studies analysing the operation of philosophical writing in its Roman cultural contexts.

11. Work in Reception has continued to be vigorous, if of mixed quality. Some lively, distinguished and innovative studies have demonstrated the significant payoff to be gained from collaboration with specialists in other disciplines and/or dialogue with practitioners. Others have been notably enriched by rigorous archival research and/or close engagement with the specific cultural context of the reception in question. Some of the most outstanding work demonstrated the ways in which its analyses meshed with or helped advance understanding of classical reception or the classical tradition more broadly. Innovative outputs from a range of units have explored the role of classical reception in areas of modernity as disparate as philosophy, gender studies, the history and aesthetics of film, Enlightenment and Victorian studies, and the history of the New World. In terms of region, reception studies have expanded their focus considerably beyond Europe and the US; in terms of period most attention is currently given over to modernity and to renegotiations or subversions of 'the classical'. Significant attempts have been made to advance theoretically beyond the key position that meaning occurs at the point of reception. But there have also been quite a few pieces which, while suggestive in their ideas, show only patchy familiarity with relevant scholarship on and approaches to the 'receiving' period and/or post-antique modes of reception.

12. Work in Ancient Philosophy submitted to Sub-panel 31 covered a range that included, but went far beyond, the relatively narrow canon of texts and approaches that predominate in the field internationally. The majority of submissions addressed philosophy before Socrates and after Aristotle; many more intersected in innovative ways with other sub-disciplines, including science, poetics and social history. The best work in these newer areas did not take advantage of their relative unfamiliarity merely to summarise them for a new audience, but explicated them with rigour, and explored their wider significance. Remarkably fresh and non-partisan approaches were often on show in treatments of more traditional topics too.

13. Within the field of Greek history much world-leading work was found in the reinterpretation of well-studied areas, often casting old problems into entirely new light. There were particularly notable contributions exploring contact between the Greeks and non-Greeks, both the peoples of the Near East, and especially Persia, and also parts north, west, and south (as well as notable contributions on matters Near Eastern and Egyptian, particularly in matters religious) and some welcome opening up of issues of the understanding of both historians and historical issues through exploration of the historical reception. Archaic Greek history had received relatively little attention, and much of what there was engaged closely with archaeology. A considerable amount of work on the classical period represented incremental advance on earlier scholarship, with continued reluctance to situate political problems against a broader social, cultural and economic background. The best classical Greek historical work came from those who engaged in detail with texts. There was some notably brilliant work on both Hellenistic and Roman Greece.

14. Work on Roman political history under the republic has mostly been relatively traditional in approach. Important work continues to be produced on Greek culture under the Roman Empire. Other highlights have included studies exploring the integration of religious practice and social/political structures, with some sophisticated use made of epigraphic material. Some interesting work has appeared on social history, though, with a few distinguished exceptions, this has mostly served to nuance insights arising from earlier scholarship. There have also been some imaginative applications of economic theory, with the best work generating important new insights.

15. In the field of Roman imperial history, approaches to how material evidence is interpreted are being widely and constructively reassessed and methodologies re-examined. While there is continuing emphasis on reports on individual sites, attention is also being given to their context, local, provincial and further afield, although ghosts of old-fashioned approaches to 'Romanisation' still linger. 'Rome' itself is not seen as 'the world', with exciting work being done on rival border states and cultures. In studies of phenomena such as urbanism, the use of space, public and domestic, and the Roman economy, the borderlines between archaeology and history are being tested. The development of new theoretical lines of enquiry, used with caution, offers benefits, although some were uncertain as to the applicability of theory to evidence; the use of theory is still a work in progress. Political, military and cultural history were well represented, although in general approaches were more conventional; these areas might be enlivened in future by more attention being paid to questions raised in other comparative disciplines. It was to be regretted that so little interest was displayed in issues of gender.

16. The study of cultural encounters between Greek, Roman, and other peoples, often set in post-colonial frameworks (especially for the Hellenistic and Roman periods) and in studies of empire and imperialism, is flourishing, and has also resulted in important new approaches to ancient geographies.

17. The movement from Rome-centred perspectives to the interaction of Roman and non-Roman cultures has required historians to integrate textual with material culture, using archaeology and visual art, epigraphy and papyrology, and to work with languages other than Greek and Latin, notably with Syriac and Arabic in relation to debates on philosophy, theology and medicine and to their cultural setting.

18. Work on Late Antique and early Byzantine history and culture, and on relations with early Islam, has integrated political history, law and theological debate with social and cultural history. The traditional 'frontiers' of the 'ancient world' have been challenged in Late Antique and Byzantine Studies by new and interdisciplinary approaches to questions of historical periodisation and the physical and cultural boundaries of the so-called classical world.

19. Byzantine and Modern Greek studies were quantitatively less well represented than the SP expected, but cross-referrals from other SPs suggest that this reflects the submission policies of HEIs rather than a decline in research activity in these areas. Submitted work ranged across culture (including art history and gender), history (including comparative, economic, legal and social history), historical geography, linguistics, and literature (including editions of texts), and ranged chronologically from Late Antiquity to the 21st century. World-leading quality was identified in all of these areas.

20. Within the field of Classical Archaeology, world-leading work was found in the areas of material culture and its significance, landscape archaeology, and funerary practices, but it was particularly notable in areas once seen as tangential to the subject, such as archaeological aspects of Greek and Italic cult and cult practice, the use of space, the body, the Roman

provinces and the fringes of the empire (especially the Near East and the north-western provinces), and the field of Late Antiquity. The range of work included outstanding syntheses, work that developed new methodologies and lines of interpretation, and projects publishing substantial and highly relevant bodies of evidence for the first time. Work on Rome, Italy, and Roman Greece and Asia Minor was both rarer and, with some notable exceptions, more traditional in approach and limited in scope.

21. In Classical philology and linguistics a significant number of outputs addressed Latin and Greek (from Mycenaean to modern Greek) and languages in contact with them, Indo-European and non-Indo-European. These outputs covered between them a wide range of linguistic approaches – descriptive and theoretical, grammatical and sociolinguistic – and topics – ranging from writing and writing systems to register, dialect, special and technical languages, and large-scale historical surveys. A goodly number addressed the interface between language and history, especially social and cultural history, and required expertise in two or more additional areas, e.g. papyrology or archaeology or epigraphy and medicine or law or philosophy.

22. World-leading quality was identified not only in scholarly editions, commentaries, and monographs (including those derived from doctoral theses, those written to be accessible to the general reader, but with careful presentation of evidence and debates. and those that, though intended primarily for student use, were based on significant original research), but in contributions to reference works, in catalogues, in translations with introductions and/or commentary, in edited books of various kinds, including those derived from conference proceedings, in contributions to those edited books (including chapters contributed to ‘companions’, where those were based on original research), in journal articles contributed to a wide range of journals and in working papers. The focus and cohesion of edited books varied considerably; the best of them succeeded in mapping a new research agenda.

**Table 4: Output Types**

(types contributing <1% are excluded)

Authored book	31.1%
Chapter in book	31.3%
Edited book	8.4%
Journal article	24.6%
Other form of assessable output	0.5%
Scholarly edition	1.9%
Website content	0.6%
Working paper	1.1%

23. The question of double-weighting was discussed both in theory and in relation to particular outputs at the beginning of the assessment process, and problematic examples were subsequently discussed by the whole sub-panel. The sub-panel rejected two claims (out of 166) where the scale and scope of research involved in producing an output did not seem to justify double-weighting.

**Table 5: Double-weighting requests**

Research Outputs	D/W requests	D/W requests approved
1,388	166 (12.0% of outputs)	164 (98.8% of requests)

24. Those outputs that were double-weighted were also the sub-set of outputs with the highest quality profile. It can be no surprise to anyone that the greater scale and scope of outputs where greater research input was involved led more frequently to results that, in the opinion of the sub-panel were, or deserved to be, world-leading. It would have been more helpful if the 100 word statements in support of double-weighting had referenced more closely the criteria.

25. Outputs submitted to Sub-panel 31 were assigned to sub-panel members and output assessors for classification on the basis of expertise, and where this was compatible with available expertise outputs by a single author were assigned to more than one assessor. General issues of calibration of the various levels of output score were discussed repeatedly by SP 31 throughout the process as they arose, and partway through the exercise all sub-panel members identified a number of outputs for reading by one or more further member of the sub-panel (and, in one case, by a member of another sub-panel) to ensure consistency of classification. All items unclassified were read by at least two assessors, and discussed by the sub-panel.

26. 27 outputs, including all those for which units had requested cross-referral, were cross-referred to members of another sub-panel for expert advice. Items were cross-referred to Archaeology and Geography (Sub-panel 17), Modern Languages and Linguistics (Sub-panel 28), History (Sub-panel 30), Philosophy (Sub-panel 32) and Theology and Religious Studies (Sub-panel 33).

**Table 6: Cross-referrals**

	Into sub-panel		Out of sub-panel		Difference		Outputs Submitted
Within MP	161	11.6%	15	1.1%	146	10.5%	
Outside MP	10	0.7%	12	0.9%	-2	-0.1%	
<b>Total</b>	<b>171</b>	<b>12.3%</b>	<b>27</b>	<b>1.9%</b>	<b>144</b>	<b>10.4%</b>	<b>1,388</b>

## Impact

**Table 7: UOA average impact sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Impact	41.4	46.8	10.0	0.8	1.0

27. For the assessment of impact SP 31, which already included one member recruited specifically as a 'user', was joined by three impact assessors chosen for their experience and expertise in the museum and heritage sector, in secondary education, and in the media. All impact case studies and impact templates were initially assessed by two 'users' and two sub-panel members and then discussed by the full SP which took responsibility for the final classification.

28. The sub-panel was pleased, but not surprised, to find how much outstanding impact units had been able to demonstrate in their case studies. The question about which the Classics subject community had been doubtful in the run-up to the REF had not been whether its research achieved great impact, but whether the 'Assessment framework and guidance on submissions' would enable impact to be fairly demonstrated. There is no doubt that the 'Panel criteria and working methods' for Main Panel D did enable such demonstration, but Sub-panel 31 remained

doubtful whether what it was able to demonstrate in REF represented the true impact of different units adequately.

29. Sub-panel 31 observed that some units, and indeed perhaps HEIs more generally, had either found it more difficult to understand, or had misunderstood, the criteria for eligibility for impact (in part perhaps because the requirements were different from those for outputs). The 'Assessment framework and guidance on submissions' placed proportionately larger demands upon small units, which were obliged to produce a higher number of case-studies per head, and also made the demonstration of their impact hard for units which recruit and enable researchers so successfully that they move on to larger units or more prestigious positions, and for departments where retirements had perfectly reasonably led to disruption and discontinuity.

30. In a world where universities have long recruited to prestigious positions those whose research has already made an impact, and enabled them to enlarge on that impact, the sub-panel remained unconvinced that it was reasonable to rule out impact of research to which they had made no material contribution while employed by the submitting unit. Equally, when many scholars work for their whole lifetime in a single area, the sub-panel did not regard it as reasonable to demand that impacts achieved can be counted only if a material contribution to them was made in the last 20 years, leaving mature scholars either to count their life's impact as nothing or to focus on the contribution to the impact made by more recent, less foundational, research. Although the sub-panel was able to recognise the cases offered by those obliged to present their work in this way, it has no doubt that many similar cases were never returned to REF2014 because of the constraints of this rule.

31. The requirements for REF2014 may have suited some types of impact where a single 'discovery', published and developed in a small body of papers, has been the sole factor in changing the behaviour of significant bodies of people for whom there are recognised spokespersons. In such circumstances the indicative maxima of six references to underpinning research and 10 testimonia on the impact of that research might adequately capture the research and its impact. But many of the cases seen by Sub-panel 31 were presenting the wide-ranging impact of a quite broad body of research done over a long period by several researchers, and such cases were ill-served by these limits.

32. But although the 'Assessment framework and guidance on submissions' limited the impact case studies that units could legitimately present, and although the links between research and impact and distinctions between outreach and impact were sometimes challenging for units to demonstrate, the panel criteria and working methods nevertheless made it possible for a great deal of outstanding impact from research to be demonstrated in the submissions to Sub-panel 31.

33. Sub-panel 31 saw evidence of outstanding impact on civil society, cultural life, education, policy making, and public discourse. Among these we note as exemplary:

- the marked effect of research of all sorts undertaken in units submitted to Sub-panel 31 on syllabuses and teaching methods in both schools and universities (internationally, not merely nationally); the numerous examples of this encompassed not only impacts upon the teaching of classical and related subjects but the impact of sociolinguistic research concerning narrative and story-telling on the teaching of second languages to migrant and minority children;
- the importance of works of reference encapsulating the latest research in changing the perception and understanding of wide audiences, within and beyond the education sector;

- the use of digital technology massively to expand awareness of areas of Classics dependent on high levels of technical skill, where, through employment of the best digital imagery, millions of viewers world-wide have been enabled to participate in coal-face research, both in the context of school education and as a leisure activity;
- the ways in which, both in the context of excavation, working with local communities, and in the context of the display of heritage on sites and in museums, policies, practices and attitudes in and around heritage management have been changed internationally as well as nationally;
- the innovative means of showing off the museum and of drawing attention to the interest of what is in the museum that have both encouraged other museum professionals to do likewise and have actually succeeded in making people see differently;
- the transformative effect upon professional training and professional practice of the provision to commercial archaeologists and other specialists outside the narrowly academic world of databases and works of reference necessary for efficient operation at the highest quality level both in the field and in the storeroom and laboratory;
- the transformation of general historical awareness resulting from books and from television and radio programmes which, informed by new research, have fed public interest;
- the importance of Classical scholarship to cultural life across the range of the arts and the performing arts, where the prominence of the Classical tradition has given classicists peculiar opportunities;
- the direct and transformative effect on the personal development and cultural outlook of individuals achieved by effectively exploiting the capacity of Classical research to provide a neutral space for confronting issues of personal identity and cultural division, where the research undertaken has demonstrably mitigated damaging effects on individuals and their communities.

34. In their impact templates units demonstrated both a good understanding of the ways in which their research has been achieving impact, and of how to ensure the maximum future impact of existing and planned research. Although the problem of turning public engagement into demonstrable public impact remains necessarily intractable (those who are impacted are frequently themselves unable to describe, let alone quantify, the effects), units had sensible strategies for directing their research to those publics beyond the academy most likely to record a measurable response.

35. Among the factors that have led to a high proportion of outstanding impact case studies and impact templates from units returned to Sub-panel 31, the following seem significant:

- Classics is pursued almost exclusively in the long-established research intensive Universities which have long had the infrastructure to support research impact. In the last 50 years, since Latin ceased to be a compulsory subject in schools and for entry to Oxford and Cambridge, Classics has seen itself as a subject under threat. It is notable in this regard that the Joint Association of Classical Teachers has recently celebrated its 50th anniversary: University teachers and teachers in secondary schools have long been working very closely together to ensure that the subject survives in schools and is well supported there. University teachers of Classics are very conscious of the need to keep their subject in the public eye, and to make sure

that what is studied in schools continues to be appealing in the context of current interests and alternatives. As a result they have long taken the lead in ensuring that what is taught in schools prepares students for what is taught in universities, and that the research produced in universities can be translated into teaching in schools (via specialist Classical magazines for sixth-formers – Omnibus, which is more than three decades old, and the more recent Iris –, via teachers' notes and specialist source-books (especially the London Association of Classical Teachers series), and via an extensive programme of live engagement with school students through talks at individual schools, at conferences held for sixth-form students, and in association with productions of classical drama).

- Classics (and still more so Sub-panel 31, which had an even wider remit) includes a wide range of sub-disciplines, each one a domain with its own impact potential and several of which are particularly closely linked to the non-academic world. Classical archaeology, for instance, is closely engaged not merely with the archaeological heritage of classical lands and their present-day communities but, because of the long history of collecting works of Greek and Roman art, with museums and art galleries. The Classical world has provided some of the most significant blockbuster national exhibitions in recent years, but also a wide range of outstanding local exhibition initiatives.
- The reception of classical art and archaeology is one, but only one, aspect of the wider reception of Classics. Humane activity in this country and across the western world has been focused through the Classical Tradition for many centuries. Understanding the Classical Tradition is vital to understanding western culture, and understanding Classics is vital to understanding the Classical Tradition. Classicists have led the way in 'reception studies', and since stories from the Classics underpin so much western literature and art, Classical scholars have been long engaged with the public explication of cultural heritage.
- Because Classics underpins humane life across the whole western world the community of classicists has long been an international community. The particular importance given to classical education in the UK has given the UK a very prominent place in Classics internationally, and Classical scholars in this country therefore find themselves interacting with an international public – and indeed one no longer limited to the western world as scholars in China, Japan, etc. seek to understand the place of Classics in western culture and their own countries' interactions with the classical world.
- Classics finds itself absolutely central in all universities in which it is taught. No one studying English literature or European literature, or the History of Art, or Anthropology, or any branch of History, or Philosophy can do without Classical knowledge. The academic staff of Classical departments are therefore extremely well plugged-in to the Arts and Humanities Faculties – and indeed often to the sciences and social sciences – in their universities, and in constant demand for collaboration. Classicists are therefore unusually adept at delivering research that makes an impact on others, and have been able to take advantage of this in putting themselves at the forefront of initiatives created because of the pressure from the forthcoming REF to demonstrate impact. The ability of Classicists to deliver impact well outside the areas in which one would normally expect them to be engaged was a striking feature of the submissions to Sub-panel 31.

## Environment

**Table 8: UOA average environment sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Environment	42.6	43.9	12.8	0.7	0.0

36. All SP 31 members read all Environment templates, but the lead in the SP 31 discussion of each template was taken by two members who had been asked to prepare preliminary comments, scores, and feedback. SP 31 as a whole took responsibility for the final classification.

37. The content of environment templates had been more closely specified in REF2014 than in RAE2008 and sub-panels classified templates according to the vitality and sustainability assessed in five categories: research strategy; people (staffing); people (research students); income, infrastructure and facilities; and collaboration and contribution to the discipline. The sub-panel used the standard data analyses provided to inform, but not to determine, its deliberations.

38. The SP saw much evidence that the units returned to Sub-panel 31 were extremely lively, strongly engaged with research in Classics and the areas covered by the sub-panel more generally, and pursuing research strategies that could be sustained long-term. Units showed a wide range of research strategies, from the highly managed, which seemed sometimes to depend for their sustainability on the presence of particular individuals, to the laissez-faire, where strategy was largely retrospectively described. The strongest units showed awareness that to make the most of their limited resources they needed to target their research towards areas of common interest, at least broadly defined, and to take full advantage of relevant research priorities and support mechanisms in their institutions.

39. Units were able to demonstrate the provision of good, and in many cases excellent, conditions for research for their permanent staff, but this was sometimes confessedly at the expense of (usually temporary, early career) teaching staff whose typically teaching-only contracts do not reflect the reality that such staff are often early career researchers; both the ethics and the sustainability of this model require further thought. Some well-resourced units showed signs of considering that the quality of resources could make up for sub-optimal research conditions in other respects, and, unfortunately, it was common for submissions to be inadequate in their account and defence of their policies and practices with regard to equality and diversity. When staffing policies and practices described were merely those of the institution, this sometimes made it hard for units to show the ways in which they were strategic about staffing, in particular with regard to sustainability.

40. The number of doctoral degrees completed in units submitting to the sub-panel rose steadily, and markedly over the assessment period. The sub-panel saw evidence of much good practice with regard to research students and of their integration into the research of the unit as a whole. There had been pleasing investment during the assessment period both in infrastructure and in staffing, though not all units were sufficiently explicit about the provision of library resources for the sub-panel to be confident that these were being adequately sustained. What units said about research students was sometimes more of a reflection of institutional policies than of the specific strategy of the unit.

41. Research income over the period of assessment was essentially flat, with variations from year to year of less than 10 per cent up or down.

42. The units submitting to Sub-panel 31 showed themselves very generally to be closely concerned with the health of the discipline as a whole, contributing to the wider Classics (etc.) discipline both by outward-looking research activities and short- and long-term collaborations and through active leadership of and participation in national and international bodies. Nevertheless in some departments such wider activities seemed to be left to a limited sub-section of staff rather than to involve the full staff of the unit.

43. Overall Sub-panel 31 saw many signs of good practice, healthy investment, and a great deal of individual devotion to the subject. But units did not always find it easy to complete the template according to the instructions, inserting material relevant to one heading under a different heading or omitting information that had been asked for. The sub-panel took into account relevant information to assess each of the categories, regardless of where that information was in the template, but it was unable to assess information that was lacking. Units took very different approaches to completing the template, and some templates made it very difficult for the sub-panel to assess the information given because they provided too little context or too little evidence for the claims that they made. The sub-panel was able to classify only on the basis of what it could understand from the template, and the final classification inevitably reflected in part how well-written the template was.

## **Overview**

44. REF2014 revealed Classics and related disciplines to be in robust good health across all the HEIs making a return to Sub-panel 31. All these HEIs provide environments that are in some ways, and the great majority of these HEIs provide environments that are in most or all ways, both resourced and organised appropriately to deliver internationally excellent and world-leading research in Classics (broadly understood). They have achieved very considerable and often outstanding impact across a range of areas, including particularly education, heritage management, public discourse and cultural life. In all institutions some staff have produced outputs that are of world-leading significance, and in the majority of cases the great preponderance of outputs returned to Sub-panel 31 were of world-leading or internationally excellent quality. The units returned to Sub-panel 31 universally do credit to their HEIs.

## UOA 32: Philosophy

1. All sub-panel members have discussed and collectively agreed this report. It should be read alongside the Main Panel D section which deals with matters of generic interest.

### Summary of submissions

2. Sub-panel 32 saw a small increase in the number of outputs in comparison to RAE2008 (one of two Main Panel D sub-panels to see an increase) and a 4.4 per cent increase in the number of staff submitted (one of three sub-panels with an increase). These statistics suggest that philosophy as a subject is in good health and is expanding, especially as Main Panel D as a whole (as well as the REF overall) showed a drop in the number of outputs and staff submitted.

3. A decline, however, is noted in the number of submitting units, from 42 in RAE2008 to 40 in REF2014. Six, mostly small, units that submitted to RAE2008 did not submit to REF2014, while four units submitted for the first time. The sub-panel noted that the requirements of the REF, particularly impact, presented particular and significant challenges to small, new, and expanding units.

**Table 1: Summary of submissions**

	Number of submissions	Cat A FTE staff	Cat A and C headcount staff	Research outputs	Double-weighted outputs	Outputs per person	Impact case studies [ICS]	FTE staff per ICS
<b>REF2014</b>	<b>40</b>	<b>591</b>	<b>641</b>	<b>2,174</b>	<b>107</b>	<b>3.39</b>	<b>101</b>	<b>5.9</b>
RAE2008	42	573	614	2,151	–	3.50	–	–
% difference	-4.8%	3.1%	4.4%	1.1%	–	-3.1%	–	–

4. The average unit in philosophy gained over £1 million in research funding during the REF2014 period or £70,000 per research active FTE staff; during the REF period the research income generated per research active FTE staff increased by one third. It is clear that philosophers are increasingly able to generate high quality proposals for research, and, importantly, that environment templates show that units provide an environment conducive to research, especially collaborative research (whether internally or externally funded). The sub-panel was keen to see evidence that the generation of income was followed by intellectually imaginative research, and noted that this was indeed the case.

5. The REF period saw 715 doctoral degrees awarded in philosophy with an increase in 30 per cent between the first and final full academic years of the period, again an indicator of a strong and growing environment in UK philosophy.

6. The overall profile for UOA 32 showed that almost three quarters of research activity (outputs, impact, and environment) was judged to be world-leading or internationally excellent. This outcome accords with the esteem accorded to UK philosophy, as revealed by international peer-evaluations. An important contribution to the overall profile was made by the environment component, 86 per cent of which is judged to be conducive to world-leading or internationally excellent research. Since philosophy is in its nature a subject that requires engagement and debate between scholars, this outcome reflects the high value UK philosophy places on active, vibrant, and supportive research communities, with strong national and international collaborations.

7. Of the 40 submissions, 32 were received from English institutions, one from a Northern Irish institution; six from Scotland and one from Wales. No disparity in research quality was observed between the different parts of the United Kingdom, with world-leading research activity in philosophy to be found in HEIs in all four constituent nations.

**Table 2: UOA average profiles**

	<b>% 4*</b>	<b>% 3*</b>	<b>% 2*</b>	<b>% 1*</b>	<b>% uc</b>
<b>Overall quality</b>	<b>31</b>	<b>42</b>	<b>24</b>	<b>3</b>	<b>0</b>
Outputs	26.3	42.8	27.3	3.4	0.2
Impact	35.3	38.7	23.3	2.7	0.0
Environment	42.7	43.2	12.4	1.7	0.0

8. In establishing its working methods Sub-panel 32 adhered to the assessment principles and framework adopted across Main Panel D (see paragraphs 21-31 of the Main Panel report) and participated in the calibration exercises that were conducted within the sub-panel and then across the main panel (see paragraphs 32-38 of the Main Panel report). Sub-panel 32 ensured robust evaluation by careful reading and discussion between sub-panel members and assessors of all outputs, environment templates, impact templates, and impact case studies. Regarding all three components, assessment was distributed in order to ensure each panellist or assessor shared assessments with a large number of other panellists/assessors in order to maintain a high degree of uniformity in calibration within the sub-panel.

## Outputs

9. The proportion of 4\* outputs has increased since RAE2008 (without, as noted, a reduction in the size of the submission). Those panellists who served in RAE2008 confirm a general raising of standards; a considerable confidence and ease of practice across the discipline; and a high level of creativity and intellectual dynamism.

**Table 3: UOA average outputs sub-profile**

	<b>% 4*</b>	<b>% 3*</b>	<b>% 2*</b>	<b>% 1*</b>	<b>% uc</b>
Outputs	26.3	42.8	27.3	3.4	0.2

10. The sub-panel observed and welcomed an increase in submissions in feminist philosophy, environmental thought, medical ethics/philosophy of medicine, and applied philosophy. Historians of philosophy are investigating a wider range of epochs, for example drawing new connections between medieval and Early Modern philosophy; they are also finding novel approaches to familiar historical figures. At the same time, traditionally central areas of philosophy have remained strong and vibrant.

11. There is further blurring of the boundary between 'continental' and 'analytic' philosophy, with new influences in both directions. Interdisciplinary research is strong, with philosophers making connections with research in many disciplines including biology, economics and other sciences, classics, literary history, and politics/law among others. Many outputs submitted to other sub-panels were cross-referred to Sub-panel 32 (see below for details), showing that philosophers

or those carrying out research in philosophy are often located in other disciplinary units or in interdisciplinary units.

**Table 4: Output Types**

	%
Authored book	15.7%
Chapter in book	22.4%
Conference contribution	0.1%
Edited book	1.2%
Journal article	59.1%
Other form of assessable output	0.0%
Research datasets and databases	0.0%
Scholarly edition	0.3%
Website content	0.3%
Working paper	0.8%

12. The journal article remains the principal output type, with significant numbers of book chapters and monographs. World-leading research was disseminated in all output forms. It was also found in all areas of philosophical research and was produced by philosophers at all career levels.

13. Outputs were judged entirely on the merits of their content and without regard to perceived prestige rankings of journals or other external indicators of quality. It was observed that outputs judged to be world-leading on reading and discussion by sub-panellists appeared across the range of journals, from those conventionally judged high prestige to lower prestige journals and special interest journals. The same was the case for outputs judged of lower quality, many of which appeared in journals conventionally ranked 'top' in the discipline. Analogous observations were made with regard to monographs or book chapters and the perceived prestige of publishers. This outcome is taken by the sub-panel to confirm the necessity for reading outputs in order to assess quality robustly.

**Table 5: Double-weighting requests**

Research Outputs	D/W requests	D/W requests approved
2,174	107 (4.9% of outputs)	105 (98.1% of requests)

14. Almost all requests for double-weighting were approved. Most accepted requests (but not all) were for single-authored monographs. Double-weighted outputs formed a very small proportion of the total number of outputs (less than 5 per cent); such outputs were more frequently judged to be of world-leading quality than single-weighted outputs.

15. Allocation of outputs to readers was made on the basis of expertise and also took into account the desirability of discussion regarding quality taking place among a wide variety of readers, to ensure uniformity of calibration.

16. The sub-panel paid particular attention to the need to avoid implicit gender bias in its assessments. It remarked on the in-principle desirability of reading of outputs that had been anonymised with respect to author.

**Table 6: Cross-referrals**

	Into sub-panel		Out of sub-panel		Difference		Outputs Submitted
Within MP	47	2.2%	13	0.6%	34	1.6%	2,174
Outside MP	22	1.0%	15	0.7%	7	0.3%	
<b>Total</b>	<b>69</b>	<b>3.2%</b>	<b>28</b>	<b>1.3%</b>	<b>41</b>	<b>1.9%</b>	

17. The sub-panel cross-referred outputs to nine different sub-panels, the two largest sets of cross-referrals going to UOA 11 (Computer Science and Informatics) and to UOA 28 (Modern Languages and Linguistics). The sub-panel received outputs from nine sub-panels, with the largest sets of cross-referrals coming from UOA 36 (Communication, Cultural and Media Studies, Library and Information Management), UOA 10 (Mathematical Sciences), UOA 27 (Area Studies), UOA 5 (Biological Sciences) and UOA 31 (Classics).

18. The sub-panel noted that the diversity of sub-panels to and from which items were cross-referred indicates that there is no other discipline with which philosophy would be naturally partnered in a combined sub-panel in any future REF. For example, ahead of REF2014 it had been suggested that philosophy be joined with theology and religious studies in a single sub-panel; the wisdom of the funding councils in rejecting this proposal is demonstrated by the fact that no outputs were cross-referred between the UOA 32 (Philosophy) and UOA 33 (Theology and Religious Studies).

## Impact

**Table 7: UOA average impact sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Impact	35.3	38.7	23.3	2.7	0.0

19. Sub-panel 32 was pleased to find an impressively broad range of types of impact submitted and noted the imagination with which researchers and units had exploited the impact potential of diverse kinds of underpinning research. The benefits of research in philosophy are typically achieved indirectly, with paths to impact often being complex and frequently taking a long time to have their full effect. While this presents a significant challenge to philosophers in all sub-fields of the discipline, the sub-panel noted that in fact case studies came from a very wide range of sub-fields, including those where the challenge might appear to be the greatest. While the range of impacts was broad, the sub-panel noted that the more predominant areas of impact included (but also went well beyond):

- education outside HEIs (e.g. impact on teaching practices and curricula at primary and secondary levels)
- health (e.g. governance of research on human subjects, genetic material, and embryos)
- public policy (e.g. influencing policy on the arts, human rights, terrorism)
- culture (e.g. impact on cultural festivals, public understanding of religion and ethics, collaborations with museums)

- industry (e.g. impact on food and drink industry)
- media (e.g. engagement with new publics through new media, broadening involvement in philosophical debates)
- public ethics (e.g. impact on bioethics and on the military).

20. Philosophers were able to exploit the fact that philosophy in its nature is able to make connections with a very wide range of thought and activity. Research in philosophy prompted new activities, for example with regard to the arts, as well as engagement with new beneficiaries, including citizens of developing countries. It also generated important new approaches to existing social and educational challenges in ways that were both rigorous and innovative.

21. While most impacts were within the UK, a number of case studies showed international reach, across a number of fields, including major overseas cultural festivals, foreign government policy, and international development.

22. The sub-panel noted that many high quality and imaginative impacts involved engagement with different publics, including primary school children, traditional and new media audiences, and prison inmates. In several cases of very worthwhile impacts, HEIs struggled to meet the REF requirements for a demonstrable link between the detailed contents of the research and the impact. The sub-panel agreed that valuable impact can occur when the contribution made by a researcher arises from their general expertise as a researcher in the field rather than being generated by specific instances of their cutting-edge research, and felt that this should be made clear to the research community.

23. The sub-panel observed that some impact case studies and templates failed to achieve the highest scores because of weakness in presentation. It might assist both HEIs and panellists if the pro formas for impact cases studies were more explicit regarding the information to be included (e.g. specific questions on the dates of the impacts in order to assist with making threshold judgments concerning eligibility).

24. A general correlation was observed between the impact score of a submission and its outputs score. The correlation was strongest for submissions with very high outputs scores and also strong for those with very low outputs scores; it was less strong though still present for submissions with scores on outputs closer to the average.

25. The comparison of case studies was initially challenging due to the diversity of impacts and underpinning research. However, user members and other panellists found that the conscientious discussion that the sub-panel gave each case study enabled a consensus to be reached. User members and assessors have professional expertise in media, public engagement, publishing, healthcare, government policy, overseas development, and secondary education. They were able to give a valuable perspective on the significance of impacts outside academia. They also endorsed the substantial value of the impact of philosophy in the varied areas covered by impact submissions.

## Environment

**Table 8: UOA average environment sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Environment	42.7	43.2	12.4	1.7	0.0

26. Overall, Sub-panel 32 felt that the UK environment created by philosophy departments and other units during the REF period was exceptionally strong. There was excellent evidence of vitality in the form of growing departments, significant and widespread grant capture leading to imaginative research projects, flourishing PGR programmes, and national and international collaborations, including the organisation of a very large number of research events from PGR workshops to major international conferences. Sustainability was evidenced by well-conceived strategies and effective policies for supporting staff and their research.

27. The sub-panel looked for strong evidence of good practice as regards policies for promoting equality and diversity, and was pleased to find it in a good number of submissions. The treatment of ECRs, including fixed-term staff was also held to be important evidence regarding a supportive research environment. The best practice evidenced in both respects mentioned could usefully be extended to all units. The sub-panel noted that one form of clear evidence of a high quality environment for PGR students is a good record of placement of PGR graduates in academic jobs, but that this was not always documented.

28. International collaborations were widespread and strong among the submitting units, evidenced by international collaborative research projects, organisation of major international conferences, visits by leading overseas scholars, a large number of non-UK PGR students, as well as by the contribution of UK scholars to projects and conferences abroad. The sub-panel noted that several institutions employed scholars on 0.2 FTE contracts who are based overseas and submitted their outputs to the REF. While the sub-panel welcomes the value that such connections with leading overseas scholars can bring, it also believes that it is important that institutions demonstrate sustained and significant contributions from such staff to the research environment beyond the contribution of their outputs to the institution's REF submission.

## **Overview**

29. The sub-panel concluded that the outcome of REF2014 showed Philosophy in the UK to be in very good health. As shown by increased headcount and volume of outputs submitted, the subject is growing (which may be a reflection of increased undergraduate demand). Philosophers tackled the new impact element with imagination, producing many inspiring case studies, although the nature of philosophy means that impact presents challenges for philosophy departments (especially for new, small, and growing units, under current rules). Best practice as regards various element of the research environment has been spreading, and the national environment for research is almost all world-leading or internationally excellent, reflecting the standing of UK Philosophy globally.

## UOA 33: Theology and Religious Studies

### Overview of submissions

1. This report offers summary information about submissions to UOA 33, and offers general reflections on research outputs, impacts, and environments in the broad and multidisciplinary area of Theology and Religious Studies (TRS). Where possible it makes comparisons with submissions to the equivalent panel (UOA 61) in RAE2008. It has been discussed and agreed by all sub-panel members. It should be read in conjunction with the report from Main Panel D which explains aspects of the REF assessment process which were common across all UOAs in Arts and Humanities.
2. In total there were 33 submissions to UOA 33. This compares with 38 submissions in RAE2008 and 43 in 2001. Of these, 27 were from HEIs in England, four from Scotland, two from Wales and none from Northern Ireland.
3. The number of researchers submitted in Category A was 413 FTE. This compares with 470 Category A FTE in 2008 and 438.83 Category A and A\* staff in 2001. The size of units submitting to UOA 33 range from two to 32.7 FTE. These count as small or medium-sized units relative to others in Main Panel D.
4. The number of outputs submitted was 1,562, including 112 where double-weighting was requested. This compares with 1,988 outputs in 2008. The reduction is partly explained by the new arrangements by which staff with clearly defined or complex circumstances may submit fewer than four outputs.
5. These overview facts and figures are summarised below.

**Table 1: Summary of submissions**

	Number of submissions	Cat A FTE staff	Cat A and C headcount staff	Research outputs	Double-weighted outputs	Outputs per person	Impact case studies [ICS]	FTE staff per ICS
<b>REF2014</b>	<b>33</b>	<b>413</b>	<b>443</b>	<b>1,562</b>	<b>112</b>	<b>3.53</b>	<b>78</b>	<b>5.3</b>
RAE2008	38	470	540	1,988	–	3.68	–	–
% difference	-13.2%	-12.1%	-18.0%	-21.4%	–	-4.1%	–	–

6. The following table shows the overall grading profile for the UOA.

**Table 2: UOA average profiles**

	% 4*	% 3*	% 2*	% 1*	% uc
<b>Overall</b>	<b>28</b>	<b>40</b>	<b>27</b>	<b>5</b>	<b>0</b>
Outputs	23.7	38.4	31.5	5.9	0.5
Impact	37.4	42.2	18.6	1.8	0.0
Environment	37.1	42.2	16.0	4.6	0.1

## Outputs

7. In establishing its working methods UOA 33 adhered to the assessment principles and framework adopted across MPD (see paragraphs 21-31 of the Main Panel report) and participated in the calibration exercises that were conducted within the sub-panel and then across the Main Panel (see paragraphs 32-38 of the Main Panel report).

8. The vast proportion (93.6 per cent) of research assessed in UOA 33 was of international quality, and the proportion of unclassified work was very small. Overall, the outputs speak well of the health of the field, with considerable vitality evident across most areas of TRS.

**Table 3: UOA average outputs sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Outputs	23.7	38.4	31.5	5.9	0.5

9. A very small number of outputs was deemed ineligible, normally because research had been published before the assessment period, or because there was excessive overlapping or duplicated material between separate outputs.

10. Outputs of all kinds including monographs, edited collections, textbooks, articles, chapters, scholarly editions, and databases were submitted (see table 6 in the MPD report) and judged on their merits; the kind of journal or other format in which they appeared was not a factor in the assessment of quality. It was possible for any of these formats to be awarded the highest grades if the quality of research merited it, and this occurred in practice. In the case of just a few databases and textbooks, the panel would have benefitted from more additional information on the specific nature of the research input to the submitted work.

11. The sub-panel judged that the overwhelming majority of claims for double-weighting were appropriate. They also noted that there was a significant number of outputs where double-weighting was not claimed where that would have been appropriate and advantageous (especially in view of the possibility of including a 'reserve' item). This is likely to have had appreciable effects on the output sub-profiles of some institutions. Double-weighted outputs represented 7 per cent of all outputs; this was a lower proportion than for some other UOAs.

**Table 4: Double-weighting requests**

Research outputs	D/W requests	D/W requests approved
1,562	112 (7.2% of outputs)	109 (97.3% of requests)

12. As the table below shows, the vast majority of outputs were assessed within the sub-panel, but those where additional expertise was required were cross-referred to other panels. There was wide linguistic and other expertise in SP 33 which was a resource for some other sub-panels. Overall there were 49 outputs cross-referred into SP 33, and 71 cross-referred out. The main area of cross-referral out was Islamic Studies (especially with Arabic), to UOA 27, although some Islamic Studies outputs (e.g. Islam in Britain) were assessed within UOA 33.

**Table 5: Cross-referrals**

	Into sub-panel		Out of sub-panel		Difference		Outputs submitted
Within MP	45	2.9%	49	3.1%	-4	-0.3%	

Outside MP	4	0.3%	22	1.4%	-18	-1.2%	
<b>Total</b>	<b>49</b>	<b>3.1%</b>	<b>71</b>	<b>4.5%</b>	<b>-22</b>	<b>-1.4%</b>	<b>1,562</b>

13. The multi-disciplinary nature of TRS was clear, with approaches across the arts, humanities and social sciences being evident, individually and in combination. There was strong evidence of a field which has become even more engaged with other disciplines since 2008, as well as the other way about, but there is still relatively little engagement with disciplines beyond the arts, humanities and social sciences.

14. The balance of approaches within the outputs submitted is as follows:

**Table 6: Output subject areas**

Subject areas	Number of outputs assessed
Study of religions	338
Theology	315
Biblical Studies	276
History	189
Philosophy	77
Sociology & Anthropology	65
Ethics	64
Gender, media, education	55
Other	74

Notes: 'Theology' includes practical, pastoral, applied and empirical theology. 'Biblical Studies' includes Old Testament and New Testament. 'Other' includes psychology of religion, method and theory in the study of religion, secularism and non-religion, gender and sexuality and miscellaneous.

15. These categories are indicative. They were arrived at after beginning with a much longer list of subject areas and approaches, then reducing them to the broadest categories in which the greatest proportions of outputs were found to be received.

16. 'Study of religions' encompasses the nine areas detailed in the table below, which are listed in descending order of number of outputs submitted:

**Table 7: Output subject areas: Study of religions**

Topic	Number of outputs
Islamic Studies	68
Buddhist studies	66
Jewish Studies	53
Christian studies	37
Hindu studies	33
Religious Studies general	30

Other Asian-origin religions	27
Indigenous religions	13
Spiritualities	11

17. The subpanel had the impression of increased vitality and quality in many (though not all) areas of the field, as discussed in more detail in the concluding section of this report. This may be due to several factors, including the increased interest in religion in society and across the disciplines more generally, the momentum of the move to more interdisciplinary work, and the effect of the £12 million strategic investment in religion research in 2007-13 by the AHRC/ESRC Religion and Society Programme. There was a correlation of quality with units characterised by effective and strategic management, resourcing and support for research.

## Impact

**Table 8: UOA average impact sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Impact	37.4	42.2	18.6	1.8	0.0

18. Sub-panel 33 received and assessed 33 impact templates and 78 impact case studies. It conducted a series of calibration exercises, and its assessment was informed by feedback from Main Panel D.

19. The sub-panel's discussions and assessment of impact were informed by three user members chosen for their professional backgrounds in relation to cultural activity including exhibitions and museums, policy influence, media engagement, public discourse, and voluntary and religious organisations.

20. TRS is an area which lends itself to impact because of its close relationship with communities which have a stake in research. The fact that TRS has longstanding expertise in impact work, and that these activities predate the formal assessment of impact was evident in many submissions. It was clear that some individuals and institutions have been carrying out impactful research for a long time out of commitment to the enterprise, irrespective of whether they received support or reward for doing so.

21. There was an impressive range of impact. In descending order of quantity, submitted impacts related to the following areas:

- Third sector.
- Public discourse.
- Education.
- Arts and museums.
- Policy (joint fourth).
- Media.
- Health and other statutory agencies.

22. The panel was impressed at the depth and the range of impact being made by research carried out in TRS. To give just a few examples of research with impact:

- Profound impacts on human wellbeing and even survival (e.g. expert witness regarding refugees seeking asylum because of religious persecution).
- Support of impressive advances in freedom and equality (e.g. influencing and supporting individuals, groups and organisations making advances and pursuing new initiatives or reforms within their own religions).
- Improvement of the way in which governmental and non-governmental agencies partner with faith-based groups to deliver a range of services more effectively.
- Advances in religious literacy and better intra- and inter-religious relations, as well as better religious-secular relations.
- Essential research contributions to exhibitions, media productions (e.g. major TV series), and major cultural events, all with cultural and economic benefits.

23. Many impacts were global as well as effective in the UK. In terms of the religions in relation to which research was impactful, 17 per cent concerned religions other than Christianity, 29 per cent Christianity, and 55 per cent more than one religion or religion in general. There is good evidence of TRS making strong international as well as national impact, with notable and often measurable effects on communities around the globe.

24. A wide range of publics are impacted by TRS research, including not only specialist users but faith communities and the general public. 'Users' are often the people studied, and there were many examples of strong and long term partnerships between researchers and beneficiaries.

25. User members commented that there is still scope for researchers in TRS to take greater advantage of opportunities created by new media, and a wider range of potential users/networks.

### **Case studies**

26. The sub-panel looked for a clear link between the research and the claimed impacts. In practice this was generally clearest when a single researcher was the focus of a case study, even though in principle impact by a group of scholars should be equally appropriate for submission.

27. The sub-panel was impressed by the quality of research that underpinned the case studies, and did not identify any issues in relation to the 2\* quality threshold. It was recognised that impact does not always flow from a single piece of research, but that there is often a trajectory of research involving several outputs which lead to impact. It was also recognised that some impacts are planned and others are serendipitous; both were considered appropriate and were judged on their merits.

28. The best case studies were usually those in which there were strong, creative and two-way partnerships between the research and the user community(ies). Sometimes this involved co-creation of impact and even of research, with benefits flowing in both directions. By contrast, the least successful case studies involved little more than attempts to disseminate research to potential users. Some of the lower-scoring case studies were premature: there had not been sufficient time for significant impact to develop.

29. The ability to demonstrate and evidence impact was varied, but without clear evidence case studies inevitably scored lower. Evidence could be qualitative as well as quantitative. The sub-panel's assessments had to be made solely on the basis of the material available, and some case studies were disadvantaged by the way in which they were presented – for example providing inadequate information and evidence, and/or lack of specificity. Clearly-written case studies, with persuasive accounts of the relation between the research and the resulting transformative impact, supported by compelling corroborating evidence, scored strongly.

## Templates

30. The strongest templates offered clear evidence of a unit having identified appropriate non-HEI partners and users for its research and building relationships with them. They exhibited a clear strategy for how to develop such partnerships, and how to support impactful research and related activities, which was backed up by appropriate resource allocation. Whilst location in a centre of population presented many opportunities for impact, the subpanel noted that some of the smaller units, and/or units located outside large cities, had developed excellent strategies, with clearly-identified partners, appropriate to their location or specialisms.

31. often the weakest part of the template. The weaker templates also demonstrated a lack of understanding of the difference between impact, dissemination and esteem. They tended to describe the activities of individual researchers rather than talk about how this related to the broader environment of the research unit.

## Environment

**Table 9: UOA average environment sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Environment	37.1	42.2	16.0	4.6	0.1

32. Although the sub-panel took care to judge units fairly in relation to their size and available resources, there was a clear correlation between size and a strong research environment. However, the correlation was not determinative, and there were examples of smaller units with very vital and sustainable environments, and larger units with less vital or sustainable environments.

33. There was considerable variation in the quality of environment templates, and sometimes between sections of a single one. Attention had not always been given to the guidance supplied in the 'Panel criteria and working methods' document (REF01.2012). Strong statements gave concrete and detailed evidence and examples rather than relying on vague and generic statements.

34. Clear and honest admissions of difficulties and how they were dealt with were regarded more favourably than vague or more evasive statements, comments that did not correlate with other data, and/or statements where it was not clear whether problems had been adequately addressed. Honest reflections on investments, restructurings and other forms of turbulence, where these had occurred, were helpful.

35. Generic statements and a lack of basic information (e.g. gender ratios) were too often found in relation to (in)equality and diversity profiles and strategies to improve, although some units gave excellent accounts of how equality and diversity had been considered and enhanced. It was surprising that more was not said about ethnic and religious diversity, given the nature of the field, and disappointing that gender imbalances were not always discussed or addressed.

36. Support for staff, ECRs and postgraduate research students was generally at a good level, with only a few exceptions. Some support was solid rather than creative or imaginative. Support for staff, including research leave arrangements, tended to be weaker and to be given less thought or mention than support for students.

37. In the five year assessment period for REF2014 1,310 research degrees were awarded. This compares with 1,153 in the seven year period leading up to RAE2008. Greater attention appears to be being given to training, teaching, and supporting postgraduate research students, and to the integration of ECRs, than in the intervening period.

38. Many submissions recorded successful work to secure and enhance levels of research income, often with significant success. The post-RAE2008 report from UOA 61, noted that 'much value was contributed by individuals working on their own'. Whilst this continued to be true, the sub-panel also noted the growing contribution of collaborative and sometimes interdisciplinary work. A number of world-leading studies of this kind were a notable feature of this exercise.

39. Contributions to the field and beyond were generally impressive, even though the work of a few individuals made a disproportionate contribution to quality in some units. The panel considered the quality of collaborations both within a unit and beyond it, and noted that there was not necessarily a relation between strength in one and strength in the other.

## Overview

40. There has been consolidation in the field since the last RAE. The current configuration of TRS is such that there are a number of larger, well-established departments in research-intensive universities. Many of these performed very well in REF2014. There were also a number of instances of smaller units achieving very strong results. Although larger units tended to perform better, and to have stronger research environments, there was not an inevitable correlation between the size of a submitted unit and its overall performance.

41. The requirements of the impact element of the assessment could be seen to put more pressure on small units, who had relatively fewer staff from whom impact case studies could be drawn or wider examples of impact activity taken. Again, though, there was no straightforward correlation between the size of the submitting unit and the scores it achieved for the impact element of the assessment; some smaller units performed extremely well in this part of their assessment. Equally, relatively weak performances in the impact assessment could be found among both larger and smaller units. In some cases strong impact had occurred even when institutional support had not been high.

42. There was a clear correlation between size and strong research environments, with larger units tending to perform better in this part of the assessment. But some smaller units also performed well, especially where they had clear and focused strategies and developed areas of specialism. Support for research students and early career researchers was generally strong, and there has clearly been an investment of effort in these areas. Although a few submissions gave clear indications of tackling issues of equality and diversity in ways which were not merely generic to an institution, there were many units which did not appear to be dealing seriously with the issue.

43. The most successful submissions were those in which there was evidence of sustained high performance across all areas assessed in the exercise. These came from units with strong institutional support, whose research environments had been enhanced through securing external funding, and where there was evidence of a clear and integrated strategy for the unit, with good levels of support for all within it.

44. Overall, the sub-panel saw much evidence of research vitality in many of the areas of TRS in which submissions were returned to UOA 33. It noted impressive advances in terms of collaborations, interdisciplinary working, methodological sophistication and self-awareness and, in some areas, in the opening up of new ideas, approaches and agendas. This was not at the

expense of scholarly work in such essential areas as textual work and the production of critical editions (in several languages), in-depth archival and other time-intensive work by specialist scholars.

## UOA 34: Art and Design: History, Practice and Theory

1. All sub-panel members have discussed and collectively agreed this report. It should be read alongside the Main Panel D section which deals with matters of generic interest.

### Summary of submissions

2. UOA 34 was created through the bringing together of sub-panels 63 and 64 from RAE2008. The new sub-panel received 84 submissions including seven from HEIs in Scotland, one from Northern Ireland and two from Wales, including a joint submission from three Welsh institutions. The remaining submissions were from HEIs in England including three HEIs each of which made two submissions. The number of submissions represents a significant reduction (17.6 per cent) from the number received by the former two sub-panels in 2008, and had a corresponding reduction of FTE staff (21.1 per cent) to 1,605. The sub-panel assessed 323 impact items (this included 84 templates and 239 case studies) and 6,356 individual research outputs. This was also a reduction from RAE2008 of 31.9 per cent. The headcount of academic staff submitted fell less sharply (24.8 per cent) due to the new arrangements for clearly-defined and complex circumstances, allowing more staff to submit fewer than four outputs. The table below compares Sub-panel 34 data to the combined data of Sub-panels 63 and 64 from 2008.

**Table 1: Summary of submissions**

	Number of submissions	Cat A FTE staff	Cat A and C headcount staff	Research outputs	Double-weighted outputs	Outputs per person	Impact case studies
<b>REF2014</b>	<b>84</b>	<b>1,604</b>	<b>2,027</b>	<b>6,356</b>	<b>87</b>	<b>3.14</b>	<b>239</b>
RAE2008	102	2,034	2,697	9,331	–	3.46	–
% difference	-17.6%	-21.1%	-24.8%	-31.9%	–	-9.2%	–

3. The overall quality profile and the three sub-profiles for UOA 34 (Art and Design: History, Practice and Theory) are shown below.

**Table 2: UOA average profiles**

	% 4*	% 3*	% 2*	% 1*	% uc
<b>Overall quality</b>	<b>26</b>	<b>42</b>	<b>25</b>	<b>6</b>	<b>1</b>
Outputs	18.5	42.6	30.0	7.7	1.2
Impact	36.6	44.7	13.6	3.9	1.2
Environment	40.5	40.8	15.5	3.0	0.2

3. In establishing its working methods UOA 34 adhered to the assessment principles and framework adopted across Main Panel D (MPD) (see paragraphs 21-31 of the Main Panel report) and participated in the calibration exercises that were conducted within the sub-panel and then across the Main Panel (see paragraphs 32-38 of the Main Panel report). In the case of UOA 34, as with other UOAs that consisted of a number of related disciplines with varied methodologies and media, especial attention was given to balancing specialist assessment with the calibration process. All forms of outputs were treated equally; to ensure fairness and accuracy of approach, the specialist expertise of the sub-panel membership was expanded to accommodate the range and diversity of material, and the calibration process additionally positioned panel members in

team situations to monitor outputs beyond their own recognised specialisms. Thus specialist assessment and calibration were held in close proximity.

## Outputs

**Table 3: UOA average outputs sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Outputs	18.5	42.6	30.0	7.7	1.2

4. This is one of the largest sectors in MPD and was marked by the range, energy and vitality of the submissions it received. Over 60 per cent of the submitted work was considered to be world-leading or internationally excellent. This quality of work was found across the discipline range, and at all career stages of submitted staff.

5. UOA 34 comprised all areas of art and design, including all forms of practice and the historical and theoretical study of art and design. The sub-panel descriptor (page 82 'Panel Criteria and Working Methods') lists a considerable number of disciplines and practices that were potentially eligible for submission to UOA 34, in so far as they relate to art and design. While the majority of submissions came within what is considered the normative arena of practice, history and theory, all the additional listed disciplines in the sub-panel descriptor were present among the submissions. This included, at one end of the spectrum, medical and engineering science, and computer technology, and at the other, philosophy, history, anthropology, and ethnography. An amount of material, while being clearly part of the contemporary fine art canon, was musical and performative in character.

6. Related to this point, a significant number of research outputs were of an interdisciplinary nature (although not necessarily identified as such by the submitting HEIs) and were in the form of collaborative, team-driven projects. The sub-panel acknowledged that interdisciplinary activity has increased since RAE2008, and is a distinct and probably growing phenomenon, particularly within areas of product and digital design, film, curatorship, media studies, conceptual and performance-based art practice. A significant proportion of interdisciplinary activity entailed collaboration and integration with disciplines outside of the sub-panel remit, most notably media studies, literature, history, and performance, and occasionally outside of the MPD remit, most frequently in engineering, medical and digital design. The sub-panel noted that the survey of submission intentions did not prove as helpful as hoped in determining the expertise of the sub-panel. It is advised that for future exercises, HEIs should be required to be more specific on the type of work they plan to submit.

7. World-leading activity was found in all subject areas. Taken as a whole, the submission to UOA 34 revealed that a number of disciplines that performed at a high level in RAE2008 had maintained or increased that strength. Over 60 per cent of the total submission was in the upper echelon of world-leading and internationally excellent research. The sub-panel was also enthusiastic about the significant amount of emergent research activity across the subject range. Innovative activity was particularly noteworthy in curatorial studies, critical theory, and digital and engineering design.

8. The sector has been a pioneer and supporter of practice-based research through previous RAEs, and the increasing quantity and quality of practice-based research in REF2014 confirms that the sector is a leader in this mode of research activity. While noting that excellence was present through all practice-based disciplines, the sub-panel was especially impressed with a number of areas. Photographic practice, including photography, digital arts, and film, continued as an area with a wide range of methodologies, very high quality, and an impressive quantity of

research outputs. A number of HEIs are focused on design, and this specialist focus produced a large quantity of high-calibre research outputs. Notably, digital design; design and the business process; product modelling; transport design; and health. Much of this activity involved interface with small and medium-sized enterprises (SMEs) and larger-scale industrial producers, and collaboration across institutions. The crafts were particularly noted for the growth in the interface between traditional making practices and digital technologies, where makers had complemented their conceptual and haptic skill-base with technological innovation. It was noted that although there was considerable strength in the crafts, the number of submitted outputs had markedly declined since RAE2008, most probably as a result of the closure of programmes. Inter-cultural fine art practice was an important feature of the total submission, and practice connected to ethnography and anthropology in fine art, design and theoretical studies, was especially noted. A major feature of much of the practice-based research was the increasing amount of collaboration between practitioners and museum professionals, which led to the expansion of fields of practice in museological and archival environments. A marked feature of the practice-based research was its embracing of interdisciplinary approaches to research production, a tendency that has clearly increased since RAE2008, and remains at the core of numerous emergent practices. The sector is a leader in interdisciplinary research.

9. The history and theory of art, architecture and design revealed itself to be a major national strength. A large number of monographs and journal articles was submitted, demonstrating the strength and maturity of the field. As anticipated, the 19th and 20th centuries, and contemporary art, featured prominently. However, a significant proportion of art history outputs showed the continuing vitality of work in earlier periods including Byzantine, Medieval and Renaissance studies. The strong representation of cross-cultural and interdisciplinary studies reflected a dynamic expansion of the frontiers of the discipline. High quality art-historical outputs were found across the full range of approaches, including philosophy and aesthetics, patronage studies, meaning and reception, biography, critical writing, history of production, the study of artefacts in numerous media, and material culture. The sub-panel particularly commended the strength of many submitted exhibitions and conservation studies. The history of design and the decorative arts was well represented. Architectural history included monographs on architects, urbanism and building typology, as well as works of criticism. The ever-widening global horizons and groundbreaking environmental critiques were notable.

10. One of the most striking features of the total submission, and an aspect which has clearly grown since RAE2008, was the range of exhibition activity across all subject areas. Curatorial work, artistic intervention, archival work, heritage studies, exhibition design, and conservation, were all present in significant quantities, revealing the close relationship between the sector and all forms of cultural display, and the willingness of researchers to collaborate in teams.

11. The sub-panel noted a number of weaker discipline areas that, on the evidence of submitted outputs, appeared not to have developed since RAE2008. While there were high quality exceptions, the intellectual and theoretical underpinning of graphic and communication design was thought to be generically weak; a range of installation and performance practice in fine art was unfocused, with unclear research parameters; the quality of curatorial theory and practice was variable, with a proportion being well behind and below current ideas and practices; a significant proportion of the theoretical writing across the subject range lacked innovation and remained locked within parameters established a very considerable time ago.

12. The sub-profile pattern for UOA 34 is unusual within MPD for a number of reasons. Against the median the percentages of scores for UOA 34 can be summed up as follows: a lower percentage than the average on 4\*; a higher percentage than average on 3\*; an average

percentage on 2\*; well above average percentage on 1\*; above average percentage on unclassified scores. The constituency of UOA 34 makes a wide range of performance inevitable. While the leading HEIs in UOA 34 produced a large quantity of world-leading research, the sector does have a long tail. More than half of HEIs (57per cent) submitted more than the MPD average of 1\* research, with a minority of HEIs having considerably more than the MPD average of 1\* activity. A small proportion of HEIs produced little or no 4\* research. UOA 34 had one of the higher rates of research outputs in the unclassified category. A proportion of these were unclassified on the basis of quality, but a significant number failed to meet the REF threshold for research. In a number of cases, it was considered that outputs did not constitute research in terms of the published criteria. While most of the unclassified scores were relatively isolated incidents, a small number of HEIs submitted a significant number of unclassified outputs. The pattern of scores within the UOA would suggest that in the case of some HEIs, there are questions of strategy and leadership with regard to the preparation of submissions.

13. The sub-panel noted that in many cases the inclusion of portfolios to support and contextualise the research was essential, and in a number of instances, HEIs had systemically created portfolios that had clarity, relevance and depth. These portfolios provided concise and relevant information that enabled the panel to judge the research dimensions of the submitted work in terms of originality, significance and rigour. In the best examples these were presented as a digital presentation on a USB stick, clearly outlining the research question, the methodology employed and complementary evidence about the work itself. However, a significant proportion of portfolios were not helpful to the sub-panel. The two most typical shortcomings were: 1) the submission of evaluative commentary more concerned with the esteem, impact and status of the output than with research: i.e. a significant number of portfolios contained mainly review and publicity materials. 2) The submission of a high volume of disparate materials, without an index or clear organisational structure, so much so that the sub-panel was unable easily to discern what the relevance of the material was, or what its connection was to the research content of the output. In the worst cases, portfolios were as much an impediment as an aid to the understanding of the research content of the output.

14. The sub-panel received the widest range of output types across the whole REF exercise. The sub-panel recommends that for the next exercise, the language describing output types should be subjected to greater standardisation, ideally with the provision of a glossary, as this will be an aid to the understanding of the form of the research being submitted, and will be more conducive to the creation of useful data for profiling the sector.

**Table 4: Output Types**

		Number submitted
A	Authored book	658
B	Edited book	228
C	Chapter in book	1,096
R	Scholarly edition	7
D	Journal article	1,633
E	Conference contribution	197
U	Working paper	4

L	Artefact	679
P	Devices and products	19
M	Exhibition	1,139
I	Performance	119
F	Patent/ published patent application	23
J	Composition	18
K	Design	71
N	Research report for external body	38
O	Confidential report for external body	15
G	Software	5
H	Website content	30
Q	Digital or visual media	205
S	Research datasets and databases	4
T	Other	168

15. Accepting that the descriptions of output types were not systemic, several trends could be clearly detected in UOA 34. Three features are especially evident: 1) the number of artefacts, in the form of physical objects of various types, was a small percentage of the total submission, at 11 per cent. 2) All forms of publishing remain core to the sector: authored books, edited books, chapters in books, and journal articles comprised 57 per cent of the total submission, indicating that a considerable amount of submitted text did not come from art history, but from areas of art and design practice. There was a significant increase in refereed online and paper journals in the sector. 3) Most marked, there was a dramatically increased range of exhibition activity since RAE2008, which was spread relatively evenly across all discipline areas. This activity often involved collaboration with museums, galleries, local authorities and festival organisers.

16. It was noted that the sector did not make full use of the opportunity to double-weight research outputs, which adversely affected output profiles in some cases. 87 requests were made and 77 accepted, meaning UOA 34 had one of the lowest rates of outputs submitted for double-weighting on MPD, 1.4 per cent of the outputs submitted to the panel. (See para 53-56 in the Main Panel report). The lack of double-weighting requests was especially evident within most areas of art and design practice. In particular, the sub-panel was surprised not to receive double-weighting requests for large complex practice-based projects. The sub-panel did consider whether some HEIs focused on particular modes of practice-based research had difficulty in applying the published criteria for double-weighting. The sub-panel also considered whether the published criteria were in fact less conducive to practice-based research than to mainstream humanities and arts subjects. The majority of double-weighted outputs in the arts and humanities were books. Going forward, the sub-panel recommends a reconsideration of the published criteria, and that the art and design sector has a wide-ranging consideration of the issue, in order that a far greater proportion of submissions to UOA 34 might in future be considered for double-weighting.

17. It is clear that HEIs which did submit double-weighted outputs did so with considerable care, and in most cases benefitted from the fact that double-weighted outputs tended to score far more highly than the average at 4\* and 3\*.

18. Of the received outputs 3.7 per cent were cross-referred for advice to other sub-panels. The majority of this material was of a technical nature, and was sent out of MPD to sub-panels in computing, various forms of engineering and the health sciences. The sub-panel considered carefully the advice received and the output was scored against the criteria for MPD and not the sub-panel to which the output had been cross-referred. The majority of outputs sent out of the sub-panel for advice went to Allied Health Professions (SP 3) (13 outputs), Chemistry (SP 8) (16), Computer Science and Informatics (SP 11) (37), Aeronautical, Mechanical, Chemical and Manufacturing Engineering (SP 12) (21), Civil and Construction Engineering (SP 14) (25), General Engineering (SP 15) (25), Modern Languages and Linguistics (SP 28) (30), and Music, Drama, Dance and Performing Arts (SP 350) (15). Of the material that came into SP 34 for advice, the majority was art historical and curatorial, and came from Computer Science and Informatics (SP 11) (22 outputs), History (SP 30) (39), Music, Drama, Dance and Performing Arts (SP 35) (20) and Communication, Cultural and Media Studies, Library and Information Management (SP 36) (66).

**Table 5: Cross-referrals**

	Into sub-panel		Out of sub-panel		Difference		Outputs Submitted
Within MP	135	2.1%	55	0.9%	80	1.3%	
Outside MP	24	0.4%	179	2.8%	-155	2.4%	
<b>Total</b>	<b>159</b>	<b>2.5%</b>	<b>234</b>	<b>3.7%</b>	<b>-75</b>	<b>-1.2%</b>	<b>6,356</b>

## Impact

**Table 6: UOA average impact sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Impact	36.6	44.7	13.6	3.9	1.2

19. UOA 34 contains HEIs that have very significant impact on the world external to the academy. REF2014 shows that art and design research has been very effectively converted into social and economic impact that has had transformational effect across the UK and internationally. Perhaps the clearest indication that art, design, and art history are conducive to the generation of powerful impact outside of the academy can be found in the UOA average of 81 per cent of the impact component being judged at the highest quality levels; as outstanding or very considerable impact. The sub-panel received 239 impact case studies and 82 impact templates. Overall this was an extremely strong collective performance.

20. The variety of impact case studies was the most marked feature of the submission as a whole. Partly because of this, and partly because impact was new to the sub-panel, particular attention was given to the calibration process.

21. Several areas of strength across all subject areas became evident. First, exhibition activity featured in the greatest number of case studies in a variety of ways: curatorship, authorship

leading to an exhibition, exhibition design, artistic intervention in museum space, and exhibitions of the work of individual researchers. Second, a considerable amount of activity related to the creation and support of SMEs. It was noted that this activity was often facilitated through the formation of dedicated units within the HEI. Thirdly, a significant number of case studies was focused on the design and development of products of various types that demonstrated economic and social impact, and other related benefits.

22. While the sub-panel was impressed with the range and strength of the submitted case studies and templates, a number of case study types was deemed to be less effective than others. For example, less effective case studies were those that failed to persuade the sub-panel that the impact was significantly external to the sector. In some cases, claims for the impact of art practice were deemed intangible. A notable feature in the impact submissions was the inclusion of a number of arts festivals. The use of a festival as an impact case study was in a number of instances very effectively accomplished; in others, however, it was not clear how exactly the underpinning research related to the festival itself. Across the range of case studies, a small number was scored as unclassified. In most cases this was due to failure to meet the threshold criteria. While the treatment of impact by HEIs was in the majority of cases both highly competent and imaginative, it is clear that a small number of institutions were yet to fully grasp and present impact in relation to research production.

23. The sub-panel was concerned to ensure that impact case studies which were regionally based, and solely intended to be so, were treated fairly in terms of the guidelines of 'reach and significance'. Treated holistically 'reach and significance' proved not to be an impediment to regional activity scoring highly. Analysis of the total submission revealed a significant number of cases studies based in specific regions that presented outstanding and very considerable impact. The sub-panel was particularly vigilant in recognising the value of this activity.

24. The sub-panel engaged five external users of research in order to lend full credibility to the impact analysis. These were selected from the worlds of local government, publishing, arts NGOs, and the public museum service. In addition, the sub-panel also included a number of members who were users from the design industries and the public museum service. The sub-panel found the contribution of its users to be absolutely invaluable, lending a powerful note of external reality experience to the process.

## Environment

**Table 7: Environment sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Environment	40.5	40.8	15.5	3.0	0.2

25. The environment component of the exercise revealed that on average 81per cent of the research environment described by submitted HEIs was judged to be world-leading and/or internationally excellent. This very positive result bodes extremely well for the ongoing and developing strengths of the sector as a whole. Environment was more specifically defined in REF2014 than in RAE2008. The sub-panel assessed templates according to the vitality and sustainability of the unit, as assessed in five categories, corresponding to the template: research strategy; people (staffing); people (research students); income, infrastructure and facilities; and collaboration and contribution to the discipline.

26. Environment is of especial interest to UOA 34, in that practice demands a range of facilities and – depending on the mode of practice – considerable financial outlay in order to perform at world-leading standards. In some respects the environment of these arts is more akin

to areas of engineering and science than the other arts and humanities. Similarly, much art historical activity is driven by the presence of gallery and museum space, and conservation laboratories. In the majority of instances the sub-panel was impressed by the clear intention of many HEIs to address thoughtfully the environment for research, and in the majority of cases, sustainable and vital research environments were in evidence. A small number of HEIs demonstrated the ambition to achieve vitality and sustainability, but in these cases it still remains a condition to be achieved.

27. The provision of a template for the five categories, and a space to describe the overall strategy for environment, proved to be extremely useful. However, the sub-panel noted that the quality of the material provided in the template varied considerably; in a significant number of cases the narrative in the template did not correspond to the data submitted. A notable omission in many of the environment templates was an adequate description of equality and diversity policies and their implementation.

28. The sub-panel found it helpful to be provided with the standard data analyses. These helped to inform, but did not determine, its deliberations. Nonetheless, the sub-panel was impressed with the number of HEIs raising large amounts of funding to support research, and with the variety of sources of this funding. The number of PhD completions was also impressive across the UOA. As a major supporter both of interdisciplinary research, and of practice-based research, the sector has performed admirably to create a national environment of excellence through a period in which external financial pressure has been considerable.

## **Overview**

29. REF2014 saw, in UOA 34, the coming together for the first time of the entire art and design constituency. The creation of this sub-panel has demonstrated a number of very positive things. First, a large amount of world-leading research is being conducted in numerous HEIs. Second, the ability of the art and design sector to convert research scored at 2\* and above into outstanding and very considerable impact was impressive, and fully reveals the importance of the sector in UK and international society. Third, art and design is the largest sector for the production of research through practice, and as such is a leader in the elaboration of emergent approaches to knowledge. Fourth, the sector has become one of the most important for the development of innovative and productive interdisciplinary research. The connection of the arts with the sciences, and of history and theory with museums and galleries, to cite two examples, reveals the complex, dynamic and impactful condition of research in the sector. Fifth, the environment exists in abundance for the conducting of world class research in art and design. Taken together, these points clearly indicate the need to continue funding the research environment at a level that enables high quality research to be undertaken, and converted into meaningful impact.

30. However, elements of REF2014 showed up a number of areas for concern. The sector failed to make use of the opportunity to double-weight research outputs, and this most certainly had an effect on the overall profile. Despite the clear importance of portfolios to art and design, the quality of these varied dramatically, and in a significant proportion of cases, the usefulness of portfolios was limited, if not counter-productive. The overall percentage of scores at the lower end of the spectrum was above the average for MPD. There is clearly work to be done.

31. Finally, despite the complexity and range of activity represented by the new sub-panel, there have been demonstrable advantages in joining together sub-panels 63 and 64 from RAE2008. Art and design research is being conducted at the highest levels and on a large scale. It is vital that the significance and size of this united constituency continues to be cohesively presented on the national and international stage. Throughout the last three years of meetings

and assessments, the sub-panel members – a microcosm of their sector – fully demonstrated through their interests and passions, and through their collegiate collaboration in the face of this immense task, that they are indeed a single community.

## UOA 35: Music, Drama, Dance and Performing Arts

1. All Sub-panel members have discussed and collectively agreed this report. It should be read alongside the Main Panel D section which deals with matters of generic interest.

### Summary of submissions

2. UOA 35 received 84 submissions from 74 HEIs with 10 multiple submissions, compared with 53 who submitted to Sub-panel 67 (music) and 42 to Sub-panel 65 (drama, dance and performing arts) in RAE2008. The largest submission included 41 (headcount) researchers; the smallest comprised two researchers. Four submissions submitted between 31 and 40 researchers; 14 between 21 and 30 researchers; 45 between 11 and 20 researchers and 19 between five and 10 researchers. Submissions were received from a range of institutions, including eight conservatoires. Of the 84 submissions, 73 were in England, five in Scotland, four in Wales and two in Northern Ireland. Five institutions submitted to UOA 35 for the first time (Bedfordshire, Edge Hill, Leeds Metropolitan, Trinity Laban, Worcester). Five institutions submitted under different names (Royal Central School of Speech and Drama, Royal Conservatoire of Scotland, University of South Wales, University of Falmouth – incorporating Dartington College – and the University of West London).

3. 1,316 Category A researchers and two Category C researchers were submitted (against 1,146 A and 65 C in 2008). 280 ECRs were submitted (the figure for RAE2008 is unknown). This is an increase of 170 Category A staff and a decrease of 63 Category C staff – the decrease in the latter being a consequence of the change in definition. Overall this constitutes an increase of 8.8 per cent.

4. UOA 35 received a total of 4,261 outputs at an average of 3.2 per headcount (against 4,338 at an average of 3.6 per headcount in 2008). The drop of 1.8 per cent is accounted for by the provisions for submitting fewer than four outputs (ECRs, maternity, paternity or adoption leave, complex and other circumstances), and the fractional appointments typical of practice-based disciplines. The table below provides the breakdown for UOA 35.

**Table 1: Summary of submissions**

	Number of submissions	Cat A FTE staff	Cat A and C headcount staff	Research outputs	Double-weighted outputs	Outputs per person	Impact case studies (ICS)	FTE staff per ICS
<b>2014</b>	<b>84</b>	<b>1,142</b>	<b>1,318</b>	<b>4,261</b>	<b>167</b>	<b>3.23</b>	<b>197</b>	<b>5.8</b>
2008	95	1,003	1,211	4,338	–	3.58	–	–
% difference	-11.6%	13.9%	8.8%	-1.8%	–	-9.8%	–	–

5. Viewing the submission as a whole, there can be no doubt that theoretical and practice-based research across the entire range of performing arts is in a thriving state in our universities and conservatoires, and that this research is regarded as highly important and influential both within the national context and worldwide. The high proportion of world-leading and internationally excellent research produced by scholars and practitioners at every career stage is testament both to the vitality of the sector and to the continuing commitment of HEIs and funding bodies. In particular the submissions showed the ways in which this outward-facing sector underpins the creative industries at all levels – from musical performance to choreography, broadcasting to

software design, site-specific installations to playwriting, community and education work to commissioned evaluations of cultural activities. The social, economic and cultural benefits of research in the sector are most obviously discernible in the wide-ranging impact templates and case studies submitted for assessment; but they are also evident in the other sections of the assessment (outputs and environment).

6. Work by individuals continues to underpin the research infrastructure of the disciplines represented by UOA 35. At the same time, collaboration plays a vital part in enriching the research base – from the creative partnerships, interdisciplinary working relationships and multi-institutional collaborations that form the basis of research environments to the intercultural and international foci of the research outputs. (See paragraph 41 of this section.) Collaborative research practices were also evidenced in the few jointly produced outputs submitted for assessment. The sector’s success in attracting enhanced levels of funding (from the AHRC and other Research Councils, the British Academy, national Arts Councils and other funding bodies and charities) has resulted not only in many outstanding outputs but also in an expansion of the staff base, with practitioners, postdoctoral and early career researchers making important contributions to institutional research cultures. The Sub-panel identified world-leading research outputs and research environments of outstanding vitality and sustainability across units of every size. The table below shows the overall quality profiles for the UOA.

**Table 2: UOA average profiles**

	<b>% 4*</b>	<b>% 3*</b>	<b>% 2*</b>	<b>% 1*</b>	<b>% uc</b>
<b>Overall quality</b>	<b>29</b>	<b>39</b>	<b>24</b>	<b>6</b>	<b>2</b>
Outputs	25.0	37.1	27.7	8.5	1.7
Impact	38.8	41.3	16.4	1.7	1.8
Environment	36.4	40.3	19.7	3.5	0.1

7. The Sub-panel noted that the effect of weighting the UOA average sub-profiles by FTE tended to have a significant effect on the proportion of 4\* activity in the environment (and to a lesser extent impact) sub-profiles for a number of the other UOAs in Main Panel D. This was in part related to the distribution of size of submitting unit to the different UOAs: within Sub-panel 35 there was a fair degree of uniformity of size. The Sub-panel was, however, reassured that the distribution of unweighted grades indicated that its grading practices were consistent with other sub-panels and that it was not out of line in its application of the quality criteria for these two sub-profiles.

8. In establishing its working methods Sub-panel 35 adhered to the assessment principles and framework adopted across Main Panel D (see paragraphs 21-31 of the Main Panel section) and participated in the Calibration Exercise within the sub-panel and across the Main Panel (see paragraphs 32-38 of the Main Panel section).

## **Outputs**

9. World-leading outputs were identified in 95 per cent of all submitting units. 62 per cent of the outputs submitted to UOA 35 were judged to be world-leading or internationally excellent in terms of rigour, originality and significance. See the table below for details of UOA 35’s average output sub-profile.

**Table 3: UOA average outputs sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Outputs	25.0	37.1	27.7	8.5	1.7

10. UOA 35 brings together world-leading scholarship with Practice as Research (PaR) at an international level embracing a diverse range of critical/theoretical perspectives. Submissions embraced a wider range of sub-disciplines than those submitted to Sub-panels 65 or 67 in RAE2008. While the sub-panel recognises both the breadth and the cross-disciplinary scope of much of the research in the sector, we are signalling key developments within the main sub-fields in order to map key changes since RAE2008. Approximately 56 per cent of the outputs submitted to the UOA covered the areas of music assessed by Sub-panel 67 in RAE2008 and 44 per cent the cluster of disciplines (drama, dance and performing arts) covered by Sub-panel 65 in RAE2008.

## Music

11. Research in music continues to thrive across a very wide range of universities and specialist institutions. 56 submissions included a substantial amount of work in this field, embracing contemporary creative practice; scientific and technical contributions; a range of interlocking musicologies, including the study of Western art music, ethnomusicology, popular and film music studies, psychology and education research; and research in performance and performance studies. Some 42 per cent of music outputs were in non-text media, primarily compositions, performances and other forms of creative practice, but also including software and artefacts.

12. World-leading research was identified across all sub-disciplines, in both text-based outputs and in other media. This work is repaying dividends out of proportion to the size of the sector, and exerting a major influence on the cultural life of the nation. Early career researchers made a significant contribution to the submission, auguring well for the continuing strength of music research of all kinds, a field in which the UK can undoubtedly claim a position of international leadership.

13. Composition and related forms of artistic practice involving sound and music comprised a significant proportion of the work submitted (approximately 32 per cent of music outputs). World-leading outputs of every type, from large-scale forms in well-established genres to more experimental works using diverse media, were produced by both established and early career researchers. The sub-panel noted the increasing sophistication and depth in the combination of live instrumental and electronic resources, greater confidence in interdisciplinary approaches and collaborations, very strong relationships between composition and performance, and clear evidence of composers' engagement with organisations and communities outside their own institutions. Commissioned compositions formed an important part of the submission, and in the best examples the composer's response to the brief produced research of the highest order.

14. As in RAE2008, a small number of screen composition submissions included work for television, film and videogames. In a number of studio recording submissions the research content was located in the record production; these often exhibited high standards of professional practice, and the most successful examples were contextualised by specific research aims. Technological and scientific outputs encompassed work across all fields including acoustics, new software, signal processing, installation design, new musical instruments, and scientific enquiries relating to sound and music. While small in number (4 per cent of music outputs), a substantial proportion of outputs across all these areas was rated at the highest level.

15. Musicological work extended across a very wide range of research fields (totalling 57 per cent of music outputs), with former disciplinary subdivisions increasingly eroded, both within individual outputs and across richly diverse submissions. An increasing recognition of musicology within the wider sphere of cultural studies – broadly defined – is reflected in the range of journals and edited books in which outputs appear. There were many examples of innovative approaches to presentation, including web-based resources and audio-visual dissemination, as well as performances and compositions drawing on musicological inquiry. World-leading research in all branches of musicology is spread widely across institutions and between experienced and early career researchers.

16. A substantial proportion of musicological outputs related to Western art music, even as the field increasingly draws upon methodologies from other sub-disciplines, including ethnomusicology and popular music studies. There is continued emphasis on the 'long' 20th century, yet research on earlier periods continues to flourish, with a discernible resurgence of interest in the 17th and 18th centuries. In well-established areas such as musical source criticism and documentary studies of musicians, institutions and instruments, many outputs evidenced the highest international levels of rigour and sophistication in deploying traditional methodologies. Other areas of the discipline were marked by conceptual and methodological innovation, often reflecting critical approaches drawn from other humanities, social science and STEM disciplines, including computational analysis of music and performance data in collaboration with computer scientists. Historical studies of non-European musical traditions formed a small but high quality part of the submission; while musicological research into opera, film, dance and other performance genres is extending beyond the solely musical. An increasingly important branch of reception history is the study of listening and experience. Purely analytical outputs were few in number; analytical work of impressive substance is, however, frequently embedded in historical investigation, ethnography or other approaches that deploy interpretative frames from other disciplines.

17. Ethnomusicological research has continued to expand, and also makes its presence felt through an increasing influence on other branches of musicology. This research is characterised by its diversity: while topics such as diaspora and identity continue to be developed, new areas such as digital media have emerged and others such as performance analysis expanded. Various modes of ethnographic engagement interact with aspects of history, philosophy, sociology, media studies, anthropology, folklore, psychology, and critical theory. The best research in this area was distinguished by its rigour in the specification of methods used, and in the reasoned justification of theoretical perspectives.

18. Research on popular music – whether musicological or sociological in orientation – is also thriving. As with ethnomusicology, topics and approaches are diverse, with world-leading research including critiques of written discourse about popular music, analyses of songs and recordings, biographies, practice-based research and studies closely allied to practice. There is a growth of high quality work on live music-making, jazz studies, creative collaboration, and sound recording and record production, with a significant expansion in screen musicology.

19. The psychology of music is now a well-established field of research, the influence of which is felt in areas such as analysis, ethnomusicology, performance and popular music studies as well as in cognate areas beyond music. Outputs include both basic research in cognitive and social psychology and applied research in music therapy, education, performance, health, participation and arts promotion. Individual uses and experiences of music are a prominent and productive theme, as is the use of cognitive science and evolutionary biology in theorising aspects of musical behaviour.

20. Performance is intimately tied to all the areas already discussed, with research articulated through both theoretical studies and practice. New approaches are invigorating historical performance practice research, while the rising field of performance studies, underpinned by work in both psychology and ethnomusicology, made a small but important contribution. Performance itself encompassed 7 per cent of music outputs; its international importance and creative vitality were indicated by a substantial number of world-leading outputs across a very wide range of repertoires. Submissions included performances of newly discovered repertoire and of familiar texts revisited through new historical research, often in a very fruitful dialogue with musical source studies, whether conducted by the performers themselves or by other scholars. Also impressive were well-referenced collaborations with composers and creative contributions such as improvisation in partnership with other performing and digital arts. In some cases researchers might have made more use of the opportunity offered by portfolio submission and double-weighting to generate a coherent research narrative for their practice.

21. A striking feature of the music submission as a whole is the extent to which outputs demonstrate the potential for impact outside their immediate academic domain, and indeed how frequently impact is already embodied within the research itself, further reinforcing the national and international reputation of British music research.

### **Drama, dance and performing arts**

22. In drama, dance and related performing arts – as in music – the outputs examined provided evidence of a thriving, UK-wide research culture with justifiable claims to be world-leading in numerous areas. To a greater extent than in 2008, the majority of submissions in these fields brought together researchers working across a range of creative and performing arts. Conversely, a small number of submissions presented a concentrated focus in a single disciplinary area: for example, the sub-panel noted the existence of specialised units in theatre studies, dance studies, and film/television studies. 49 of the submissions to this UOA included a sizeable amount of work in one or more of these disciplinary areas, with a dominant proportion of the research relating to 20th and 21st century practices. Some 22 per cent of outputs in these areas were in non-text media, including performances, installations, film, video and other forms of creative practice (a notably lower percentage than in music). The Sub-panel also noted that the proportion of submissions including research in film, television and media cultures had further increased since RAE2008, to the extent that a reappraisal of the UOA's titling may be necessary in future (the term 'drama' being inadequate to account for the full range of screen-oriented outputs).

23. Research in drama, theatre and performance studies constituted some 61 per cent of the outputs submitted in this cluster of disciplines. Significant changes were identified since RAE2008 with particular areas acquiring increased importance. For example, an increased number of outputs explored different modes and histories of acting/performing and actor training. The strongest work in this area found ways of rigorously reflecting on personal experience and/or professional practices, and extrapolating wider significance from these. Weaker work was comparatively narrow in methodological focus, with practice-based outputs suffering from many of the problems outlined in the section of this report dealing with PaR (see paragraphs 35-37).

24. Scenographic research in the fields of set, lighting and sound design has also broadened beyond the primarily historical focus apparent in 2008, to embrace a wider approach to scenography as a creative and critical practice. This includes significant contributions to contemporary professional practice, as well as the development of strong theoretical frames evidenced by monographs and edited collections, installations and production-based work. Here as elsewhere, however, there was sometimes a need to more clearly identify research

imperatives for practical contributions, particularly where the work has been undertaken collaboratively.

25. There was a significant focus on experimental performance practices operating outside the mainstream/subsidised sectors, and the sub-panel noted in particular some excellent work, both analytical and historical, around live art practices. The field of digital theatre and performance was also represented in a large number of submissions. Research of this sort proved wide-ranging, and included digital and intermedial performances and installations; wearable, locative and cyborg technologies; experiments in gaming and screen-based interactivity; research on the philosophies and histories of new media cultures.

26. The Sub-panel noted that this discipline's researchers are deeply embedded in the creative industries, such that outputs often presented findings of clear benefit to non-academic users. Significant, valuable work undertaken in the area of cultural policy was judged to have contributed directly to the cultural industries, by providing critical, social and economic analyses, and evaluating work in the sector. Outputs here ranged from formal academic journal papers or publications, to evaluation reports, documentation and research co-created across academic and industry contexts.

27. The Sub-panel observed notable strengths in theatre history and historiography. A small number of outputs centred on pre-17th and 18th-century theatre, but a much greater percentage of historically-focussed work concentrated on 19th- and 20th-century performance. Most notable is the emergent presence of historical methodologies embedded in analyses of contemporary performances, producing research focussing on recent and current practices, but with a significant turn to history and new historiographic approaches as a means of locating the contemporary within a historical frame. Similarly, the sub-panel noted the emergence of historically-based research which embraces more recent theories of participation and cultural practice as a means of bringing productive contemporary frames to the critical analysis of the historical. In connection to this there was some excellent research focussed on creating and curating archives, and on the archiving of previously inaccessible materials relating to both historical and contemporary practices.

28. These developments in historically-oriented research were mirrored by a strongly geographic or geopolitical orientation in many submissions. There were some excellent outputs exploring non-Western and transnational performance which were sensitive to intercultural, ethical and political concerns. Likewise, an increased number of practical and scholarly works provided nuanced, critical explorations of the performative dimensions of migration, refugee status, and related issues of identity, place and exile within a globalised economy. There was also a notable focus in some submissions on research exploring the cultural ramifications of new constitutional arrangements within the UK and new national and regional identities within Europe and beyond. The Sub-panel noted, for example, that research focussing on dramaturgy, playwriting and critical analyses of individual playwrights was often framed by questions of nation or identity. There was also a notable increase in the volume of research exploring the performance of place and/or site-specificity, in which issues of history, identity, community and environment were frequently foregrounded. Such site-oriented work also evidenced a turn toward mobility through, for instance, a marked expansion in the theorising and practice of perambulatory performance.

29. The Sub-panel noted, more generally, the substantial and impressive amount of interdisciplinary research in operation within the discipline. At its very best this research has begun to re-locate theatre and performance studies on a map of culturally-oriented disciplines within the humanities. For example, research in applied and social theatre/performance has expanded beyond established areas of focus to encompass a wider range of critical concerns,

with analysis often being productively informed by diverse theoretical approaches. Similarly, the sub-panel reviewed some excellent research on the material cultures of theatre production and performance, including those concerned with labour and audience. It should be added, however, that some weaker work was also predicated on interdisciplinary theoretical models, which needed further working through of the relationship between theory and material analysis, in order to avoid merely summarising or reiterating theoretical propositions at the cost of original critical enquiry.

30. Outputs in dance (making up 14 per cent of this cluster) encompassed a range of topics, including history, analysis, ethnography, popular/social dance, choreography, dance science (covering dancer training and other related performance issues, kinaesthetic empathy studies, and some cross-modal work with sound/music), dance therapy, curation, somatics, digital dance (theory and practice), and aesthetics. The majority of submissions included outputs in the largest fields: choreography (a wide variety, including installation and digital work), history (predominantly 20th century), analysis (covering both theatre and social dance, popular dance forms, analysis and interpretation of narrative and movement structures), and somatics (some in conjunction with therapeutic movement work, including psychotherapies and their various philosophical roots). World-leading outputs were identified in both PaR and written submissions.

31. The Sub-panel was struck by the following distinguishing factors in the dance submissions: the emergence of dance science as a new field and already a considerable area of development; a marked increase in outputs (practical and theoretical) in the fields of digital dance and physical theatre; a slight increase in cross-arts work covering sound/music for dance drawing on ideas from cognitive science; some cross-disciplinary work on 18th-century dance. Phenomenologically theorised embodiment within written and practice-based outcomes remains a dominant methodology for dance research. A very high proportion of outputs focussed on contemporary subjects and many of these showed themselves to be bound up in the researcher's own first-person experience. Some of this research demonstrates a growing paradigm of writing through and alongside practice, which can offer both original and significant findings. Nevertheless, there is a tendency towards a reliance on phenomenological discourses at the expense of a wider grounding in theory, and on the whole this emphasis on experiential approaches has resulted in a diminution within the dance sector of research offering a robust historical and contextual framing. The focus is predominantly on late 20th-century contemporary dance with little research on earlier historical periods. It is worth noting that outstanding cross-disciplinary work on 18th-century dance is carried out within music units.

32. The Sub-panel saw an increase in submissions incorporating work on film, television and screen studies and broadcast media (25 per cent of this cluster) with a significant number of cross-disciplinary outputs on film and music. The best of these were aware of, and explored, approaches from both disciplines to advance a developing sub-field. The majority of outputs remain in popular, genre cinema, with notable increases in new conceptualisations of the avant-garde and art-based practices and research in digital and new media formations. There has been a marked increase in outputs on global cinemas generally, and they have, in many cases, been distinctive for their vitality and indication of an expansive development of the discipline. The vitality in approaches to film histories and their archaeologies (mapping discursive, institutional, industrial, aesthetic, and technological developments) is also worth signalling. A growing number of submissions theorise and document the connection between film and television and other media and art forms – part of the interdisciplinary currents signalled earlier in the report. There was also a rising interest in the engagement with the aesthetic and perceptual consequences of digital transformations, and with the changing production, exhibition and distribution contexts of

contemporary cinema and television. Distinguished work was also evidenced in documentary cinema – encompassing both written scholarship and creative practice.

33. The Sub-panel saw a range of film-related outputs in areas that were not present in 2008, including YouTube and web-based movies, and some particularly technical work on interactive media and image perception. There was also a marked increase in the number of outputs in the areas of video art, PaR filmmaking and mixed-media installations tested in high-profile public environments. The best outputs were presented as portfolios or with supporting information about overriding research questions that clearly located the practice and an individual's specific contribution within academic contexts.

34. Though there was some very good work in television studies, most extended established fields rather than opening up new areas of study. Some of the best work in this area was interdisciplinary, for example making intermedia comparisons (with film and/or new media technologies), or in audience-focussed research (especially around fandoms and 'cult' programming). There was also some strong work on television with a historical dimension, or dealing with issues of gender.

### **Practice as research**

35. The Sub-panel saw an extensive amount of work in PaR across all the sub-disciplinary areas. World-leading and internationally excellent outputs made original, significant and rigorous research-based artistic interventions in areas of musical and theatrical performance, choreography, filmmaking, and composition. There was some extremely high quality applied work in music therapy, education, audio engineering, sound recording, and social theatre. UK universities and conservatoires maintain a position of international leadership in the development of PaR, both practically and conceptually, through work that is innovative, collaborative, often cross-disciplinary and cross-cultural, as well as imaginative in its exploration of the potential of digital technologies. The international reputation of this research, and its impact within the creative industries and beyond, are testament to the ongoing commitment of the higher education (HE) sector and to the effectiveness of the investment that PaR has received to date – a level of investment that must be maintained (see paragraphs 75-76).

36. As in 2008 the best outputs in PaR were distinguished by clearly articulated research objectives. In a number of instances, the presentation of practice needed no more than a well-turned 300 word statement to point up the research inquiry and its findings, since the concerns outlined were then amply apparent within the practice itself (which was made available for assessment by a variety of means including DVD or CD recordings, photographic materials, scripts and scores, databases, etc.). A significant proportion of projects, however, also offered insightful additional documentation of process and/or outcomes, which was at its best well-edited, or annotated, to further facilitate access to the research inquiry. Rigorous PaR work across UOA 35 explicitly articulated a research imperative, methods by which it was explored, and how these related to previous work on this topic by others. This approach often helped in making the case for the originality and significance of the findings and was often enhanced by analytical or reflective contextualising writing, though the inclusion of such portfolio materials did not necessarily raise the quality of the research enquiry of the practice itself. The most successful portfolios helped the assessors by providing a pathway through the material submitted so it was clear what the research contribution was and why specific pieces of evidence were provided. On occasion, however, research was documented via a huge collection of documents without sufficient guidance about what it is, and how it can be judged as research. Concision and selectivity in the presentation of portfolio materials was often key to the clarity of a project's research imperatives.

37. A small proportion of PaR was considered not to have met either the REF definition of research or the standard of nationally recognised work. In some cases the supporting portfolios were carelessly presented. In other cases, a rationalisation, evidently after the event, or the submission of a conspicuous amount of documented practice did not allow for the identification of a research dimension. More generally, the 300 word statements too often displayed a misunderstanding of what was being asked for and provided evidence of impact from the research, or a descriptive account akin to a programme note, rather than making the case for practice as research. Student-focussed PaR productions were frequently located too narrowly in HEI contexts, and suffered from not being disseminated more widely or from not identifying original insights clearly enough. Some PaR tended towards providing examples of the practice as illustration of the research rather than allowing the completed output to be judged in its own terms. (The analogy might be to provide extracts from a book to illustrate the main argument rather than submit the whole book.) For some performance items there was simply not enough of a work to allow for the research imperatives to be evidenced, or else the film footage or recording was of poor quality. The opportunity to reflect on public and critical reception as part of the research process was sometimes lost. Regrettably, particularly in the light of feedback from both Sub-panels 65 and 67 in RAE2008, there are too many instances where the sector still has difficulty distinguishing excellent professional practice from practice with a clear research dimension. HEIs can do much more to assist excellent practitioners who move into the academy to make the transition in developing the research articulation of their work.

**Table 4: Output types**

	%
Artefact	0.5%
Authored book	13.7%
Chapter in book	19.0%
Composition	15.0%
Conference contribution	0.9%
Design	0.1%
Devices and products	0.0%
Digital or visual media	4.0%
Edited book	4.0%
Exhibition	1.1%
Journal article	28.4%
Other form of assessable output	3.1%
Patent/published patent application	0.0%
Performance	7.7%
Research datasets and databases	0.1%
Research report for external body	0.2%
Scholarly edition	1.5%
Software	0.1%

Website content	0.4%
Working paper	0.1%

38. As the table above indicates, UOA 35 received outputs across the breadth of the disciplinary areas identified in paragraph 28 of Part 2D of the 'Panel Criteria and Working Methods'. Outputs included: advisory reports and evaluations, books (authored and edited), chapters in books, journal articles, published conference papers, electronic resources and publications, exhibition catalogues, translations and scholarly editions, compositions and musical scores, creative writing (libretti, film scripts, radio plays, novels, short stories, stage plays), databases, grammars, patents, digital and broadcast media, performances, films, video and media presentations, installations, designs and exhibitions, software design and development, working papers. It should be noted that the table represents the submitting HEIs' classification of output type and that certain types of research (especially in practice-led areas) might have been positioned differently. The data on submitted outputs show that the authored book is by no means the main mode of dissemination across the sub-disciplines covered by the UOA.

39. Journal rankings were not considered when assessing articles nor was any form of output privileged or otherwise in comparison with any other. The Sub-panel wishes to make clear that outputs of all type were capable of scoring at the highest level.

40. The Sub-panel wishes to comment on a series of factors relating to outputs:

### **Modes of publication**

41. A considerable number of new journals and book series (both print and online) have enhanced the possibilities for disseminating research findings to a more specialist readership. High quality editorial processes and interventions, however, were not always evident in the outputs submitted, while relatively short articles, book chapters and working papers often lacked space to develop a rigorous, original and significant argument. Edited conference proceedings sometimes failed to add up to more than the sum of their parts. The expansion of textbook provision has led to some innovative pedagogical, ambitious original and summative research; nevertheless a balance between rigour, originality and significance was not always in evidence. Some profiles were overly reliant on outputs that summarised the work of others: the sub-panel wishes to feed back the necessity for ambition in research, seizing the opportunity for originality and for developing disciplinary practices beyond the summative or reflective, towards an approach focussed on critical enquiry.

### **Collaborations**

42. While much research continues to be carried out by individual scholars – and it would be detrimental to the sector were this to be discouraged – there was evidence also that in single-authored outputs collaboration was often integral to the research process. Furthermore, work across all the sub-disciplines benefitted from initiatives that were rooted in collaborative approaches to research, whether the outputs were themselves co-authored or not. This included large collaborative grants, co-edited collections, and the input into practice-led projects by a range of associates.

### **Types and modes of outputs**

43. There has been an expansion in the types and modes of outputs submitted to UOA 35 in comparison to RAE2008 – especially visible in the digital formats of a significant number of projects. REF2014 saw 1,347 non-text-based outputs (33 per cent) submitted to the UOA for

assessment. This reflects not only the extraordinary diversity of PaR outputs but also innovative methodological approaches drawing on the latest developments in digital humanities.

### **Presentation of outputs**

44. There are a number of issues relating to the modes in which outputs were presented. In some cases poor quality PDFs of book chapters and conference papers were provided. In other cases, and specifically in relation to some PaR, inadequate documentation of the research imperatives, process or outcomes was provided (see paragraphs 35-37). With regard to outputs submitted in electronic format, in some cases the institution did not clearly specify what hardware/software was needed for the item to be reviewed. In some cases where software was submitted, it would have been helpful to have included video demonstrations to highlight the capabilities of the software and to point the reviewers to the key features that demonstrate the research components of the work. Some extremely large portfolios of material were submitted, running to a number of boxes for a single output. Although it is understood that researchers may wish to demonstrate the range and reach of large-scale and / or long-term projects, sometimes this was deemed excessive and unhelpful. (See also paragraphs 35-37.)

### **Overlap**

45. The Main Panel section (paragraphs 59-60) has already addressed the submission of outputs with significant material in common. Institutions did not always check sufficiently well for overlap between two submitted outputs or between a submitted output and earlier published material. Therefore, a number of items appear to have been effectively double entered, without explanation as to how earlier research had been revised to incorporate new material and insights. In some cases a creative output had entered the public domain in some form well before 2008, but was then released as a CD or DVD within the assessment period. The Sub-panel made eligibility decisions based on the published criteria, but HEIs could have assisted this process by more explicit explanation; further guidance on this issue will be needed in future exercises.

46. The Sub-panel received 167 requests for double-weighting (3.9 per cent of the outputs), a lower proportion than the majority of sub-panels in Main Panel D. 95.8 per cent of all requests were accepted. 77 per cent of double-weighting requests were monographs; of these 95.8 per cent were accepted. Requests were also received for edited collections, scholarly editions, performances, digital or visual media, a working paper and compositions. Paragraph 54 of the Main Panel section of the report delineates the particular issues associated with double-weighting encountered by Sub-panel 35.

**Table 4: Double-weighting requests**

Research outputs	D/W requests	D/W requests approved
4,261	167 (3.9% of outputs)	160 (95.8% of requests)

47. A significant proportion of outputs submitted for double-weighting scored very highly. These ranged across monographs, scholarly editions and a variety of practice-based research, demonstrating not only impressive scope and scale, but also intellectual ambition and outstanding rigour, originality and significance.

48. It was standard practice for each output to be examined by more than one assessor, with due regard to their areas of academic expertise. The Sub-panel's work in assessing outputs was supported by the contribution of seven additional output assessors across a range of theoretical

and practice-based research areas, as well as the specialist advisers identified below in paragraph 50.

49. Both interdisciplinary and collaborative practices were much in evidence across the outputs assessed by the sub-panel – from film music to dance science, software design to video art, screen dance to acoustics, choreomusicology to cultural policy. Only a small proportion of these were flagged by institutions as interdisciplinary. The multidisciplinary composition of the sub-panel ensured that research outputs could be assessed by teams with expertise across a number of sub-disciplines. The appointment of two output assessors shared with Sub-panel 36, as noted in paragraph 39 of the Main Panel section, served to ensure a common approach to assessment across research relating to a range of media platforms.

50. The Sub-panel was able to assess outputs across 10 languages. It received assistance from specialist advisers assessing 109 outputs in Czech, French, German, Welsh and in specialist areas of ethnomusicology and medieval musicology.

51. Furthermore, 85 cross-referrals were made to 11 sub-panels across all four Main Panels in areas including acoustics, creative writing, music and consciousness, phonetics and speech perception, and socio-linguistics and digital culture. While the sub-panel appreciated all HEI requests for cross-referral, not all of these could be actioned as the identified sub-panels deemed them not to fall within their range of expertise. The Sub-panel handled 105 cross-referrals from eight sub-panels across Main Panels A, B and D. The table below shows the movement of cross-referred outputs into and out of UOA 35.

**Table 5: Cross-referrals**

	Into sub-panel		Out of sub-panel		Difference		Outputs submitted
Within MP	99	2.3%	52	1.2%	47	1.1%	
Outside MP	6	0.1%	25	0.6%	-19	-0.4%	
<b>Total</b>	<b>105</b>	<b>2.5%</b>	<b>77</b>	<b>1.8%</b>	<b>28</b>	<b>0.7%</b>	<b>4,261</b>

52. Paragraphs 42-45 of the Main Panel section of the report offers further contextualising information on cross-referrals.

## Impact

53. The previous sections have amply demonstrated how strongly impact outside higher education is built into research in music, theatre, dance, performance, film and television studies. Such research speaks to, collaborates with and engages at an impressive level both across disciplines and with the non-HEI sector in myriad different ways. The benefits of mutuality were embedded into partnerships with the creative sector and elsewhere, and outward-facing engagement activities built into research projects as an intrinsic pathway to impact. The panel expected to receive many excellent examples of impact from PaR that directly involved working with the creative industries, both in the UK and internationally. What was more surprising, perhaps, was the reach and significance of impact arising from a wide variety of other kinds of research, not all drawing on practice-based outputs. Every major research category was represented in the submitted case studies, and in each category there were examples achieving the highest grades. Some of these areas are further described below (paragraph 60).

54. Outstanding impact was identified across a range of social and cultural contexts, benefitting stakeholders, audiences and users outside academia spanning creative practice in the UK, Europe and beyond, national and international media, broadcasters, publishers, cultural organisations and agencies, governmental bodies, public sector policy makers and NGOs, funders and charities, religious institutions and secondary education, medical bodies and healthcare organisations, industrial designers and industry professionals in areas such as medical engineering, gaming, acoustics, software development, smartphone applications and neuroscience.

**Table 6: UOA average impact sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Impact	38.8	41.3	16.4	1.7	1.8

55. The Sub-panel benefitted from the expertise of three user members and six impact assessors with knowledge and experience of impact in relation to the following areas of cultural activity, education, policy making, public discourse, and the development of products, networks and services: the commissioning and programming of classical, popular and world music, theatre, dance, digital and online work; music publishing; commercial recording; choreography; film and television production; public service broadcasting; arts policy development and resources; outreach work and creative learning; marketing and audience development; community engagement; archives, curatorial practices, exhibitions and museums.

56. The Sub-panel's observations on the strongest templates and case studies, impacts resulting from the personal interventions of individuals and partnerships with users and beneficiaries of research are collected under paragraphs 70-71, 74 and 75 of the Main Panel section. In addition, we would like to draw attention to the following factors and comments.

57. Public engagement was shown to be embedded into the HEI sector through wide-ranging relationships developed with cultural and public partners. While this can be a commendable mode of working towards and achieving research impact, the relationship between a unit's underpinning research and its public engagement activities was not always clearly articulated, or even evident at all. Indeed, submissions did not always distinguish impact from non-research-driven outreach work in both templates and case studies. The best examples demonstrated clear awareness of users, audiences and beneficiaries; they had a focussed approach to the kinds of impact generated and an ability to embrace serendipitous forms of impact and learn from them for future planning. Institutions did not always, however, clearly differentiate dissemination activities from the benefits that result from such dissemination. As a result some submissions did not fully capitalise on the potential for impact embedded within their research culture, and instead highlighted types of outreach activity that are not necessarily driven by research practices. Weaker submissions were often couched in the language of arts funding applications and focussed on delivery and outreach rather than impact as defined for REF2014 in paragraph 140 of the 'Assessment framework and guidance on submissions'.

58. Many institutions demonstrated excellent external engagement through practice and professional training. Some case studies, however, failed to demonstrate how the impact was derived from 2\* research, so could not be claimed as impact underpinned by research, while others based on PaR did not evidence the link between the underpinning research and the impact claimed. In addition, a small number of submissions presented evidence of impact on education that did not extend significantly beyond the submitting HEI. The weaker case studies relied on

statements which were generalised in character and therefore could not be substantiated; while some sought to identify impact retrospectively, resulting in lists of ‘activities’ rather than the real mapping of significant impact. Now that impact has been established as a priority for future research assessment, institutions are strongly recommended to collect meaningful (in terms of quality and quantity) data from participants and beneficiaries on impact deriving from research. Where appropriate, this could also be included in the portfolio documentation provided with relevant outputs. (See also paragraph 61 of the Main Panel section.)

59. Notwithstanding the above comments, the sub-panel saw a large number of exemplary templates and case studies. These demonstrated impact on an exceptional scale – at all levels of professional practice and policy making across cultural, social, health and community sectors in local, national and international contexts.

60. Given the outward-facing and collaborative nature of the discipline the sub-panel was gratified, but not surprised, to see outstanding examples of impact on national and international organisations and industries relating to performance (including television, film and broadcasting), cultural policy and the heritage sector. The tangible economic and cultural benefits of research in the creative arts were evidenced in and across the music, film and theatre industries. These included increasing public awareness about particular areas of practice and historical methodologies; directly influencing professional and amateur practitioners; and innovative collaborations with museums and archives ranging across interpretation, conservation and resource discovery. The Sub-panel also saw a range of case studies in less expected areas, evidencing exceptional impact on: education beyond the HE sector (nationally and internationally); health and wellbeing; urban and rural regeneration; developments in software, programming and new technologies to enable participation by different constituencies of users. The wide-ranging impact of research across the different sub-disciplines represented by this UOA demonstrates the clear contribution of the sector to both the social and cultural enrichment of the nation and the wider artistic landscape beyond the UK.

## Environment

61. The Sub-panel gratifyingly found world-leading environments for research across units of different size and scale and across single organisational departments and broader multidisciplinary schools. The table below shows the environment sub-profile for UOA 35.

**Table 7: UOA average environment sub-profile**

	<b>% 4*</b>	<b>% 3*</b>	<b>% 2*</b>	<b>% 1*</b>	<b>% uc</b>
Environment	36.4	40.3	19.7	3.5	0.1

62. In addition to the comments collected in paragraphs 81-86 of the Main Panel report, the sub-panel would like to offer the following observations:

### General

63. The Sub-panel was careful to ensure that its deliberations were informed by the criteria and not by recourse to any extraneous information. The standard data analysis informed but did not determine the sub-panel’s deliberations.

### Strategy

World-leading environments articulated the ways in which the unit uses and builds on institutional structures to forge its disciplinary research culture(s), rather than simply articulating the

institutional or faculty policies and procedures. The strongest strategy statements reflected critically on RAE2008 and offered a lively and sustainable vision for the future, rather than simply a list of current departmental or individual activities.

### **Staffing and staff development**

64. The environment across all the UOA's disciplinary domains has frequently been actively shaped by the research of professional practitioners. Composers, choreographers, performers, artists, writers were shown to be key in the research cultures of a high proportion of the units submitting to the sub-panel. Outputs demonstrated a vigorous model for significant and productive research collaborations with partners in the creative industries, educational bodies, charities and trusts, government agencies and local authorities. For professional artists making the transition into a research-led environment, however, mentoring structures did not always provide a robust framework to encourage them to reflect analytically on their creative practice and articulate it as research.

65. With ECRs too, the strongest environments indicated and evidenced in detail the specific mentoring procedures in place to support staff. Here evidence of sensitivity to teaching loads, as well as training programmes around the development of a research portfolio, publication opportunities, grant applications and PGR supervision were notable. Active and inclusive seminar programmes were also evidence of an environment in which established staff could show research leadership in developing departmental specialisms and research groups involving ECRs. It was also noted that an increase in the number of postdoctoral researchers has not necessarily been matched by enhanced mentoring and research development processes. In some cases, early career research outputs might easily have been improved with more collegial support systems from experienced researchers in place.

66. Too often the weakest section of the template was that relating to staffing and staff development, where the narrative often seemed over-reliant on generic and institutional procedures. The best templates were animated by specific examples of ways in which the department or faculty had itself supported staff at all career levels, whether financially or by other means, linking this support to successful outcomes. In some cases such examples were indeed evident in other parts of the document.

### **PGR students**

67. The expansion of PGR is evidenced in the 1,314 doctorates awarded during this REF period – a percentage change of 60.2 per cent over the period of assessment. (See paragraph 92 and table 11 of the Main Panel section.) The most persuasive environment statements evidenced strong institutional support through well-articulated procedures and finance for field-work, travel and conferences; training programmes that reflected the research imperatives of the discipline, rather than purely generic needs; and strong external links, for example in relation to PaR. Vitality and sustainability were evidenced both by statistics and by specific instances: for example, awards from funding bodies, performance opportunities, completion rates, prizes, publications and appointments, PGR students taking a leading role in organising seminars, conferences, and workshops, and in promoting and disseminating innovative research through electronic journals. In the strongest submissions it is clear that PGR students are fully integrated into the wider research culture of the HEI in a sustainable way; some smaller or emerging units demonstrated a structure for postgraduate supervision and training, but offered little evidence of how they might attract PGR students into the future (through HEI funding initiatives, external grants etc.).

68. The Sub-panel has noted that the HEI employment frame is in transition, and that there are proportionately fewer opportunities for postdoctoral employment within the sector than there have been in recent years. Few institutions appear to have opened out or developed their training for doctoral students to reflect this. Partnerships with bodies outside HE and the impact agenda may help with this in future, in terms of providing different and wider employment opportunities for researchers and their research. There is evidence of more opportunities for part-time PGR study which has benefits for equality and diversity. The sector may now wish to consider ways in which it might put into place more robust strategies for providing PGR environments conducive to part-time study.

### **Income, infrastructure and facilities.**

69. While the Higher Education Statistics Agency (HESA) dataset does not make it possible to accurately calculate the shifts in research grant capture since RAE2008, there is enough evidence to suggest a marked rise in external research funding over the period of assessment, with a total submitted to the UOA of £53,454,304 – an average of £47,000 per FTE. The strongest templates provided concrete examples of how research funding had strengthened the staff base, brought in ECRs, generated new areas of research or fed into particular outputs submitted.

70. The Sub-panel notes the increase in funding from Research Councils. This was reflected in a range of outputs from monographs to edited collections, from critical editions to creative practice. Declining success rates and increasing competition for funding in general as well as shifts in funding priorities during the census period (with the demise of the AHRC's Research Leave Scheme and Fellowships in the Creative and Performing Arts) have had implications on the research landscape in our sector. To ensure that the fullest range of world-leading and internationally excellent research activity is sustained and nurtured into the future, vigilance will be required regarding the balance of funding schemes available from Research Councils and other agencies. This is especially important given that the effects of EU funding are only just beginning to be felt in our disciplines.

71. PaR was often funded by non-HESA-listed sources including national Arts Councils, orchestras and opera houses, recording companies, broadcasters, national and local government bodies and think tanks. A number of submissions took the opportunity to narrate such multiple sources of income, although in some cases it was unclear how this income linked to research outputs rather than professional practice or pedagogical initiatives.

72. In some cases, it was frustrating that HEIs had not provided the specific information requested in paragraph 109 of the 'Panel Criteria and Working Methods'. The focus was too often on grant income alone, with insufficient acknowledgement of facilities and infrastructures for research. It was clear that in some cases institutional support did not fit need, in terms of the provision of the physical spaces required for research in the areas covered by UOA 35. While a number of departments have been supported through recent investment in facilities, these were not always directly related to an environment conducive to producing research of world-leading quality. HEIs are encouraged to present such material in a way that responds most compellingly to the questions posed in the criteria.

### **Contribution to the discipline**

73. The final section of the environment templates revealed the extraordinary level of contribution made by individuals and departmental initiatives to all of the sub-disciplines represented by UOA 35. This contribution ranges across the entire spectrum of academic and cultural endeavour, and again illustrates the profound impact that research in these fields exerts at every level. Collaboration is the lifeblood of much of this research, and it is therefore not

surprising that there was considerable evidence of world-leading and internationally excellent contribution here, with individual staff involved in a very wide range of activities appropriate to career stage.

74. Templates demonstrated the key role that UK researchers play in leading the sector through editorial work, the steering and development contributions to subject associations and scholarly societies, the organisation of conferences and symposia, advice, consultancy and collaborations with industry and engagements with artistic practice at the highest level, extensive international collaborations and partnerships, peer review activities and strategic decision-making, the examination of doctorates in the UK and abroad, and the generation of new initiatives to disseminate research findings across and beyond the sector. The impressive number of international prizes and awards listed provides further indication of the outstanding quality of disciplinary contributions to music, drama, dance and the performing arts from researchers in the UK, confirming our position as indisputably a world leader in research in these fields.

### **Maintaining our world-leading position**

75. The outstanding quality and impact of research across the performing arts does not come without a price. The sector's infrastructure and equipment needs are closer to those of STEM subjects than to some other areas of the humanities, and continued investment is essential if we are to remain world-leading. The digital revolution has had a profound effect on the equipment and venues now used in performing arts research and creative practice: theatres and concert halls with ever more advanced sound and lighting requirements, and rehearsal studios with sprung floors; top-quality digital projection facilities and 35mm film projection; equipment and studios for the highest quality audio/video recording and production, including digital non-linear editing facilities; TV studio space and facilities; pianos, organs and historical instruments needing high-level maintenance and conservation; state-of-the-art computer laboratories for electroacoustic music and digital arts creative practice, for audiovisual analysis and motion capture, for medical or psychological experimentation. All of these require highly specialised technical staff in support.

76. It is important to emphasise that while these facilities may sometimes overlap with teaching and other HEI responsibilities, the research dimension needs to be specifically nurtured if our international reputation for innovation and engagement with the creative industries is to be maintained. Technical advances mean that the equipment needed to carry out and document our research is changing ever faster, making ever more pressing demands in the current economic climate both for the maintenance of existing resources and for the development of new resources. The evident success of PaR and its contribution to the nation's cultural economy represent a remarkable return on investment, but it is a success that can only be sustained by a level of investment that reflects the ever-changing technological landscape.

### **Overview**

77. Research in music, drama, dance and the performing arts (across a range of different kinds of higher education institutions) shapes disciplinary trends, brings a distinctive voice to the creative industries and influences a wide range of areas outside the creative sector. It provides an important space for debates, discussions and dialogues, and an invaluable source of innovative thinking and creative invention that shapes the cultural landscape in the UK and across the world. Through innovative and internationally esteemed outputs, the dynamic research environments in which they are produced and the diverse impacts they generate, the sub-disciplines of UOA 35 undoubtedly represent a leading force within and beyond higher education, nationally and internationally.

78. Its success, amply repaying the investment to date, can be measured in:
- The outstanding contribution to knowledge made by the originality and diversity of world-leading and internationally excellent outputs in all the sub-disciplines represented by the UOA, including scholarship of the highest international distinction.
  - The world-wide standing of the sector, out of proportion to its size in absolute terms, as illustrated by the dissemination and reception accorded to research outputs and by the prolific involvement of researchers in international networks both within and beyond higher education.
  - The profound influence on the creative sector through the quality of research produced by prestigious creative practitioners within the academy.
  - The embedding of practice-as-research (in a wide variety of incarnations) within the research landscape, with the strongest submissions providing models for the international community in the powerful connections forged between theoretical research, the creative industries and broader publics.
  - The extraordinary diversity of wide-reaching impacts exemplified by the case studies across all the creative industries, and extending to education and community projects, health and wellbeing, urban and rural regeneration, and a variety of scientific innovations including technology for a range of users.
  - The quality of partnerships and collaborations that have been established (both in the UK and internationally) as foundational structures for research and its dissemination (including robust relationships with local government, urban organisations and NGOs, funding bodies and charities), models of engagement that have already proved influential across HEIs in their approach to impact.
  - The highly significant role of early career researchers, in terms of outputs, impact and contribution to the research environment – leading the sub-panel to conclude that outstanding and innovative research in music, drama, dance and performing arts will be sustained into the foreseeable future.

## UOA 36: Communication, Cultural and Media Studies, Library and Information Management

1. All sub-panel members have discussed and collectively agreed this report. It should be read alongside the Main Panel D section which deals with matters of generic interest.

### Summary of submissions

2. The sub-panel was a composite of two sub-panels in the 2008 Research Assessment Exercise – 37 (Library and Information Management), and 66 (Communication, Cultural and Media Studies). In 2008 Sub-panel 37 received 21 submissions including 1,210 outputs. Sub-panel 66 in 2008 received submissions from 47 institutions, and the number of outputs submitted was 2,177. In the 2014 exercise Sub-panel 36 received submissions from 67 institutions, including three multiple submissions, and 3,518 research outputs. The number of research active staff was 1,019 (934.71 FTE) of whom 170 were early career researchers. The sub-panel undertook its assessment as a single coherent unit, though some observations specific to its two major areas of concern are included in the following overview. The sub-panel received submissions from across the sector and from all regions; of the 67 submissions 57 were from England, six from Scotland, one from Northern Ireland, and three from Wales.

**Table 1: Summary of submissions**

	Number of submissions	Cat A FTE staff	Cat A and C headcount staff	Research outputs	Double-weighted outputs	Outputs per person	Impact case studies (ICS)	FTE staff per ICS
<b>REF2014</b>	<b>67</b>	<b>935</b>	<b>1,019</b>	<b>3,521</b>	<b>70</b>	<b>3.46</b>	<b>160</b>	<b>5.8</b>
RAE2008	68	845	904	3,387	–	3.75	–	–
% difference	-1.5%	10.7%	12.7%	4.0%	–	-7.7%	–	–

3. In establishing its working methods UOA 36 adhered to the assessment principles and framework adopted across Main Panel D (see paragraphs 21-31 of the Main panel D report) and participated in the calibration exercises that were conducted within the sub-panel and then across the main panel (see paragraphs 32-38 of the Main Panel D report).

**Table 2: UOA average profiles**

	% 4*	% 3*	% 2*	% 1*	% uc
<b>Overall</b>	<b>29</b>	<b>38</b>	<b>24</b>	<b>8</b>	<b>1</b>
Outputs	23.4	39.3	26.6	9.7	1.0
Impact	35.2	42.0	17.0	3.8	2.0
Environment	41.2	34.0	19.6	4.5	0.7

4. The sub-panel found a generally excellent profile of research across the submissions, with roughly two thirds of research being world-leading or internationally excellent. Impact was a strong element of submissions because in many of the fields within the sub-panel's remit research impact, and the deployment of research results, have long been inherent aspects of research in these fields. Thus, the sub-panel considered that impact had for many years been an

integral aspect of the research undertaken in many areas within its remit, and in describing the impact of research institutions had successfully demonstrated how far such benefits beyond the academy were already well established features of much of this research. The relatively strong scores recorded here thus reflected the maturity and established character of research impact on many of the areas considered.

5. As the published criteria and remit make clear there are several areas of overlap between the fields of primary interest to the two panels as constituted for the 2008 RAE. Nonetheless, having argued strenuously many years ago for the separation of fields whose common attachment to terms like communications and information masks substantive differences of intellectual origins, approach, and interest (such that in many HEIs they would be found not just in different departments but in different faculties or schools), the consolidation of these fields into a single UOA poses continuing difficulties that may need revisiting for a future exercise, not least as both broad fields are thriving and extensive.

## Outputs

**Table 3: UOA average outputs sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Outputs	23.4	39.3	26.6	9.7	1.0

6. The sub-panel was pleased to note a generally high level of research quality, which has been sustained or improved on since 2008. Over half the outputs assessed were internationally excellent or world-leading.

7. In Communication, Cultural and Media Studies the sub-panel noted particular strengths in many areas, especially in work with theoretical focus, historical dimensions, and policy relevance, and in areas such as digital communications, public relations, radio, and film studies (both theoretical work but also some excellent, focussed empirical studies of aspects of film and cinematic cultures). The sub-panel considered that research in many 'mainstream' areas of the field, for example in political communications, may well have been submitted elsewhere in the REF exercise.

8. The sub-panel noted much excellent empirical work, but found a relative paucity of methodological sophistication, especially, though not only, in relation to studies of audiences. There was considerable analysis of media and communications texts demonstrating sophisticated and astute analytical skills applied to the investigation of media culture in various forms.

9. In Library and Information Management it was noted that there was a range of research strength demonstrated, though it was noted, however, there was a marked reduction, as compared to 2008, of research in information systems, which was likely to have been submitted to another main panel.

10. Work was submitted, as expected and encouraged, in a diversity of formats. In some cases, and not only in 'non-traditional' forms, the research aspects of the work submitted were not self-evident nor explained, and on many occasions submitting institutions had not sufficiently acquainted themselves with the REF guidance defining research, and thus had often failed to take advantage of the opportunity to submit additional information clarifying the research basis of the submitted work. The sub-panel welcomed and rewarded research quality evident in practice-led research, but considered that additional information supplied was sometimes less comprehensive and focussed than was needed to make clear the research element in such work.

11. Work of all types and in all formats was assessed for quality using identical criteria related to originality, significance and rigour. It was noted that practice-led research was as likely to be assessed as of high quality as any other form of output. Although the format and location of an output were irrelevant to assessment of its quality, the sub-panel assessed a high proportion of book chapters to be of less than 3\* quality, often finding them to be relatively routine or unoriginal even if sound and substantially summarising existing knowledge. The full range of research quality was found by the sub-panel in all forms of output assessed.

12. Only 70 outputs claimed double-weighting, which in almost every instance was accepted. The sub-panel judged that institutions had been a little too cautious in claiming double-weighting (as is noted in the Main Panel report this seems to be true of many submissions to sub-panels in MPD), and the sub-panel had no possibility to assign double-weighting where not claimed. When claimed and accepted most (c. 90 per cent) double-weighted outputs were assessed to exhibit 3\* or 4\* quality, compared to just over 60 per cent of outputs not claiming double-weighting.

13. Interdisciplinarity is so well established and inherent in the fields covered by Sub-panel 36 that it is almost 'taken for granted'. To that extent the sub-panel was not surprised to see relatively sparse use of the interdisciplinary flag available to submitting institutions. The sub-panel regarded this as an indicator of the extent to which interdisciplinarity is very frequently the norm in the fields considered, and in that sense would have been regarded as an unnecessary special claim. Notwithstanding the sparing use of the interdisciplinary flag, the sub-panel was especially pleased to note the volume and quality of interdisciplinary work within the work submitted to it.

14. The converse of this, however, was a large volume of submitted material which lay beyond the range of the sub-panel's published remit, where it was felt that institutions were either inadvertently or strategically using the rules of the REF exercise to allocate staff and outputs beyond their 'natural' subject homes. As a consequence the sub-panel cross-referred 12.5 per cent of outputs submitted to it to 19 different sub-panels for expert advice. The advice received then informed, but did not dictate, the quality level assigned, which in every case was determined by the criteria of the sub-panel to which the work was submitted. The Sub-panel ensured that no submission was advantaged or disadvantaged by this phenomenon.

**Table 4: Cross-referrals**

	Into sub-panel		Out of sub-panel		Difference		Outputs Submitted
Within MP	34	1.0%	316	9.0%	-282	-8.0%	3,521
Outside MP	4	0.1%	123	3.5%	-119	-3.4%	
<b>Total</b>	<b>38</b>	<b>1.1%</b>	<b>439</b>	<b>12.5%</b>	<b>401</b>	<b>11.4%</b>	

15. The sub-panel felt that it was difficult to use the submissions as a clear and accurate indicator of trends in the fields assessed, due to the range of sub-panels to which work they would regard as within their fields may well have been submitted. Thus it was noted that much work on information systems was almost certainly being undertaken though not submitted to Sub-panel 36. Similarly, much work in media sociology or political communications, both internationally regarded as strengths in UK media communication research, was little in evidence in the work assessed, though members regarded its absence as almost certainly not a sign of any trends within the field. The Sub-panel did note a distinct re-assertion of the vitality of film studies, both textual and institutional, and a very sensitive and creative range of work on regional and local

issues through a variety of media formats. There was also much impressive work on digital media, media policy, and historically informed research.

## Impact

**Table 5: UOA average impact sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Impact	35.2	42.0	17.0	3.8	2.0

16. Impact was a new element in the assessment process and one which shows major strengths in the fields assessed by the sub-panel. Over three quarters of the work submitted was regarded as having outstanding or very considerable impact in the areas concerned. In library and information management this was especially notable in the following areas: digital humanities including preservation, management and accessibility of digital heritage artefacts and archives; user behaviour in relation to information technologies including enhanced user experiences and access to technologies, information literacy particularly in schools, universities and libraries; design of algorithms and supporting technologies for a variety of applications including rural communities, the environment, market research and commercial applications; technologies to support policy making in archives and libraries, industry and specialist applications. In communication, cultural and media studies the impact of research on policy discussion, in professional development, and in public understanding were especially noted. The sub-panel noted especially how research had informed directly policy making in the cultural and creative industries, and how research in such fields as regional culture and heritage, film making, journalism practice, media consumption, 'new' digital media including 'social media', was impacting on public discourse, cultural life, and policy making.

17. While the strongest case studies demonstrated clearly the link between excellent research and its impact beyond the academy, in some cases there was insufficient explanation of how dissemination led to impact, nor how the underpinning research had led to benefits for the users identified. In some cases presentations of impact displayed some confusion in the relation between impact, knowledge transfer and dissemination.

18. In all areas the comments and assessment of user members of the sub-panel were vital. There were four such impact assessors on Sub-panel 36 and they attended all meetings where impact was discussed, and were involved in all impact assessment, bringing a welcome and valuable perspective to this aspect of the exercise. User members brought to the sub-panel's discussion a rich range of experience from fields including the national communications regulator Ofcom, the BBC, the National Media Museum, and the Libraries, Archives and Guildhall Art Gallery of the City of London. All had diverse experience of using and commissioning research.

## Environment

**Table 6: UOA average environment sub-profile**

	% 4*	% 3*	% 2*	% 1*	% uc
Environment	41.2	34.0	19.6	4.5	0.7

19. The sub-panel was careful to ensure that its deliberations were informed by the criteria and not by recourse to any extraneous information. Its proceedings were observed by international members from Main Panel D. The Sub-panel found it helpful to be provided with the

standard data analyses; these helped to inform, but did not determine, its deliberations. In accordance with the assessment criteria, the sub-panel considered and assessed each component of environment separately, and all sub-panel members read all environment templates.

20. The sub-panel noted the very high quality of research environments described, notably in setting out the nature of support for research, research training, and interdisciplinary work. The sub-panel was impressed by the richness of research environments and by the creative use of research funding by submitting units.

21. Research training continues to be important. It was noted that 962 doctoral degrees were awarded in the period, and external research income across all fields was £64.04 million. The number of doctoral students cannot be disaggregated by nationality, but even if many are from overseas the number speaks well of the very high regard for UK scholarship and leadership in these fields. The sub-panel noted the very welcome increase in doctoral degrees awarded, which rose from 172 in 2008-9 to 206 in 2012-13. It is plainly vital for the future development and vitality of the fields that research training of young academics continues to thrive and is well supported.

22. The dual funding system remains vital for the support and sustainability of these fields. The largest single source of research support for research active staff was that from RCUK and similar bodies. This is contrasted with funding from UK industry, commerce and public corporations, which contributed 3.4 per cent of research funding over the period. Research environments were judged by the sub-panel to contain the highest quality levels of any sub-profile, with three quarters being judged to be of 4\* or 3\* quality. Despite what is often limited funding, the components of the research environment, including support for staff, postgraduate supervision, and infrastructural elements were convincingly described and their high quality evident. The Sub-panel noted however the crucial importance of sufficient funding to provide the continuity, sustainability, and centrality of research in fields that are dynamic, of high international regard, and vital to both economy and academy.

23. It was felt that, where sufficiently explained, equality and diversity concerns were actively addressed at both institutional and unit level. However in some cases no information was provided (though required), and many institutions seemed minimally engaged with equality and diversity concerns.

## **Overview**

24. The sub-panel operated effectively and efficiently as a coherent unit, and applied successfully the procedures and recommendations of the Main Panel. The sub-panel was generally impressed by the overall rise in quality levels evidenced by the assessment, which it regarded as unquestionably a reflection, at least in part, of actual improvements in the quality of research.

## **Glossary of terms**

### **AHRC**

Arts and Humanities Research Council

### **D/W**

Double-weighting

### **ECR**

Early career researcher, defined in the REF as members or staff who meet the criteria to be selected as Category A or Category C staff on the census date, and who started their careers as independent researchers on or after 1 August 2009.

### **ESRC**

Economic and Social Research Council

### **FTE**

Full-time equivalent. Used as an alternative to headcount to indicate the actual volume of activity.

### **HEI**

Higher education institution

### **MPD**

Main Panel D

### **NGO**

Non-governmental organisations

### **PaR**

Policy as research

### **PGR**

Postgraduate researcher

### **RAE**

Research Assessment Exercise

### **RCUK**

Research Councils UK

### **REF**

Research Excellence Framework

### **SMEs**

Small and medium-sized enterprises

### **SP**

Sub-panel

### **STEM**

Science, technology, engineering and mathematics

**TRS**

Theology and religious studies

**UOA**

Unit of assessment