**CAP process – College of Science and Engineering**

- we need a robust assessment of where we stand in the run up to REF 2013
- we seek to do this with a minimum administrative load both on individual academics and the panel assembled to perform the assessment (CAP)
- it is essential that this process be benchmarked/calibrated against external metrics
- although the data provided in P&DR cannot be used for this purpose, informed copying and pasting of that data by the academic is encouraged
- calibration of the UoA for REF 2013 cv. RAE08 is a key output

**The CAP and its role**

The CAP will include the Research Convener for each school and (where different) the REF champion(s) from each school, all former RAE panel members, and the Dean for Research. Large schools may have several REF champions. The CAP will comment on and review a profile for each academic based on (up to) seven scores, as defined below. The outcomes will include (1) comparison of current UoA profiles (i.e. % of 4, 3, 2, 1 *) with those obtained in RAE 08, bearing in mind changes to panel constituencies and (2) advice and recommendations to Heads of School, the College VP and Research Dean, and the REF WG. The CAP will comment explicitly on profiles where less than 4 publications have been submitted, justifying their recommendations and conclusions.

**The School teams and their role**

The School team consists of the HoS, RC, REF champion(s) and any relevant former RAE panel member. The school team will derive a profile for each academic, as defined below.

**Derivation of Scores**

**Outputs** (up to 4 scores) – based on papers identified by each academic and entered into Enlighten along with self assessment score 100 words

The assessment will depend on the culture of the UoA. In some UoAs, assessment will be informed by

- Impact factor of journals (where available)
- INCITES "percentile in field"
- citation count as a multiple of INCITES world average (cf 4x and 3x corresponding to Pilot REF)

For papers published in 2008 and 2009 Score (1* - 4*) based on citation count vs. world average (pilot REF formula). For papers published in 2010, HoS in consultation with UoA Champion/CAP member make judgement informed by relative impact factor. In every case the CAP will establish whether the role played by author merits the credit of the paper.
While this information will be available for every UoA, for some UoAs (e.g. Computing Science) it may be supplemented with additional data from Google Scholar. For some UoAs (e.g. Maths and Computing Science) the citation data may be irrelevant or premature and more reliance will be placed upon the judgment of former RAE panel members, champions and HoS who will read the papers and assess the reputation of the publication venue, where appropriate. The view of former RAE panel members will be crucial in these cases.

**Indicators of esteem** (1 score)– identified by each academic and entered into Enlighten. This entry could be critically based upon answers given in the P&DR form. Single score (1* - 4*) assigned by HoS in consultation with UoA Champion/CAP member.

**Grant Income and Student number** (2 scores)– provided by central services. Both aspects will be given scores (1* - 4*) based on comparison with Russel Group average (income/FTE) >2 x RG = 4*, >1 x RG =3*, <1xRG=2*, <0.5 xRG =1*. HoS in consultation with UoA Champion/CAP member to modify dependent on sub-field. HoS in consultation with UoA Champion/CAP member to take note of any special circumstances and adjust profile accordingly.

**Modification of scores**
All seven scores will be reviewed and potentially modified by the School team (primarily HoS in consultation with relevant UoA Champion/RC/RAE panel member). Profiles to be returned to CAP for comment and review.

**Additional Information**

**Collection of Impact** – identified by each academic and entered into Enlighten. This entry could be critically based upon the P&DR form. No score will be given to individual academics, rather the entries will be considered to form the basis of future case studies.
Assessment Summary – 7 grade profile for each academic
All staff assimilated to give a school/UoA profile

<table>
<thead>
<tr>
<th>Assessed item</th>
<th>Method of assessment</th>
<th>Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Papers – entered by each staff member in Enlighten</td>
<td>Led by citation metric/impact factor – moderated by HoS/REF champ.</td>
<td>4*-1* (cf RAE08) one score for each paper</td>
</tr>
<tr>
<td>Indicators of Esteem – entered by each staff member in Enlighten</td>
<td>Graded by HoS/REF champs.</td>
<td>4*-1* (cf RAE08)</td>
</tr>
<tr>
<td>Grant Income – data provided by R&amp;E</td>
<td>Compared with Russell group average for UoA, moderated by HoS/REF champ.</td>
<td>4*-1* (cf RAE08)</td>
</tr>
<tr>
<td>PGR number – data provided by R&amp;E</td>
<td>c.f. to Russel group average for UoA</td>
<td>4*-1* (cf RAE08)</td>
</tr>
<tr>
<td>Impact - entered by each staff member in Enlighten</td>
<td>Collated for use by REF Champ for subsequent prep for REF 2013</td>
<td>Not assessed at individual level</td>
</tr>
</tbody>
</table>
Answers to supplementary questions

• Disciplines for which normalised citation metrics are required

In the first instance we would like citation metrics (InCites) for all papers submitted from our college.

For some UoAs (e.g. Computer Science) we may supplement these with additional data from Google Scholar. For some UoAs (e.g. Maths) the citation data may be premature and more reliance may be placed upon judgment of former RAE panel members who will read the papers where appropriate.

• A list of Research only staff to be included in the exercise

In the first instance we propose to include all academic staff paid for from general funds and any supported by competitively won fellowships (e.g. Roy. Soc., RSE Roy., Acad. Eng.)

• Contact details for an Administrative Contact(s)

Iain McNeil

• Details of the membership of the CAP

Dean for Research, Research Conveners for each school and (where different) REF champion(s) from each UoA + and former RAE panel members will be invited.

• How the significant workload will be managed.

By collecting all the data we need through a single portal, i.e. Enlighten. By basing our profile upon simple metrics, as much as possible, normalised citations, normalised grant income, moderated by HoS and UoA champ who will further make judgment on indicators of esteem. In some cases, the workload will simply be heavy.

• Whether “in press” outputs will be considered

Articles accepted for publication and scheduled for publication well within the RAE period will be considered.

• Whether substantial outputs such as monographs will be double weighted

No

• Contact details for Unit of Assessment Champions. Where Units have multiple Champions details of the remit for each should also be provided.

Iain McNeil will provide
**Timescale and Responsibilities**

1-30 Oct. CAP procedure developed and approved by REF working party.

15 Nov. Staff submit data through Enlighten portal.

1 Dec. R&E provides PGR and Grant income data and calibrates against Russell Group averages for each subject/UoA.

1 Dec. The library compiles citation data from InCites associated with each submitted paper. The College may provide funding for additional support, if required.

1-10 Dec. Staff check data and make any corrections.

10 Dec. – 5 Feb. School teams study complete data reports and modify as appropriate.

5 Feb. School teams requested to identify bids to College research fund for in year investments.

5 Dec. – 15 Mar. CAP review all school profiles and compares with those obtained in RAE 08, bearing in mind changes to panel constituencies. Offer advice and recommendations for schools, VP and Dean. Submit reports to REF WG. Probably two half day meetings.

April Copies of individual profiles given to each HoS.

27 October 2010