REF2021 Webinar
Wednesday, 24 April 2019
10.30am – 12.00pm

Please register in advance for the meeting at:
https://zoom.us/meeting/register/bcafa4b5e0c9850a7c24e00bf0acd2b8

After registering, you will receive a confirmation email containing information about joining the meeting. The meeting will be recorded, in case you are unable to make this time.

This webinar will outline our short-medium term plans for REF2021 development in Elements, mainly focusing on REF2 Research Output functionality. The session will conclude with an outline of our overall plans for development and our proposed order of priority.

Elements REF2021 functionality

Overall, it is proposed that Elements will support the following elements of the REF2021 submission:

- Units of assessment
- REF1 staff details (both Category A and Category B)
- REF2 research outputs details
- REF6a staff circumstances (remove minimum of 1 output for a particular individual) (outcomes only)
- REF6b staff circumstances (unit reduction) (outcomes only)

Elements will not deliver:

- REF3 Impact case study functionality (TBC)
- REF4 Environment data collation
- REF5 Environment statements

The expectation is that customers will import / input this content directly into the REF Submission System.

It is proposed that all required functionality is principally met within the Assessment module. But through discussions, it may be determined that some items may be better delivered in Elements more widely.

Use of Elements for REF2021 assumes the following:

- A single Exercise Definition will be created for the institution’s REF2021 submission (all UoAs, all applicable submission elements). This will then enable the generation of a single submission XML file for upload to the REF Submission System.
Given the expected timings for the publication of the technical guidance, validation rules, and the release of the REF Submission System, customers would be expected to upgrade Elements for a final time prior to submission early / mid 2020 (exact release will be named early in 2020). This will enable the Elements team to develop final features such as the replication of submission validation and submission XML generation.

REF2 framework

We intend to build on the existing Assessment module framework to support the submission of REF2 Research Outputs to REF2021. This will include:

- Acceptance and attribution functionality
- All data requirements (such as Interdisciplinary flag, Research Group assignments, Double-weighting request, Output allocation, etc.)
- Data verification workflow
- REF Open Access compliance and overrides
- Validation against REF Submission System data verification rules
- Output submission (TBC) (i.e. DOI / PDF / Physical copy submission tracking)

In order to fully support the submission of REF2 Research Outputs to REF2021, we plan to introduce the following functionality:

- Building on existing functionality in the Assessment module, expansion of the Research output selection process to also support ‘Acceptance’ and ‘Attribution’ processes. See Mockup 1.
- Re-purposing of the ‘Manage selections’ screen introduced in 5.14.1 to enable capturing the Acceptance decision for each output. See Mockup 2.
- Introduction of a new ‘Manage REF2 Research Outputs’ screen, enabling filtering by REF2 specific fields. See Mockup 3.
- Introduction of a new REF2 form where all required data can be captured. See Mockups 4a-d. Given the amount of information gathered on the REF2 form is quite substantial, we propose to deliver the form with a number of tabs:
  - Summary (Mockup 4a)
  - Review (Mockup 4b)
  - Acceptance + Attribution (Mockup 4c)
  - Data requirements (Mockup 4d)
  - Open access (no mockup yet)
  - Validation (no mockup yet)
  - Output submission (TBC) (no mockup yet)
- Further developments on stock reports, to support in-depth submission analysis

Further, we plan to introduce ‘summary’ screens for each UoA, displaying the following information:

- Total Cat A H/C and FTE
- Total Cat B H/C
- Total number of REF2s required based on Cat A FTE
  - Total number of REF2s in UoA pool (i.e. have status of Accepted or Attributed)
- Total number of Attributed REF2s (as this is the *actual* submission)
- Total number of Accepted REF2s (to see the number of outputs in the pool that have not yet been attributed)

Calculations as to total number of outputs required, and individual min/max attributions will need to consider:

- Count double-weighted outputs as 2 outputs
- Reserves
  - Double-weighting reserves if a double-weighting request is not granted
  - Pending output reserves if the Pending output does not end up being published by 31 Dec 2020
  - *Almost feels like there should be a separate calculation for ‘actual’ submission versus for the ‘reserve’ submission (i.e. if all reserves have to be taken up)*

- REF2 attribution profile
  - Profile
    - Proportion of Cat As with 5 attributed outputs
    - Proportion of Cat As with 4 attributed outputs
    - ....
  - Min / Max
    - Number of individuals with no attributed REF2s (separating out those with an exception and those without (action required on those without))
    - Number of individuals with more than 5 attributed REF2s

- QA non-compliance tolerance
  - The proportion of in-scope REF2s that are not compliant with OA policy (and have no exception applied) (can’t be greater than 5% or 1 output (whichever is greater))
  - Show by number of Accepted REF2s and by number of Attributed REF2s

- Multiple author attribution
  - For Panel D UoAs, the proportion of non-double-weighted outputs attributed to multiple co-authors (can’t be greater than 5% or 1 output (whichever is greater))
  - Show by number of Accepted REF2s and by number of Attributed REF2s
**REF2021 REF2 model**

This diagram outlines the proposed evolution of the model for capturing Research Outputs for REF2021.

**Existing functionality**

- Single output selection per Researcher. If multiple co-authors in the same UoA select the same output, multiple output selections will exist.

**Proposed new functionality**

- Once an output is accepted (i.e., meets quality threshold), a single 'canonical' REF2 record is created for the UoA.

**Steps**

1. **Researcher (or proxy) selects output**
2. Person-output item is created in REF2021 exercise
3. Review process is undertaken
4. Acceptance decision
5. Accepted for submission
6. UoA REF2 record is created
7. Identify Researcher(s) (REF2) against whom REF2 can be attributed
8. Attribution
9. Submission

**Legend**

- **Selected**
  - Accepted
  - Not accepted
- **Attributed**
  - Attributed
  - Not attributable

**Notes**

- All outputs are eligible for selection.
- All selected outputs are reviewed.
- All accepted outputs are included in the UoA REF2 record.
- Attribution is verified before submission.

This function aligns with the recently introduced 'Manage selections' process, but comes at a different angle - first creating a REF2 for the UoA, then enabling attribution.
Manage REF2 Research Outputs

The diagram mocks up the potential REF2 Research Output list screen for REF2021.

The list displays all REF2s in the following selection states, enabling the REF manager to focus on only those outputs to be included in the submission:
- Accepted
- Attributed
- Not attributable (TBC)

To get the full list of all outputs being considered for REF, the REF Manager should use the Manage Selections for REF2021 screen.

Ref2 Research Outputs of A-01 Unit

<table>
<thead>
<tr>
<th>REF2: Output title A</th>
<th>Scott, R; Bioggo, J; Smith, M; Buchanan, S; Don, J; McDonald, F.</th>
<th>Jan 2018, in: Journal of Medicine</th>
<th>D - Journal article (10.1504/IJOGST.2016.057791)</th>
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</thead>
<tbody>
<tr>
<td>Altmetric RCR Dimensions EPMC Scopus Web of Science SNIP SJR IF</td>
<td>3 3 3 3 0.33 0.27 0.00</td>
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<tr>
<th>REF2: Output title B</th>
<th>Scott, R; Bioggo, J; Smith, M; Buchanan, S.</th>
<th>Mar 2018, in: Journal of Medicine</th>
<th>D - Journal article (10.1504/IJOGST.2016.057791)</th>
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<th>Jan 2019, in: Journal of Medicine</th>
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<th>Scott, R; Bioggo, J; Smith, M; Buchanan, S; Don, J; McDonald, F.</th>
<th>Jan 2019, in: Journal of Medicine</th>
<th>D - Journal article (10.1504/IJOGST.2016.057791)</th>
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Filters

- Export list to CSV
- No filters have been set

Selection status:
- Accepted
- Attributed
- Not attributable

Attribution REF1 Category
- Category A
- Category B

Ref2 Output type:
- Authoring book
- Edited book
- Chap book

Publication year:
- No filter
- True
- False

Research group:
- Interdisciplinary

Distinct area:
- No filter
- XXXX
- YYYY

Open Access status:
- No filter
- Compliant
- Not compliant
- Exception applies

Open Access exception:
- No filter
- Deposit
- Access
- Technical
- Other

Output allocation:
- No filter
- XXXX
- YYYY

More filters
REF2 form: Review tab

Output title A
Scott, R. Bloggs, J. Smith, M. Buchanan, S. Deo, J. McDonald, P.
Journal article

Overall predicted score

Overall predicted score

(no score)

4*

3*

Overall predicted score notes (internal use only)

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Pellentesque ultricies leo a sapien cursus, eget mollis lobos acelerisque.

Reviews

By default collapsed

When expanded

Bloggs, J.* 3*

Reviewer: Lisa Pierson
Score: 3*


Bloggs, J.* 4*

Reviewer: Mark Pierson
Score: 4*

Review of the item: aenonas consequat, enim id faucibus ioculis, quam quam placerat enim, sed laborsa erat tortor in justo. Integer tempor tellus non, set amet faucibus quam ioculis ut.

Deo, J.* 3*

Reviewer: Lisa Pierson
Score: 3*


REF2 Data verification workflow

Entry in progress

UoA confirmed
Institution confirmed

Cancel  Save