

Annex A

Information required in the REF survey of submission intentions

1. For **each Unit of Assessment (UOA)** that the institution intends to submit in, the following details are required¹:
 - a. Total number of Cat A staff (FTE).
 - b. Total number of Cat A and Cat C staff (headcount) – this will be calculated automatically using the headcount attributed to each research specialism.
 - c. Statement about the areas of impact to be included in case studies (max 300 words).
 - d. Whether involved in a joint submission and if so, with which HEI(s).
 - e. The name of each research specialism to be submitted in the UOA; and for **each specialism**:
 - number of Cat A and C staff (headcount to the nearest integer²)
 - language(s) and numbers of any outputs not in English
 - number of outputs for which cross-referral requests are intended, and the relevant UOA(s).
2. Further details of what is meant by ‘areas of impact’ and ‘research specialism’ are set out below.

Areas of impact statement

3. We require a statement (max 300 words) that outlines the ‘areas of impact’ your institution anticipates submitting in the UOA. We expect to appoint additional user assessors to all sub-panels, and it is important that their selection is based on as clear a view as possible of the main anticipated areas of impact to be submitted.
4. The statement should list the main areas of impact you anticipate including in the submission, and the likely number of case studies relating to each area. Each entry should briefly identify the nature of the impact and the particular sector or constituency that has been affected (and, if relevant to the sub-panel’s expertise

¹ Where the HEI has been authorised to return multiple submissions in a UOA, a single return to the survey should be made, providing data for all submissions in that UOA combined.

² Where an individual will be contributing outputs to multiple research specialisms, for the purposes of the survey they should be apportioned between those specialisms. (For example, if an individual will be returned with two outputs in each of two specialisms, the headcount of that individual should be 0.5 in each of the two specialisms).

requirements, its geographical location). This information should focus on the *impact* – not the underpinning research.

5. In defining the areas of impact the level of detail provided should be sufficient for the panel to identify the kind of user expertise that would be relevant for the assessment. Some examples (based on submissions to the impact pilot exercise) are provided in Table 1 below, to indicate the level of detail required:

Table 1: Examples of areas of impact

Example	Not sufficiently detailed	Sufficiently detailed
Example 1	Impact on 'policy development'	Impact on 'child support policy' or 'rural housing policy'
Example 2	Impact on 'health services' or 'clinical practice'	Impact on 'treatment of diabetes' or 'stroke prevention'
Example 3	Impact on 'business performance'	Impact on 'the consumer electronics industry' or 'decision-making in the oil business'
Example 4	Impact on 'cultural enrichment'	Impact on 'preserving and presenting regional literary heritage' or 'public engagement with contemporary visual arts'

6. We understand the information may be tentative. If applicable, you may distinguish between those areas of impact that are likely and those that are possible but uncertain at this stage. You may either state the impact area(s) for each anticipated case study or – particularly for larger submissions – summarise them. For example, the statement could say: 'We anticipate impacts will be in area x (3 to 4 case studies), area y (2 to 3 case studies) and possibly area z (1 case study).'
7. Where individual case studies cover more than one main area of impact, this should be indicated in a way that enables the panel to understand how the areas of impact relate to the number of case studies.

Research specialism

8. Depending on the UOA, 'research specialism' should be defined according to one of the following:
 - a. Using the research specialisms as listed in the UOA descriptors (set out in the ['Panel criteria and working methods'](#)) and **only where appropriate**, also providing

more detailed specialisms as defined by the HEI. Where the research does not map to the UOA descriptors, please provide HEI-defined specialisms.

b. Using the research specialisms as listed in the UOA descriptors (set out in the [‘Panel criteria and working methods’](#)) **and in addition** providing more detailed specialisms as defined by the HEI (as the UOA descriptors are too broad on their own). Where your work does not map to the UOA descriptors, please provide HEI defined specialisms.

c. Using research specialisms as defined by the HEI.

d. Using a list of research specialisms provided by the sub-panel. These lists are available for download as Annex B and Annex C from the [‘Invitation to complete the REF survey of submission intentions’](#) on the publications page of the REF web-site.

9. Table 2 below sets out which of the above options applies to each UOA, and also indicates any additional information required by specific sub-panels.

10. Whichever option is being used, the research specialisms listed in your survey response should be defined in **sufficient detail for the sub-panels to be able to map the specialisms to the expertise of panel members**, to ascertain where additional expertise may be needed and to estimate the workload on existing panel members.

Table 2: Research specialism data requirements by UOA

Unit of Assessment		Research specialism data requirements
1	Clinical Medicine	c. HEI-defined specialisms (research groups where possible)
2	Public Health, Health Services and Primary Care	c. HEI-defined specialisms
3	Allied Health Professions, Dentistry, Nursing and Pharmacy	b. UOA descriptor and more detailed HEI-defined specialisms
4	Psychology, Psychiatry and Neuroscience	c. HEI-defined specialisms
5	Biological Sciences	c. HEI-defined specialisms (research groups where possible)
6	Agriculture, Veterinary and Food Science	a. UOA descriptor and where appropriate more detailed HEI-defined specialisms
7	Earth Systems and Environmental Sciences	c. HEI-defined specialisms

8	Chemistry	c. HEI-defined specialisms
9	Physics	b. UOA descriptor and more detailed HEI-defined specialisms (research groups where possible)
10	Mathematical Sciences	a. UOA descriptor and where appropriate more detailed HEI-defined specialisms
11	Computer Science and Informatics	d. List of specialisms provided as Annex B
12	Aeronautical, Mechanical, Chemical and Manufacturing Engineering	c. HEI-defined specialisms (research groups where possible)
13	Electrical and Electronic Engineering, Metallurgy and Materials	c. HEI-defined specialisms (research groups where possible)
14	Civil and Construction Engineering	c. HEI-defined specialisms (research groups where possible)
15	General Engineering	c. HEI-defined specialisms (research groups where possible)
16	Architecture, Built Environment and Planning	b. UOA descriptor and more detailed HEI-defined specialisms
17	Geography, Environmental Studies and Archaeology	b. UOA descriptor and more detailed HEI-defined specialisms
18	Economics and Econometrics	c. HEI-defined specialisms
19	Business and Management Studies	a. UOA descriptor and where appropriate more detailed HEI-defined specialisms
20	Law	a. UOA descriptor and where appropriate more detailed HEI-defined specialisms
21	Politics and International Studies	a. UOA descriptor and where appropriate more detailed HEI-defined specialisms. In addition indicate the regions of the world that formed the substantive focus of the work.
22	Social Work and Social Policy	d. List of specialisms provided at Annex C
23	Sociology	a. UOA descriptor (from paragraph 19, Part 2c of the ‘panel criteria’) and where appropriate more detailed HEI-defined specialisms

24	Anthropology and Development Studies	a. UOA descriptor and where appropriate more detailed HEI-defined specialisms. In addition , indicate the regions of the world that formed the substantive focus of the work.
25	Education	b. UOA descriptor and more detailed HEI-defined specialisms
26	Sport and Exercise Sciences, Leisure and Tourism ³	b. UOA descriptor and more detailed HEI-defined specialisms
27	Area Studies	b. UOA descriptor and more detailed HEI-defined specialisms
28	Modern Languages	a. UOA descriptor and where appropriate more detailed HEI-defined specialisms
29	English Language and Literature	a. UOA descriptor and where appropriate more detailed HEI-defined specialisms
30	History	a. UOA descriptor and where appropriate more detailed HEI-defined specialisms. In addition , indicate the chronological period: medieval, early modern, 18th century, 19th century, or 20th century.
31	Classics	a. UOA descriptor and where appropriate more detailed HEI-defined specialisms.
32	Philosophy	a. UOA descriptor and where appropriate more detailed HEI-defined specialisms.
33	Theology and Religious Studies	c. HEI-defined specialisms
34	Art and Design: History, Practice and Theory	c. HEI-defined specialisms
35	Music, Drama, Dance and Performing Arts	b. UOA descriptor and more detailed HEI-defined specialisms
36	Communication, Cultural and Media Studies, Library and Information Management	b. UOA descriptor and more detailed HEI-defined specialisms

³ Name of UOA was updated to reflect the full name of this unit (October 2012)