

# Elements REF webinar

Manya Buchan

Senior Consultant (Research Management)

24 April 2019

# Agenda

- Welcome and housekeeping
- Scope of planned REF development
- REF2 Research Outputs
- Prioritisation
- 5.15 features and plans for 5.16



Elements

# Scope of REF development

We commit to supporting 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

# Scope of REF development

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
- Customers would be expected to **upgrade** Elements for a final time prior to submission **early / mid 2020**
  - Given expected timings of Technical guidance and validation rules publication, and REF submission system release
  - Will enable the Elements team to develop final features such as the replication of submission validation and submission XML generation

# REF2 Research Outputs overview

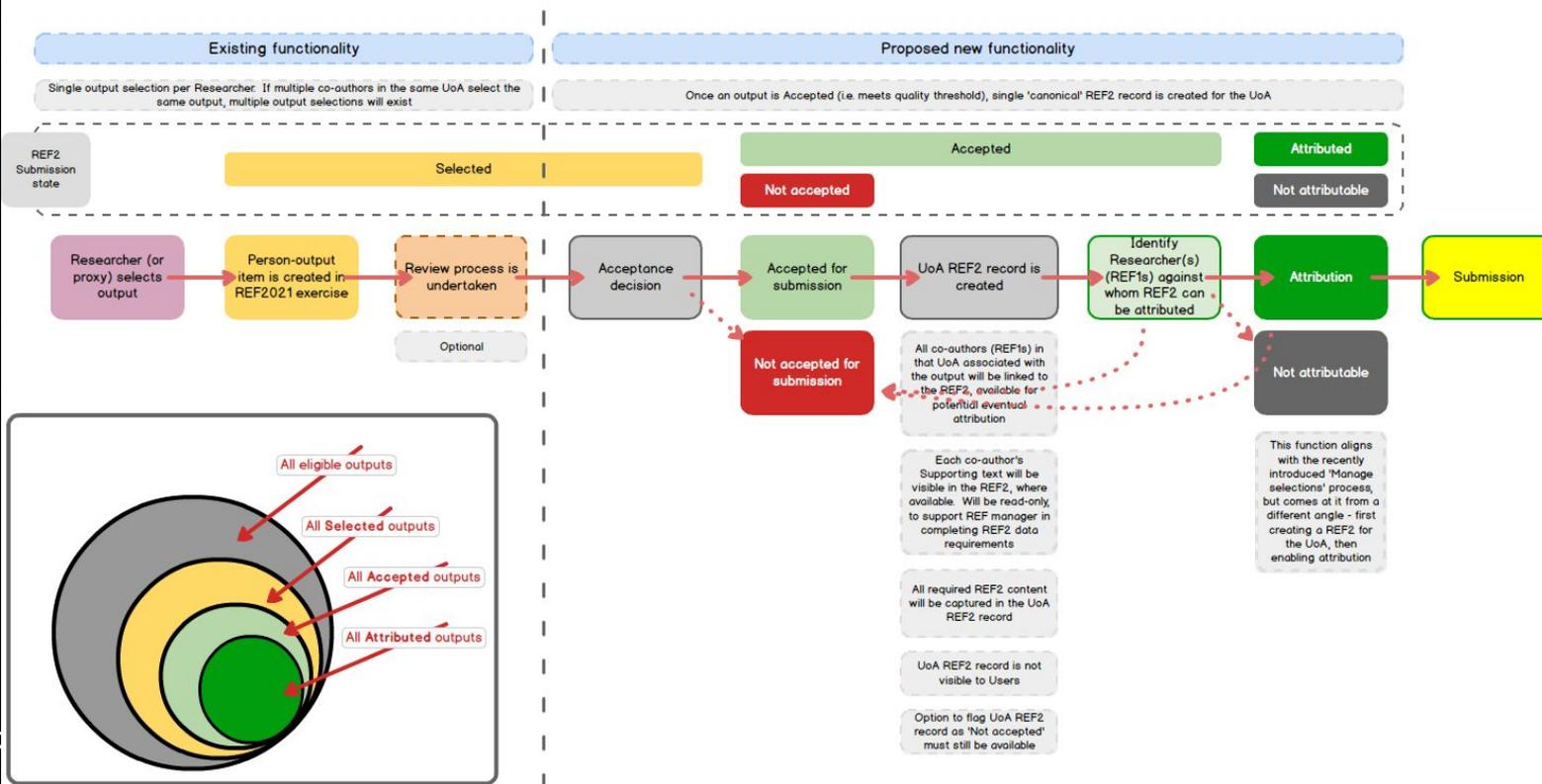
- Building on existing functionality
- Output management screens
- REF2 form

# REF2 Research Outputs

## Building on existing functionality

### REF2021 REF2 model

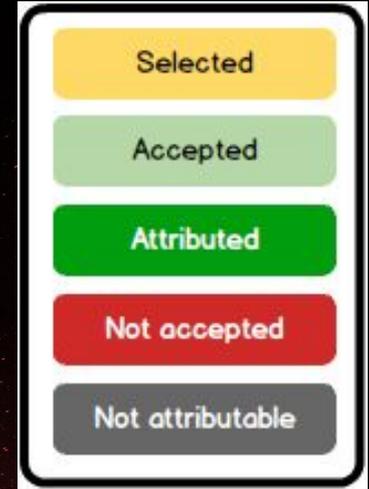
This diagram outlines the proposed evolution of the model for capturing Research Outputs for REF2021



# REF2 Research Outputs

Building on existing functionality

- Existing functionality of selection and review continues as present
- Then expand on this to enable:
  - Acceptance function
    - meets quality threshold, is research
  - Attribution function
    - Max 5 / Min 1, 2.5 per Cat A FTE
  - Creation of REF2 records to capture submission data requirements
  - Management of submission processes and progress through the introduction of Submission states



# REF2 Research Outputs

## Implications

- No real change for REF1 researchers - continue to be able to select outputs for consideration, provide Supporting Text, etc.
  - But will have no visibility of Acceptance or Attribution, nor REF2 form
- New Selections once output acceptance decision already made
  - Plan to offer in-system notifications of new Selection
- Movement of REF1 Researchers across UoAs
  - Once a single REF2 per UoA is created, there are implications when an associated REF1 Researcher moves UoAs
  - Will be automatic creation of REF2s in the UoA to which they move - plan to offer in-system notifications
  - Will be 'orphaned' REF2s if the REF1 was sole author - will be means to identify these

# REF2 Research Outputs

## Output management screens

- Manage selections for REF2021 screen
  - Evolve Manage selections screen introduced in 5.14.1
  - Enable REF managers to get an overview of submission progress and actions still to be undertaken in terms of Acceptance and Attribution
  - Enable REF managers to flag outputs as Accepted (meet internal quality threshold and to be submitted, thereby creating a REF2 record) or Not accepted (not research, not sufficient quality)

## Manage selections for REF2021

## Selections for REF2021 outputs of A-01 Unit

**i** On this page you can manage your output selections for REF, including registering whether individual outputs are 'accepted' or not into the UoA pool of output.

Export list to CSV

0 filters have been set

## Filters

## Submission status

- no filter -

Selected  
Accepted  
Attributed  
Not accepted  
Not attributable

## Selected by

## Date Selection created

/ /

## Affiliated REF1 researcher

- no filter -

No affiliated REF1 researcher  
One affiliated REF1 researcher  
Multiple affiliated REF1 researchers

## Publication type

- no filter -

Journal article  
Book  
...

## Publication year

X of YY

## Output title A

Scott, R, [Bloggs, J](#), [Smith, M](#), [Buchanan, S](#), [Doe, J](#), [McDonald, F](#),  
Jan 2018, In: Journal of Medicine  
Journal article ([10.1504/jjogct.2014.057799](#))

Selected

▶ [Bloggs, J](#) (3\*, 4\*)  
[Doe, J](#) (3\*)  
[McDonald, F](#)  
[Smith, M](#)

Do not accept

Accept

Altmetric	RCR	Dimensions	EPMC	Scopus	WoS	SNIP	SJR	IF
-	-	3	-	3	3	0.33	0.27	0.00

## Output title B

Scott, R, [Bloggs, J](#), [Smith, M](#), [Buchanan, S](#),  
Mar 2018, In: Journal of Medicine  
Journal article ([10.1504/jjogct.2014.057799](#))

Not accepted

▶ [Bloggs, J](#) (3\*, 4\*)  
[Smith, M](#)

## Acceptance notes (internal use only)

Phasellus tempus semper pharetra. Cras et urna vitae sapien feugiat suscipit. Ut mauris odio, ornare sit amet arcu quis, placerat gravida dui. Cras bibendum in urna ac pellentesque. Nullam a purus et nisi pharetra egetas eget in magna.

Accept

Altmetric	RCR	Dimensions	EPMC	Scopus	WoS	SNIP	SJR	IF
-	-	3	-	3	3	0.33	0.27	0.00

REF2 : Output title C  
[Smith, M](#), [Buchanan, S](#),  
Dec 2015, In: Journal of Medicine  
Journal article ([10.1504/jjogct.2014.057799](#))

Accepted

▶ [Smith, M](#) (4\*)

Do not accept

Altmetric	RCR	Dimensions	EPMC	Scopus	WoS	SNIP	SJR	IF
-	-	3	-	3	3	0.33	0.27	0.00

## REF2 : Output title D

Scott, R, [McDonald, F](#),  
Jan 2019, In: Journal of Medicine  
Journal article ([10.1504/jjogct.2014.057799](#))

Attributed  
F McDonald▶ [McDonald, F](#)

Altmetric	RCR	Dimensions	EPMC	Scopus	WoS	SNIP	SJR	IF
-	-	3	-	3	3	0.33	0.27	0.00

## Output title E

Scott, R, [Bloggs, J](#), [Smith, M](#), [Buchanan, S](#), [Doe, J](#), [McDonald, F](#),  
Jan 2018, In: Journal of Medicine  
Journal article ([10.1504/jjogct.2014.057799](#))

Selected

▶ [Bloggs, J](#) (3\*, 4\*)  
[Doe, J](#) (3\*)  
[McDonald, F](#)  
[Smith, M](#)

Do not accept

Accept

Altmetric	RCR	Dimensions	EPMC	Scopus	WoS	SNIP	SJR	IF
-	-	3	-	3	3	0.33	0.27	0.00

## REF2 : Output title F

[Smith, M](#), [Buchanan, S](#),  
Dec 2015, In: Journal of Medicine  
Journal article ([10.1504/jjogct.2014.057799](#))

Accepted

▶ [Smith, M](#) (4\*)

Do not accept

Altmetric	RCR	Dimensions	EPMC	Scopus	WoS	SNIP	SJR	IF
-	-	3	-	3	3	0.33	0.27	0.00

# REF2 Research Outputs

## Output management screens

- Manage REF2 Research Outputs screen
  - New screen
  - Displays all **REF2s**, enabling the REF manager to focus on only those outputs to be included in the submission
    - Accepted
    - Attributed

## Manage REF2 Research Outputs

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

This 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.

Home > Menu > Research Admin > Annual Collection > Module Admin > S

### Manage REF2 Research Outputs

#### REF2 Research Outputs of A-01 Unit

Ut ligula erat, rhoncus vitae pretium vel, elementum at ex. Morbi ultrices nibh quam, in commodo arcu consequat eget. Ut dignissim velit elit, id vehicula magna rhoncus vitae. Nunc ac interdum velit. Nunc a massa eget tellus rutrum bibendum. Sed augue du, faucibus eu erat ac, bibendum elefend nibh. Pellentesque rutrum du av, non ullamcorper ipsum blandit a. Aenean non molestus odio. Ut lacinia lectus pharetra portitor venenatis.

Export list to CSV

0 filters have been set

#### Filters

All Accepted outputs

All Attributed outputs

These are 'quick filters' enabling the REF manager to quickly view their submission in various states

#### Selection status

- no filter -

Accepted  
Attributed  
Not attributable

#### Attributed to

- no filter -

Category A  
Category B

#### Attribution REF1 Category

- no filter -

Category A  
Category B

#### REF2 Output type

- no filter -

A - Authored book  
B - Edited book  
C - Chapter in book

#### Double-weighted

- no filter -

True  
False

#### Pending

- no filter -

True  
False

#### Publication year

- no filter -

True  
False

#### Research group

- no filter -

A - Socks  
B - Shoes  
Not set

#### Interdisciplinary

- no filter -

True  
False

#### Distinct area

- no filter -

XXXX  
YYYY  
Not set

UseAs 3 and 12 only if enabled for the LCA

#### 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  
Not set

UseAs 7, 10, 11, 1, 26, 27, 28, 19, 33, 34 only

#### DOI

- no filter -

Set  
Not set

More filters...

REF2 : Output title A  
Scott, R, Bloggs, J, Smith, M, Buchanan, S, Doe, J, McDonald, F. Accepted

Jan 2018, In: Journal of Medicine  
D - Journal article (10.1504/jogct.2014.057794)

X of YY  
Will navigate to REF1 once available

Altmetric	RCR	Dimensions	EPMC	Scopus	WoS	SNIP	SJR	IF
-	-	3	-	3	3	0.33	0.27	0.00

REF2 : Output title B  
Scott, R, Bloggs, J, Smith, M, Buchanan, S. Not attributable

Mar 2018, In: Journal of Medicine  
D - Journal article (10.1504/jogct.2014.057794)

Exclude Not attributable by default?

Altmetric	RCR	Dimensions	EPMC	Scopus	WoS	SNIP	SJR	IF
-	-	3	-	3	3	0.33	0.27	0.00

REF2 : Output title C  
Smith, M, Buchanan, S. Accepted

Dec 2015, In: Journal of Medicine  
D - Journal article (10.1504/jogct.2014.057794)

Altmetric	RCR	Dimensions	EPMC	Scopus	WoS	SNIP	SJR	IF
-	-	3	-	3	3	0.33	0.27	0.00

REF2 : Output title D  
Scott, R, McDonald, F. Attributed F McDonald (R)

Jan 2014, In: Journal of Medicine  
Journal article (10.1504/jogct.2014.057794)

Altmetric	RCR	Dimensions	EPMC	Scopus	WoS	SNIP	SJR	IF
-	-	3	-	3	3	0.33	0.27	0.00

REF2 : Output title E  
Scott, R, Bloggs, J, Smith, M, Buchanan, S, Doe, J, McDonald, F. Attributed J Doe

Jan 2018, In: Journal of Medicine  
D - Journal article (10.1504/jogct.2014.057794)

Altmetric	RCR	Dimensions	EPMC	Scopus	WoS	SNIP	SJR	IF
-	-	3	-	3	3	0.33	0.27	0.00

REF2 : Output title F  
Smith, M, Buchanan, S. Attributed M Smith

Dec 2015, In: Journal of Medicine  
D - Journal article (10.1504/jogct.2014.057794)

Altmetric	RCR	Dimensions	EPMC	Scopus	WoS	SNIP	SJR	IF
-	-	3	-	3	3	0.33	0.27	0.00

# REF2 Research Outputs

## REF2 form

Once output Accepted for submission in UoA, REF2 form created

Different tabs for different submission elements:

- **Summary**
- Review
- Acceptance + Attribution
- Data requirements
- OA
- Validation
- Output submission (TBC)

Navigates to the associated Publication in Elements

Navigates to the Manage REF2 Research Outputs list for the UoA

Summary | Review | Acceptance + Attribution | Data requirements | Open Access | Validation | Output submission

Output title A  
UoA A-01

Scott, R. Bloggs, J. Smith, M. Buchanan, S. Doe, J. McDonald, F., Jan 2018, In : Journal of Medicine.  
Journal article

Verified Accepted

Output type Output date  
D - Journal article 2019 March

Citation count Citation count last updated  
36 5 March 2019

Overall review score To appear if enabled for exercise, and input for REF2 on Review tab  
3\*

Open Access status  
Compliant - exception applies

Output submission  
PDF / Physical copy required

Validation  
Validation warnings

REF2 Data verification workflow  
Entry in progress  
UoA confirmed  
Institution confirmed

Another view of Summary tab, with different values

Summary | Review | Acceptance + Attribution | Data requirements | Open Access | Validation

Output title A  
Scott, R. Bloggs, J. Smith, M. Buchanan, S. Doe, J. McDonald, F., Jan 2018, In : Journal of Medicine.  
Journal article

Verified Attributed J Doe (B)

Output type Output date  
D - Journal article 2019 March

Citation count Citation count last updated  
36 5 March 2019

Overall review score To appear if enabled for exercise, and input for REF2 on Review tab  
3\*

Open Access status  
Not compliant

Output submission  
No further action required

Validation  
Validation errors

REF2 Data verification workflow  
Entry in progress  
UoA confirmed  
Institution confirmed

Cancel Save

# REF2 Research Outputs

## REF2 form

Once output Accepted for submission in UoA, REF2 form created

Different tabs for different submission elements:

- Summary
- **Review**
- Acceptance + Attribution
- Data requirements
- OA
- Validation
- Output submission (TBC)

REF2 : Output title A  
UoA A-01

Summary Review Acceptance + Attribution Data requirements Open Access Validation Output submission

Output title A  
Scott, R, [Bloggs, J](#), [Smith, M](#), Buchanan, S, [Doe, J](#), [McDonald, F](#),  
Jan 2018, In : Journal of Medicine. Verified Accepted  
Journal article

Overall predicted score

Overall predicted score

[no score]  TBC how to ensure a single scoreset

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 lacus scelerisque.

▶ **Reviews** By default collapsed  
When expanded

[Bloggs, J](#) (3\*, 4\*)  
[Doe, J](#) (3\*)  
[McDonald, F](#)  
[Smith, M](#)

▼ Reviews

[Bloggs, Joe](#)  
Reviewer: Lisa Pierson  
Score: 3\*  
Review of the item: oecenas consequat, enim id faucibus iaculis, quam dui placerat enim, sed lobortis erat tortor in justo. Integer tempor tellus nunc, sit amet faucibus quam iaculis ut. Praesent quam justo, fringilla sed vulputate nec, maximus eget purus. Nulla nulla magna, viverra et erat et, fringilla malesuada arcu. Integer cursus orci purus, non laoreet odio posuere a. Ut ornare accumsan sollicitudin. Morbi faucibus a nisl eu fermentum.

[Bloggs, Joe](#)  
Reviewer: Mark Harmon  
Score: 4\*  
Review of the item: oecenas consequat, enim id faucibus iaculis, quam dui placerat enim, sed lobortis erat tortor in justo. Integer tempor tellus nunc, sit amet faucibus quam iaculis ut.

[Doe, John](#)  
Reviewer: Lisa Pierson  
Score: 3\*  
Review of the item: oecenas consequat, enim id faucibus iaculis, quam dui placerat enim, sed lobortis erat tortor in justo. Integer tempor tellus nunc, sit amet faucibus quam iaculis ut. Praesent quam justo, fringilla sed vulputate nec, maximus eget purus. Nulla nulla magna, viverra et erat et, fringilla malesuada arcu. Integer cursus orci purus, non laoreet odio posuere a. Ut ornare accumsan sollicitudin. Morbi faucibus a nisl eu fermentum.

REF2 Data verification workflow

Entry in progress

UoA confirmed  
Institution confirmed

Cancel Save

# REF2 Research Outputs

## REF2 form

Once output Accepted for submission in UoA, REF2 form created

Different tabs for different submission elements:

- Summary
- Review
- **Acceptance + Attribution**
- Data requirements
- OA
- Validation
- Output submission (TBC)

REF2 : Output title A  
UoA A-01

Summary Review **Acceptance + Attribution** Data requirements Open Access Validation Output submission

Acceptance + Attribution  
Navigates to associated Publication

Output title A  
Scott, R, **Bloggs, J**, **Smith, M**, Buchanan, S, Doe, J, **McDonald, F**,  
Jan 2018, In: Journal of Medicine.  
Journal article

Verified Accepted

Supporting text (By default collapsed)

Bloggs, Joe (Navigates to REF1 (when available)) Selected

REF2 - Significance: [Not Supplied], REF2 - Author contribution: aecenas consequat, enim id faucibus iaculis, quam dui placerat enim, sed lobortis erat tortor in justo Integer tempor tellus nunc, sit amet faucibus quam iaculis ut. Praesent quam justo, fringilla sed vulputate nec, maximus eget purus. Nulla nulla magna, viverra et erat et, fringilla malesuada arcu. Integer cursus orci purus, non laoreet odio posuere a. Ut ornare accumsan sollicitudin. Morbi faucibus a nisi eu fermentum, REF2 - Interdisciplinary: False

Doe, John (B) Had previously been selected

REF2 - Significance: aecenas consequat, enim id faucibus iaculis, quam dui placerat enim, sed lobortis erat tortor in justo Integer tempor tellus nunc, sit amet faucibus quam iaculis ut. Praesent quam justo, fringilla sed vulputate nec, maximus eget purus. Nulla nulla magna, viverra et erat et, fringilla malesuada arcu. Integer cursus orci purus, non laoreet odio posuere a. Ut ornare accumsan sollicitudin. Morbi faucibus a nisi eu fermentum, REF2 - Author contribution: aecenas consequat, enim id faucibus iaculis, quam dui placerat enim, sed lobortis erat tortor in justo Integer tempor tellus nunc, sit amet faucibus quam iaculis ut. Praesent quam justo, fringilla sed vulputate nec, maximus eget purus. Nulla nulla magna, viverra et erat et, fringilla malesuada arcu. Integer cursus orci purus, non laoreet odio posuere a. Ut ornare accumsan sollicitudin. Morbi faucibus a nisi eu fermentum, REF2 - Interdisciplinary: False

McDonald, Fiona Not selected

REF2 - Significance: [Not Supplied], REF2 - Author contribution: [Not Supplied], REF2 - Interdisciplinary: [Not Supplied]

Smith, Mary Not selected

REF2 - Significance: [Not Supplied], REF2 - Author contribution: [Not Supplied], REF2 - Interdisciplinary: [Not Supplied]

Review (To appear if enabled for exercise, and input for REF2 on Review tab)

Overall review score  
3\*



# REF2 Research Outputs

## REF2 form

Once output Accepted for submission in UoA, REF2 form created

Different tabs for different submission elements:

- Summary
- Review
- Acceptance + Attribution
- **Data requirements**
- OA
- Validation
- Output submission (TBC)

The screenshot shows the REF2 form interface with several annotations:

- Navigation:** Red arrows point to "REF2 : Output title A UoA A-01" (labeled "Navigates to the associated Publication in Elements") and the "Output title A UoA A-01" header (labeled "Navigates to the Manage REF2 Research Outputs list for the UoA").
- Summary Tab:** The "Summary" tab is selected, showing "Output title A" and author information: "Scott, R, Bloggs, J, Smith, M, Buchanan, S, Doe, J, McDonald, F." with "Verified" and "Accepted" buttons.
- Output information:** Includes "Output type" (D - Journal article), "Output date" (2019 March), and "Number of additional co-authors" (17). Annotations include "If 1:1 mapping" and "If 1:many mapping" for the output type, and "TBC if required" for the year and month override fields.
- Supplementary information:** A text box for "Supplementary information (DOI / URL for any supplementary information published alongside the output)".
- Additional information:** A text box for "Additional information (see Panel Criteria)" with a "7500 character limit" annotation.
- Classifications:** Includes "Output sub-profile category" (XXXX YYYY ZZZZ) with an annotation "UoAs 3 and 12 - if enabled for the UoA", and "Output allocation" (XXXX YYYY ZZZZ) with an annotation "UoAs 7, 10, 11, 12, 26, 27, 28, 29, 33, 34 only" and "Need to support selection >1 value".
- Interdisciplinary research:** A checkbox for "Is interdisciplinary research".
- Forensic science:** A checkbox for "Embodies research in forensic science".
- Criminology identifier:** A checkbox for "Embodies research in criminology" with an annotation "Section only to appear for UoAs 1-9, 11, 16".
- Citations:** Shows "Citation count" (36) and "Citation count last updated" (5 March 2019).
- Double-weighting:** Includes a checked checkbox for "Request to double-weight the output" and a text box for "Double-weighting request statement" with a "7500 character limit" annotation.
- Double-weighting reserve:** A search box for "Double-weighting reserve" with an annotation "Only to appear if 'Request to double-weight' selected".

# Prioritisation

Short term	Medium – Long term
Extension of REF2 framework to enable Acceptance and Attribution of single outputs	REF2 Citation data
Creation of REF2 form	REF2 DOI / URL / PDF management (TBC)
REF2 Open Access	REF2 Physical copy tracking (TBC)
Enhancement of UoA model	Validation
Creation of REF1 form	Submission XML
UoA-level calculations and aggregations	Submission freeze
Standard reports	
REF1/2 bulk actions and import	

# Plans for 5.15 and 5.16

## 5.15 (May)

Expect to deliver:

- New system setting to enable REF configuration and functionality
- Add flag to identify a single exercise definition as REF2021 submission
- Enhancements to 'Manage selections' screen
- Reporting via stock and custom registered reports for managers at unit level

## 5.16 (June)

Candidates:

- Notifications of REF2 movement when REF1s move UoA
- First phase of REF2 form
- Overall review score for REF2
- Enhancement of UoA model
- Open Access overrides
- Manage REF2 Research Outputs screen
- REF2 bulk actions and import of content
- Updated REF exercise template\*

# Questions

Any further questions please contact  
[REF2021@symplectic.co.uk](mailto:REF2021@symplectic.co.uk)