

This statement should be read alongside the statement for Main Panel J and the generic statement.

Absences of chair and declaration of interests

1. For when the chair is absent, the sub-panel has elected a deputy chair who shall act on the chair's behalf. Where consensus cannot be reached, decisions will be deferred until the deputy chair has an opportunity to consult with the chair. The deputy chair may also represent the chair in cases of planned absence when reporting to the main panel.
2. Members will declare in advance any conflicts of interest. Members will not participate in any aspect of the assessment of a submission from an institution in which they have declared a major interest, and will withdraw from the meeting whenever it is discussed. In the case of an interest declared by the chair, the deputy chair will lead discussion for that item. Should the chair and deputy chair declare an interest in the same institution, the sub-panel will elect a member to lead discussion for the item.
3. The chair will decide whether members should participate in assessing submissions from institutions in which they declare a minor interest. In the case of the chair, the deputy chair will make this decision. Should the chair and deputy chair declare a minor interest in the same institution, the sub-panel will elect a member to make the decision.

UOA descriptor

4. Anthropology is understood to include the broad fields of biological anthropology, and social and cultural anthropology (including material culture studies, anthropology of development, visual anthropology, performance studies, area studies and medical anthropology).

UOA boundaries

5. The sub-panel expects to receive submissions from all areas of the discipline as set out in the UOA descriptor, but recognises that some of the work submitted might span the boundaries between two or more UOAs. The sub-panel is confident in its ability to assess a wide range of interdisciplinary work, but where such work falls

largely or wholly within the remit of another sub-panel it will be cross-referred to that sub-panel for advice. The sub-panel will also refer work to specialist advisers where their input is likely to aid the assessment process substantially. The UOAs considered by the sub-panel to be the most likely sources and/or recipients of cross-referred outputs are UOA 43 Development Studies, UOA 48 Middle Eastern and African Studies, UOA 49 Asian Studies, and UOA 67 Music (particularly in respect of ethnomusicology).

Research staff

6. The outputs of staff in Categories A and C will be assessed according to the same criteria. In the case of Category C staff, departments should use RA5c to demonstrate the sustained commitment of individuals to the research activity of the department. Examples of such commitment might include: co-authorship with Category A staff, co-directorship of externally funded research grants, supervision of research students, or participation in graduate training programmes. The contribution of any Category C staff for whom a sustained commitment has not been demonstrated will be discounted from all components of the submission. The inclusion of insufficiently integrated Category C staff in a submission may have an adverse effect on the quality profile for the research environment. Staff in Categories B and D will be considered in respect of their contribution to the research environment and esteem.
7. The sub-panel will take account of the situation of early career researchers in the light of the department's research culture and research support, as outlined in RA5. The sub-panel will be looking in particular at arrangements for supporting and developing the research of early career researchers. Departments are encouraged to include staff new to their academic career since 1 August 2003 even though the quantity of their output may not be comparable to that of a more experienced member of staff. Arrangements for the assessment of outputs of early career researchers are set out in paragraph 20.

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8. The sub-panel notes that a number of staff join the academic profession in anthropology later in life, and will take full account of their situation as early career researchers. The sub-panel will not normally take any special account of the situation of newly recruited staff who are not early career researchers.

9. Departments should refer to paragraphs 38-39 below, and to paragraphs 23-24 and 26-28 of the main panel statement for details on how the sub-panel will take account of special individual circumstances. Departments are invited to use the narrative parts of their submissions (RA5b) to describe how such circumstances have negatively affected the contribution of an individual to the submission.

Research outputs

10. The sub-panel regards the submission of four outputs per researcher as the normal expectation for this assessment period.

11. The sub-panels of Main Panel J expect to examine in detail virtually all the outputs submitted. Outputs will be assessed on their own merits in the context of the submitted work of the department as a whole. Departments are encouraged to submit the highest quality outputs published within the assessment period. The sub-panel will also consider whether any adjustment to the overall quality profile should be made to reflect the presence within the submission of items of exceptional scale and scope.

12. All forms of research output will be treated equally – the sub-panel will not rank nor regard any particular *form* of output as of greater or lesser quality than another *per se*. While published books and articles are likely to comprise the majority of research outputs submitted for review, the sub-panel expects to receive a broad range of other research outputs, given the diverse nature of anthropology. The sub-panel will consider finished material which is in the public domain including, but not limited to, articles, books, film, exhibitions, electronic media (including date-stamped copies of web-sites). It will also consider policy reports and other works of consultancy that may be confidential.

13. Textbooks will be assessed insofar as they constitute research and/or scholarship in terms of the RAE definition. The sub-panel will consider research relating to the teaching of anthropology in higher education institutions. Where non-printed works or teaching materials embodying research outcomes have been submitted for assessment, departments should make use of the 'Other relevant details' field (100 word maximum) in RA2 to describe the nature of the research involved so that it is clear what the research content is.

14. Where edited works are submitted for assessment, departments should use the 'Other relevant details' field in RA2 (100 word maximum) to indicate whether it is a selected chapter or chapters, and/or the editorship of the work as a whole, that is to be assessed.

15. Where a new edition of an existing book is submitted, the sub-panel will base its assessment on the extent to which the edition has been significantly revised. Such revisions should be clearly identified in the 'Other relevant details' field in RA2 (100 word maximum).

16. In judging outputs against the quality levels, the sub-panel will consider the following characteristics:

- a. **4*** – **quality that is world-leading in terms of originality, significance and rigour.** This standard will be achieved by a research output that is, or is likely to become, a primary reference point of the field or sub-field.
- b. **3*** – **quality that is internationally excellent in terms of originality, significance and rigour but which nonetheless falls short of the highest standards of excellence.** This standard will be achieved by a research output that is, or is likely to become, a major reference point that substantially advances knowledge and understanding of the field or sub-field.
- c. **2*** – **quality that is recognised internationally in terms of originality, significance and rigour.** This standard will be achieved by a research output that is, or is

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likely to become, a reference point that advances knowledge and understanding of the field or sub-field.

- d. **1* – quality that is recognised nationally in terms of originality, significance and rigour.** This standard will be achieved by a research output that makes, or is likely to make, a contribution to knowledge or understanding of the field or sub-field.
- e. **Unclassified – quality that falls below the standard of nationally recognised work or which does not meet the published definition of research for the purposes of this assessment.**

17. The sub-panel will ensure that it does not apply criteria in a way that the 4* quality level is only attainable by certain types of research or certain types and sizes of department.

18. In all cases the sub-panel will expect originality, significance and rigour to be embodied in work that presents new empirical material, discoveries or substantive findings, generates novel conceptual or theoretical syntheses, tests hypotheses, and/or pioneers innovative research agendas and directions.

19. Where fewer than four outputs per researcher are submitted, the sub-panel will consider each case on its merits in the context of information provided by departments in the narrative parts of the submission, particularly with reference to the situation of early career researchers, staff absences and other special circumstances (see paragraphs 7-9 and 38-39). RA5b must be completed for all researchers who cite fewer than four outputs. Where such circumstances explain the submission of fewer than four outputs per researcher, or are judged to provide partial dispensation, a proportional adjustment will be applied to the submission when constructing the quality profile.

20. With regard to early career researchers, it is the expectation of the sub-panel that staff new to the academic profession who were appointed between 1 August 2003 and 31 July 2005 will submit a minimum of two outputs and that those appointed after 1 August 2005 will submit a minimum of one output. Where fewer than four

outputs are submitted, an appropriate adjustment will be made in calculating the quality profile to ensure that departments are not disadvantaged by their inclusion of early career researchers.

21. The sub-panel recognises that many outputs will be jointly authored and will assess their quality by the standards that apply to all outputs. It expects that a member of staff who returns jointly authored work will have made a substantial contribution to it. Departments will be invited to use the 'Other relevant details' field in RA2 (100 word maximum) to provide information on the proportional contribution of individual researchers to jointly authored works. The sub-panel also accepts that a jointly authored output may be listed by more than one individual in a department's submission. In such cases the output will be assessed at the same quality level, but where it appears that the number of jointly authored works in the submission indicates a lower than normal overall volume of research activity, a proportional adjustment may be applied in constructing the quality profile. Any adjustment applied to a submission will reflect the fact that the quality profile is intended to denote something more than the sum of the contribution of individuals. The sub-panel will ensure that the profile reflects its view of the breadth and depth of research activity in the submission as a whole.

Research environment

Research students and research studentships

22. Quantitative and qualitative information on research students and research studentships will contribute to the sub-panel's assessment of the research environment.

23. The sub-panel will consider the volume of research students in relation to the number of research-active staff, and, where appropriate, the number of research degrees per research-active staff successfully completed in the review period. However, it recognises the factors that can influence research student recruitment: higher numbers of research students will not mechanically be credited as an indicator of

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quality. Departments should explain in RA5a how research student training programmes form part of the research culture.

24. The sub-panel will not normally consider the source of studentships to be, in itself, an indicator of quality.

Research income

25. Quantitative and qualitative information on external research income will contribute to the sub-panel's assessment of the research environment.

26. While acknowledging the importance of external research income for the sustainability of the research environment, the sub-panel is aware that the likelihood of funding may vary considerably across sub-fields within the UOA. Departments should use RA5a to provide a brief commentary on the external research income data set out in RA4, noting any major grants and contracts and explaining how these have contributed to research activity and environment.

27. The sub-panel will not consider the source of research income or the size of grant obtained to be, in themselves, indicators of quality.

Research structure

28. The sub-panel will look for evidence of a research structure based upon clearly stated policies and plans, and will invite departments to outline the following aspects of their research structure in section RA5a of their submission:

- a. Mechanisms and practices for promoting research, and sustaining and developing an active and vital research culture (such as regular workshops and seminars).
- b. The nature and quality of the research infrastructure, including significant equipment and facilities for research students. This should include information on the provision and/or use of specialist facilities and resources which are distinctive to the department and which make a particular contribution to research in anthropology.

c. Arrangements for fieldwork and other forms of current and long-term research.

d. Arrangements for supporting interdisciplinary or collaborative research.

e. Relationships with research users, including the public, private and voluntary sectors and, where appropriate, the account taken of government policy initiatives and objectives.

f. Other UOAs to which related work has been submitted.

g. Any difficulties of fit between departmental structure and UOA framework.

29. The sub-panel recognises the appropriateness of diverse forms of organisation, including those fostering a high degree of research autonomy for the individual, as well as those encouraging larger research groupings and intra- and extra-departmental collaborations. There is no single model, such as the team or research cluster, that is necessarily preferable.

30. Statements should provide verifiable examples.

Staffing policy

31. The sub-panel will invite departments to provide information in RA5a on the following aspects of their staffing policy:

a. Arrangements for developing and supporting staff in their research, including how this fits with their non-research duties. This should include reference to the arrangements made for sustained periods of fieldwork and long-term projects.

b. Arrangements for supporting early career researchers and for integrating them into a wider research culture.

c. Details of the contribution made by staff in Categories B and D to the current strength, coherence and research culture of the department and how their departure might have affected this.

32. Statements should provide verifiable examples.

UOA 42, Anthropology**Research strategy**

33. The sub-panel will invite departments to provide information in RA5a on the following aspects of their research strategy:

- a. Where relevant, an evaluation of research plans submitted in the 2001 exercise. The sub-panel notes that change in response to circumstances may have been a more appropriate strategy than consistency with the plans envisaged in 2001.
- b. A statement about the main objectives and activities in research over the next five years, including any ongoing research work that has not yet produced visible outcomes.

34. Within each area of research activity identified, the sub-panel will seek evidence of vitality and research leadership.

35. Statements should provide verifiable examples, and/or indicate how objectives will be implemented.

Esteem indicators

36. Departments should list indicators of peer esteem and national and international recognition which relate to the staff submitted. The sub-panel recognises that the level and range of esteem indicators likely to be displayed will vary according to the different career stages of the staff submitted. These should be set out in an identified part of RA5a and may include:

- journal and book series editorships and membership of editorial boards
- keynote addresses or prestigious public lectures given
- organisation of conferences or symposia
- membership of Research Councils or advice given to select committees
- advisers on policy or practice issues to government, voluntary bodies, other national, international, regional or local agencies or other contributions to public service
- invitations to advise on the filling of chairs and promotions

- awards and prizes
- international recognition, eg, international research collaborations, visiting research posts in overseas institutions, acting as assessor for national and international Research Councils
- translation of outputs
- competitively-awarded research fellowships
- other prestigious fellowships, eg, Fellow of the British Academy
- significant roles with professional bodies.

Applied research and practice-based research

37. There are substantial levels of applied research and practice-based research activity in the UOAs within Main Panel J. This may include action research and participatory research. The sub-panel will assess the output of this research, which may include confidential reports. The sub-panel fully recognises this type of research and will consider the quality of the research against the same indicators of excellence as other forms of research, ie, in relation to its originality, significance and rigour. The sub-panel invites departments to draw attention to the impact of the research, eg, on the policy-making or user community, in the 'Other relevant details' field in RA2 (100 word maximum).

Individual staff circumstances

38. In assessing submissions, the sub-panel will take account, as a minimum, of the circumstances described in paragraph 39 of the generic statement where the quantity of output in the submission can be said to have been affected.

39. Departments should use the narrative part of their submission (RA5b) to note any special individual staff circumstances which have significantly affected their contribution to the submission. Departments are invited to comment upon the timing, duration and impact of special circumstances in relation to an individual researcher's activity. In the case of part-time staff, departments are also asked to indicate the proportion of an individual researcher's FTE across the assessment period.

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Working methods

40. The sub-panels of Main Panel J have sought to achieve a consistent approach to working methods and criteria where appropriate, unless the context of the discipline requires additional or alternative approaches. Departments should read this statement alongside the generic and main panel statements.

41. The assessment will be one of peer review based on professional judgement, representing the collective decision of the sub-panel and reflecting the quality of each submission as a whole. The sub-panel does not envisage using quantitative indicators to assess the evidence presented, other than those mentioned above in relation to research students, studentships and income.

42. In line with other Main Panel J sub-panels, the weighting accorded each element of assessment will be as follows: outputs 75%, environment 20%, and esteem 5%.

43. To begin the process of assessment, all sub-panel members will read each submission as a whole. The sub-panel will then assess the research environment and esteem elements of the submission. The quality of environment will be assessed by the extent to which it supports or is capable of supporting research activity as defined in the quality levels. The quality of esteem will be assessed by the extent to which indicators of esteem reflect research activity as defined in the quality levels. The sub-panel will then undertake the detailed assessment of research outputs, with each output being assessed by two or more members. Items that require the views of other sub-panels or specialist advisers will be identified, noting information included in RA5a where departments have identified research of an interdisciplinary nature.

44. The quality profile for outputs will be calculated as follows:

- a. Where there are four outputs per researcher, these will be assessed and assigned quality levels. These quality levels will then be carried forward to the overall departmental profile.
 - b. If an individual researcher has produced fewer than four outputs, an evaluation will be made of the reason for this on the basis of information within the department's submission (including early career researcher status).
 - c. If there is a valid reason for the submission of fewer than four outputs, only the quality level(s) attached to the submitted output(s) will be carried forward into the overall departmental profile.
 - d. If there is no valid reason for the submission of fewer than four outputs, the 'missing' outputs will be graded as Unclassified.
 - e. After taking into account any reductions in volume of outputs due to individual staff circumstances as described above, and assessing the quality of all the submitted outputs, the sub-panel will consider whether any additional adjustment to the quality profile should be made to reflect the presence within the submission of items of exceptional scale and scope.
45. In calculating the quality profiles for environment and esteem, the sub-panel will initially assign 100% of the profile allocated to each element to one of the quality levels (4*, 3*, 2*, 1* or Unclassified). Where there are clear differences in the quality of aspects of the research environment or esteem (eg, between studentships and research culture, or for different research groups or departments within the submission), the sub-panel may decide to allocate a profile across two or more quality levels.
46. The sub-panel will form its judgement through deliberation and consensus. Where differences remain, decisions will be reached by a simple majority vote of the sub-panel, with the chair (or deputy chair where the chair has declared an interest) having a casting vote.
47. The pattern of quality profiles will be reviewed to ensure consistency, and quality profiles will not be confirmed (for recommendation to the main panel) until the sub-panel's final meeting.

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48. Where work developed or undertaken jointly by departments in two or more institutions is submitted for assessment as a coherent whole in the form of a joint submission, the institutions involved should provide a brief description in RA5a of the nature and extent of the collaboration leading to the joint submission. Joint submissions will be assessed in the same way as submissions from single institutions.

