

REF2021 5.17 Webinar

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Agenda

- 5.16 re-cap
- 5.17 features and demo
- Plans for 5.18 and beyond

5.16 re-cap

- Enhanced **Unit of Assessment** metadata
- **REF2 Research Outputs** development
 - New REF2 form
 - Attribution functionality
 - Overall review score
 - New 'Manage REF2 Research Outputs' screen
 - Bulk edit Submission status
- Updated REF exercise **template**
- **Open Access**
 - Compliance status override
 - Apply exceptions per policy

5.17 features

- **REF2 Research Outputs** form expansion
 - Data requirements
 - Open Access
 - Acceptance + Attribution
 - Double-attribution
 - ~~Double-reserves~~
- **Bulk edit REF2** metadata and author contribution details
- **REF2 stock report**
- Additional **filters** on Manage REF2 Outputs screen

- Bulk edit **item selections** and **reviewer** content

5.17 demo

Upcoming releases

5.18 (October)

Candidates:

- Navigation
- REF1 Researchers
 - Create form
 - Manage REF1 Researchers page
 - Bulk actions
 - Stock report
- Manage units page
- REF2 Output type mapping

Upcoming releases

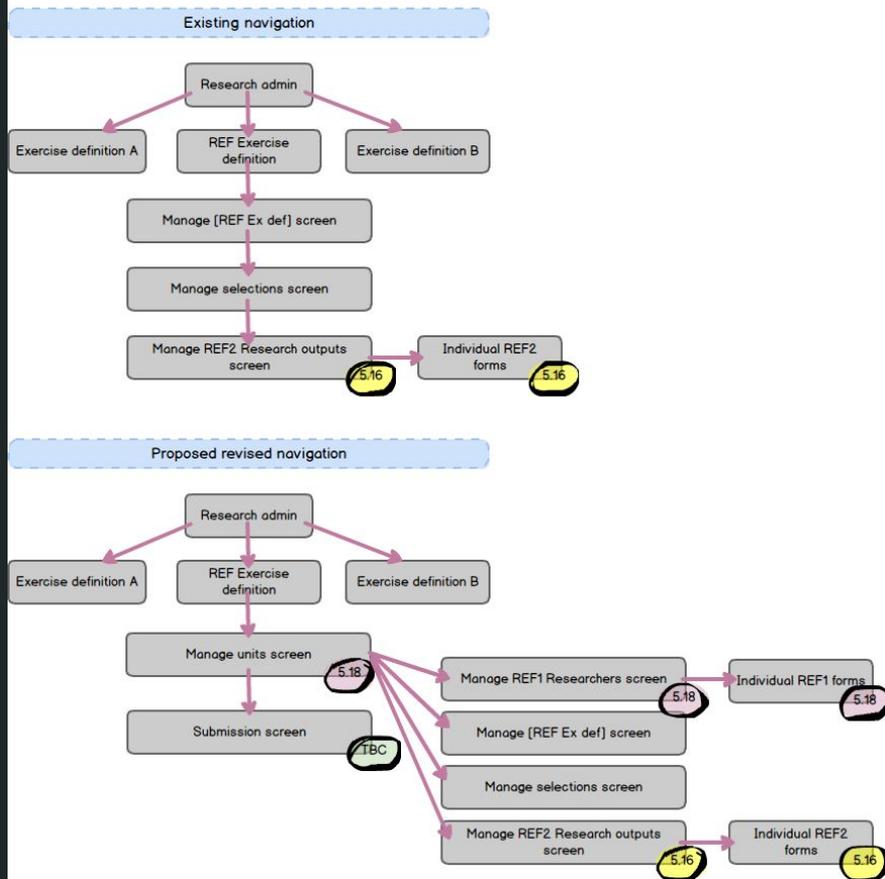
5.18 (October)

Candidates:

- **Navigation**
- REF1 Researchers
 - Create form
 - Manage REF1 Researchers page
 - Bulk actions
 - Stock report
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- REF2 Output type mapping

REF navigation

This diagram outlines a potential model for navigation within the REF exercise definition



Upcoming releases

5.18 (October)

Candidates:

- Navigation
- REF1 Researchers
 - Create form
 - Manage REF1 Researchers page
 - Bulk actions
 - Stock report
- Manage units page
- REF2 Output type mapping

Manage units screen
This diagram mocks up the proposed 'Manage units' screen, from which all other screens can be accessed

only list those units that are 'active' (i.e. not deleted) from ex def's list of units

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

Elements

[Exercise name]: Manage units

No pagination - list all units on single page

Manage [Exercise definition name]

Export all

Opens pop-up offering all available registered reports for the exercise definition

Unit	Manage
A-01 Clinical medicine	REF1s REF2s Selections
A-02 Public Health, Health ...	REF1s REF2s Selections
A-03 Allied Health Professions, ...	REF1s REF2s Selections
A-04 Psychology, Psychiatry ...	REF1s REF2s Selections
.....	
U Unallocated (default)	REF1s REF2s Selections
TOTAL	

Opens pop-up offering all available registered reports at the unit-level for the selected UoA

Navigates to:
REF1s = Manage REF1 Researchers screen
REF2s = Manage REF2 Research outputs screen
Selections = Manage Selections screen (all for the selected unit)

Upcoming releases

5.18 (October)

Candidates:

- Navigation
- REF1 Researchers
 - Create form
 - Manage REF1 Researchers page
 - Bulk actions
 - Stock report
- Manage units page
- REF2 Output type mapping

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Elements

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

[Exercise name]: Manage units

Cat A FTE

- If Cat A FTE override is populated in the UoA configuration, show that figure with an asterisk indicating that it's an overridden value - with a tooltip "This value is the overridden Cat A FTE, as per the Unit configuration"
- When calculating the total for the institution, use the overridden value if populated

Attributed REF2s

- If any REF1s in the unit have REF2s to be submitted directly to the REF submission system, this should be counted in the total number of Attributed REF2s with an asterisk and a tooltip "This value includes X REF2 outputs that are to be submitted directly to the REF submission system"
- When calculating the total for the institution, include the 'O-Confidential reports' values
- Count double-weighted REF2s as 2 outputs

No pagination - list all units on single page

Colour coding
RED is != required REF2s (as per UoA form)
GREEN is = required REF2s

Export all
Opens pop-up offering all available registered reports for the exercise definition

Unit	Cat A FTE	Cat B H/C	Attributed REF2s	Manage
A-01 Clinical medicine	107.00*	2	240 ▲	REF1s REF2s Selections
A-02 Public Health, Health ...	89.30	7	227* ▲	REF1s REF2s Selections
A-03 Allied Health Professions, ...	26.00	-	65 ▲	REF1s REF2s Selections
A-04 Psychology, Psychiatry ...	3.00	-	- ▲	REF1s REF2s Selections
U Unallocated (default)	10.00	-	-	REF1s REF2s Selections
TOTAL	235.30 *	9	532 *	

Opens pop-up offering all available registered reports at the unit-level for the selected UoA

Opens pop-up offering all available registered reports for the exercise definition

REF1s = Manage REF1 Researchers screen
REF2s = Manage REF2 Research outputs screen
Selections = Manage Selections screen (all for the selected unit)

Navigates to 'Manage REF1' screen, filtered for Cat A, included in submission, & selected unit

Navigates to 'Manage REF2' screen, filtered for Attributed REF2s, included in submission, & selected unit

Navigates to 'Manage REF1' screen, filtered for Cat B & selected unit

Upcoming releases

5.18 (October)

Candidates:

- Navigation
- REF1 Researchers
 - Create form
 - Manage REF1 Researchers page
 - Bulk actions
 - Stock report
- Manage units page
- REF2 Output type mapping

Mary Smith
Proprietary ID: 487589
Department of X
A.01 - Clinical medicine

Entry in progress Not included in submission

Inclusion in submission
 Include in submission (Default selected)

Submission inclusion notes (for internal use only)
Lorem ipsum dolor sit amet, consectetur adipiscing elit. Pellentesque ultricies leo a sapien cursus, eget mollis locus scelerisque.

Staff category
Staff category
- Select Staff category -
A - Current staff
B - Former staff

Identifying information
Date of birth //
ORCID 0000-0001-9746-1193 Edit **See separate ORCID module**

Contract information
Add contract details

REF2 Research outputs
Number of O-Confidential reports or S-Research data sets and databases being input directly into the REF Submission System
1
Title(s) of O-Confidential reports or S-Research data sets and databases being input directly into the REF Submission System
"Assessment of Bank X's return on investment"
Sum of number of attributed REF2s + REF2 outputs being input directly into REF sub system
Total number of REF2 attributions
2
Output title B (3*, 2*, 3*) **Attributed BLOGGS, J** **Manage REF2** (Navigates to the REF2 (new window))
Output title C (3*, 4*, 3*) **Accepted** **Manage REF2** (Navigates to the REF2 (new window))
Output title D (4*, 4*) **Attributed SMITH, M** **Manage REF2** (Displays max 5 affiliated REF2s, with option to expand to full list - use same logic / ordering as "Attribution support pop-up on REF2")
Output title E **Selected** **Manage REF2s** **Manage selections** (Navigates to Manage Selections screen filtered for the selected REF1 researcher (new window))

REF1 data confirmation work
Entry in progress
Checking underway
Confirmed
Cancel Save

Identifying information
Date of birth //
ORCID 0000-0001-9746-1193 Edit

Contract information
HEBA ID
Research group
Research group
 A. Sacks A. Sacks
 B. Sives B. Sives
 C. Sandals C. Sandals
Radio button enabling only a single selection as per LOA configuration
Checkboxes enabling up to 4 selections per LOA configuration unless REF2s to be assigned to > 1

Contract information
Contract dates
Start date // End date //
Contract FTE
FTE notes notes (internal use only)
Lorem ipsum dolor sit amet, consectetur adipiscing elit. Pellentesque ultricies leo a sapien cursus, eget mollis locus scelerisque.
Research connection
Lorem ipsum dolor sit amet, consectetur adipiscing elit. Pellentesque ultricies leo a sapien cursus, eget mollis locus scelerisque.
To only appear if Contract FTE is between 0.2 and 0.24
To only appear if Research connection field is null
Reason for no Research connection statement
250 characters left
 Carrying responsibilities
 Personal circumstances
 Reduced hours
 Normal discipline practice
Is on secondment Secondment start date // Secondment end date //
Is on unpaid leave Unpaid leave start date // Unpaid leave end date //
Cancel Save contract details

REF2 Research outputs
Number of O-Confidential reports or S-Research data sets and databases being input directly into the REF Submission System
1
Title(s) of O-Confidential reports or S-Research data sets and databases being input directly into the REF Submission System
"Assessment of Bank X's return on investment"

Upcoming releases

5.18 (October)

Candidates:

- Navigation
- REF1 Researchers
 - Create form
 - Manage REF1 Researchers page
 - Bulk actions
 - Stock report
- Manage units page
- REF2 Output type mapping

Manage REF1 Researchers
This diagram mocks up the potential REF1 Researchers list screen for REF2021

This list displays all REF1 Researchers in the unit (i.e. all those users assigned to the selected unit)

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

Manage REF1 Researchers

Unit: A-01 Clinical Medicine

0 filters have been set

0 filters have been set

XX of YY

Opens pop-up offering all available registered reports at the unit-level for the selected UoA

Opens pop-up offering available REF1 bulk actions

Navigation: Bulk actions, Export unit

REF1 Researcher	Inclusion status
BLOGGS, Joe Proprietary ID: jbloggs	Included in submission
BODNER, Caroline Proprietary ID: cbodner	Included in submission
MCDONALD, Renald Proprietary ID: rmcdonald	Included in submission
MILLER, Jane Proprietary ID: jmillr	Not included in submission
SMITH, Mary Proprietary ID: msmith	Included in submission

Navigation: Navigates to user object page (new window), Navigates to REF1 form (NOT new window)

Researcher details: Includes 'Manage REF1' button for each researcher.

Filters:

- Inclusion status: - no filter -
- Included in submission
- Not included in submission
- Category: - no filter -
- Category A
- Category B
- Research group(s): - no filter -
- A - Socks
- B - Shoes
- C - Sandals
- Not set
- Allow multiple selections
- ECR: - no filter -
- Is early career researcher
- Is not early career researcher
- O-Confidential report: - no filter -
- Has O-Confidential reports to be input directly into REF sub sys
- Does not have O-Confidential reports to be input directly into REF sub sys
- Unpaid leave: - no filter -
- Entry in progress
- Checking underway
- Confirmed

Footer: Unpaid leave, Is on unpaid leave, Is not on unpaid leave

Upcoming releases

5.18 (October)

Candidates:

- Navigation
- REF1 Researchers
 - Create form
 - **Manage REF1 Researchers page**
 - Bulk actions
 - Stock report
- Manage units page
- REF2 Output type mapping

Manage REF1 Researchers
This diagram mocks up the potential REF1 Researchers list screen for REF2021

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

Elements

Unit: **Manage REF1 Researchers**
This diagram mocks up the potential REF1 Researchers list screen for REF2021

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

Manage REF1 Researchers

Unit: **A-01 Clinical Medicine**

This page lists all REF1 Researchers in the selected unit. From this screen you can open individual REF1 records to manage the data requirements.

0 filters have been set

Filters

Inclusion status
- no filter -
Included in submission
Not included in submission

Category
- no filter -
Category A
Category B

Research group(s)
- no filter -
A - Socks
B - Shoes
C - Sandals
Not set

ECR
- no filter -
Is early career researcher
Is not early career researcher

O-Confidential report
- no filter -
Has O-Confidential reports to be input directly into REF sub sys
Does not have O-Confidential reports to be input directly into REF sub sys

Secondment
- no filter -
Is on secondment
Is not on secondment

Unpaid leave
- no filter -
Is on unpaid leave
Is not on unpaid leave

REF1 data confirmation workflow
- no filter -
Entry in progress
Checking underway
Confirmed

REF1 Researcher	Inclusion status	Cat	FTE	Research group(s)	REF6a circumstances	Total affiliated selections	Attributed REF2 outputs	REF1 data confirmation workflow
BLOGGS, Joe Proprietary ID: jbloggs	Included in submission	A	1.00	A: Socks C: Sandals		2	0	Entry in progress
BODNER, Caroline Proprietary ID: cbodner	Included in submission	A	0.75	A: Socks	✓	0	0	Checking underway
MCDONALD, Renald Proprietary ID: rmcdonald	Included in submission	B		B: Shoes C: Sandals		13	3*	Checking underway
MILLER, Jane Proprietary ID: jmillr	Not included in submission	A				2		Entry in progress
SMITH, Mary Proprietary ID: msmith	Included in submission	A	1.00	B: Shoes C: Sandals		2	6	Confirmed
TOTAL			2.75				3*	

Note for Cat B4, there could be

Upcoming releases

5.18 (October)

Candidates:

- Navigation
- REF1 Researchers
 - Create form
 - Manage REF1 Researchers page
 - Bulk actions
 - Stock report
- Manage units page
- REF2 Output type mapping

	A	B	C	D	E	F	G	H	I	J	K
1	User ID	Username	User Proprietary ID	User name (for info only)	Category	Include in submission	Submission inclusion notes	HESA ID	Date of birth	ORCID	Authenticated ORCID in Elements (for info only)
2	784587			BLOGGS, Joe	A	TRUE		7896584254154	19-08-1960	7854-8624-4215-1245	
3	452154			SMITH, Mary	A	TRUE		7412458423657	20-12-1971	7548-0124-2356-4124	
4	85145										
5	412458										
6	412458										
7											

	FTE	FTE notes	Research connection	Reason for no Research connection statement	ECR	Research group 1	Research group 2
	0.25	Some text here	Some text here		FALSE	Shoes	
	0.25			Caring responsibilities, Personal circumstances	FALSE	Socks	Shoes
	1				FALSE	Sandals	
	0.2 S						

	V	W	A	T	Z	PA	PA	PA	PA
	FTC start date	FTC end date	Cat B Contract start date	Cat B Contract end date	Secondment	Secondment start date	Secondment end date	Unpaid leave	Unpaid leave start date
	01-02-2017	31-01-2023			FALSE			FALSE	
					FALSE			FALSE	
					TRUE	01-09-2018	31-08-2020	FALSE	
			01-01-2015	31-12-2016	FALSE			FALSE	
			25-08-2017	30-09-2018	FALSE			FALSE	

Upcoming releases

5.18 (October)

Candidates:

- Navigation
- REF1 Researchers
 - Create form
 - Manage REF1 Researchers page
 - Bulk actions
 - **Stock report**
- Manage units page
- REF2 Output type mapping

User ID	Proprietary ID	User name	Primary Group	Category	Include in submission	Submission inclusion notes	Total affiliated selections	Total affiliated selections as sole attributable REF1 Researcher
784587	89729	BLOGGS, Joe	School of Physic	A	TRUE		7	1
452154	378800	BODNER, Caroli	School of Physic	A	TRUE		23	7

Attributed REF2 outputs	REF6a - minimum waived	Number outputs being input directly into REF submission system	Title(s) of outputs being input directly into REF submission system	HESA ID	Date of birth	ORCID	FTE	FTE notes
1	1	TRUE		7896584254154	19-08-1960	7854-8624-4215-1245	0.25	Some text here
7	5	FALSE	1 "Nuclear research	7412458423657	20-12-1971	7548-0124-2356-4124	0.25	

Research connection	Reason for no Research connection statement	ECR	Research group 1	Research group 2	Research group 3	Research group 4
Some text here		FALSE	Shoes			

date	FTC end date	Secondment	Secondment start date	Secondment end date	Unpaid leave	Unpaid leave start date	Unpaid leave end date	Elements REF1 URL	REF1 data confirmation workflow
2-2017	31-01-2023	FALSE			FALSE			https://elements-	Confirmed
		FALSE			FALSE			https://elements-	Entry in progress
		TRUE	01-09-2018	31-08-2020	FALSE			https://elements-	Entry in progress
9-2018	31-08-2025	FALSE			FALSE			https://elements-	Confirmed

Upcoming releases

5.18 (October)

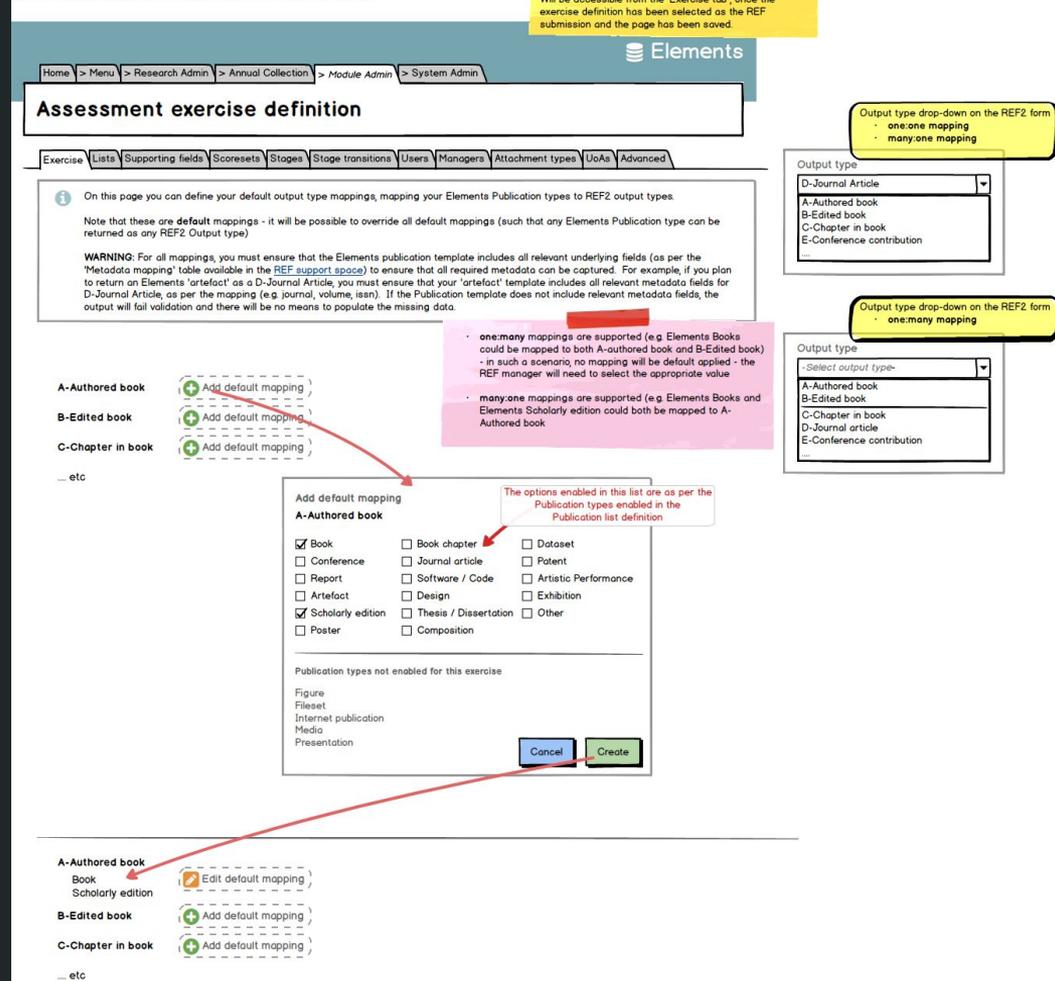
Candidates:

- Navigation
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 - Bulk actions
 - Stock report
- Manage units page
- REF2 Output type mapping

REF2 type mapping

This diagram mocks up functionality to support local REF2 mapping definitions

Will be accessible from the 'Exercise tab', once the exercise definition has been selected as the REF submission and the page has been saved.



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

Assessment exercise definition

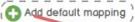
Exercise Lists Supporting fields Scoresets Stages Stage transitions Users Managers Attachment types UoAs Advanced

i On this page you can define your default output type mappings, mapping your Elements Publication types to REF2 output types.

Note that these are **default mappings** - it will be possible to override all default mappings (such that any Elements Publication type can be returned as any REF2 Output type)

WARNING: For all mappings, you must ensure that the Elements publication template includes all relevant underlying fields (as per the 'Metadata mapping' table available in the REF support space) to ensure that all required metadata can be captured. For example, if you plan to return an Elements 'artefact' as a D-Journal Article, you must ensure that your 'artefact' template includes all relevant metadata fields for D-Journal Article, as per the mapping (e.g. journal, volume, issue). If the Publication template does not include relevant metadata fields, the output will fail validation and there will be no means to populate the missing data.

- **one:many mappings** are supported (e.g. Elements Books could be mapped to both A-authored book and B-Edited book) - in such a scenario, no mapping will be default applied - the REF manager will need to select the appropriate value
- **many:one mappings** are supported (e.g. Elements Books and Elements Scholarly edition could both be mapped to A-Authorised book)

A-Authorised book 

B-Edited book 

C-Chapter in book 

...etc

Add default mapping

A-Authorised book

Book Book chapter Dataset

Conference Journal article Patent

Report Software / Code Artistic Performance

Artefact Design Exhibition

Scholarly edition Thesis / Dissertation Other

Poster Composition

Publication types not enabled for this exercise

Figure
Fileset
Internet publication
Media
Presentation

Cancel Create

The options enabled in this list are as per the Publication types enabled in the Publication list definition

Output type
D-Journal Article
A-Authorised book
B-Edited book
C-Chapter in book
E-Conference contribution

Output type
Select output type
A-Authorised book
B-Edited book
C-Chapter in book
D-Journal article
E-Conference contribution

Upcoming releases

5.18 (October)

Additional elements:

- REF2 Output allocation taxonomies
- Update Unit form to include Cat A FTE sum from REF1s
- Update REF2 form and stock report
 - REF2 Output type
 - Output allocation drop-down
- Add'l filters on Manage REF2 page
- REF2 Attribution logic

Upcoming releases

5.18 (October)

Additional elements:

- REF2 Output allocation taxonomies
- Update Unit form to include Cat A FTE sum from REF1s
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- Add'l filters on Manage REF2 page
- REF2 Attribution logic

Additional candidates

- Manage Units and Manage REF1 pages enhancements
- REF2 metadata mapping
- Updated Manage REF2 page layout
- REF2 Cat B attribution warning
- Display reviewer comments on Manage Selections page
- REF1 read-only configuration
- Unit-level overall scoreset

Custom work

- REF2 attribution algorithm and output
- Unit summary report
- Why custom work?
 - Value lies in each institution's ability to customise the outcomes to your needs
 - While there's a common foundation that will apply across all HEIs, the ability to customise inputs and outcomes will provide greatest benefit and ensure functionality delivered is fit for purpose for each institution
- Will email REF contacts shortly with proposal and to canvas for interest

Custom work

REF2 attribution algorithm

- Support institutions in attributing REF2 outputs to REF1 Researchers (Cat A current staff, and Cat B former staff), within the constraints specified by the submission guidance
- The function should be seen as a first pass to optimise submission quality
- Expected output is excel report
- Plan to offer outside release cycle

Custom work

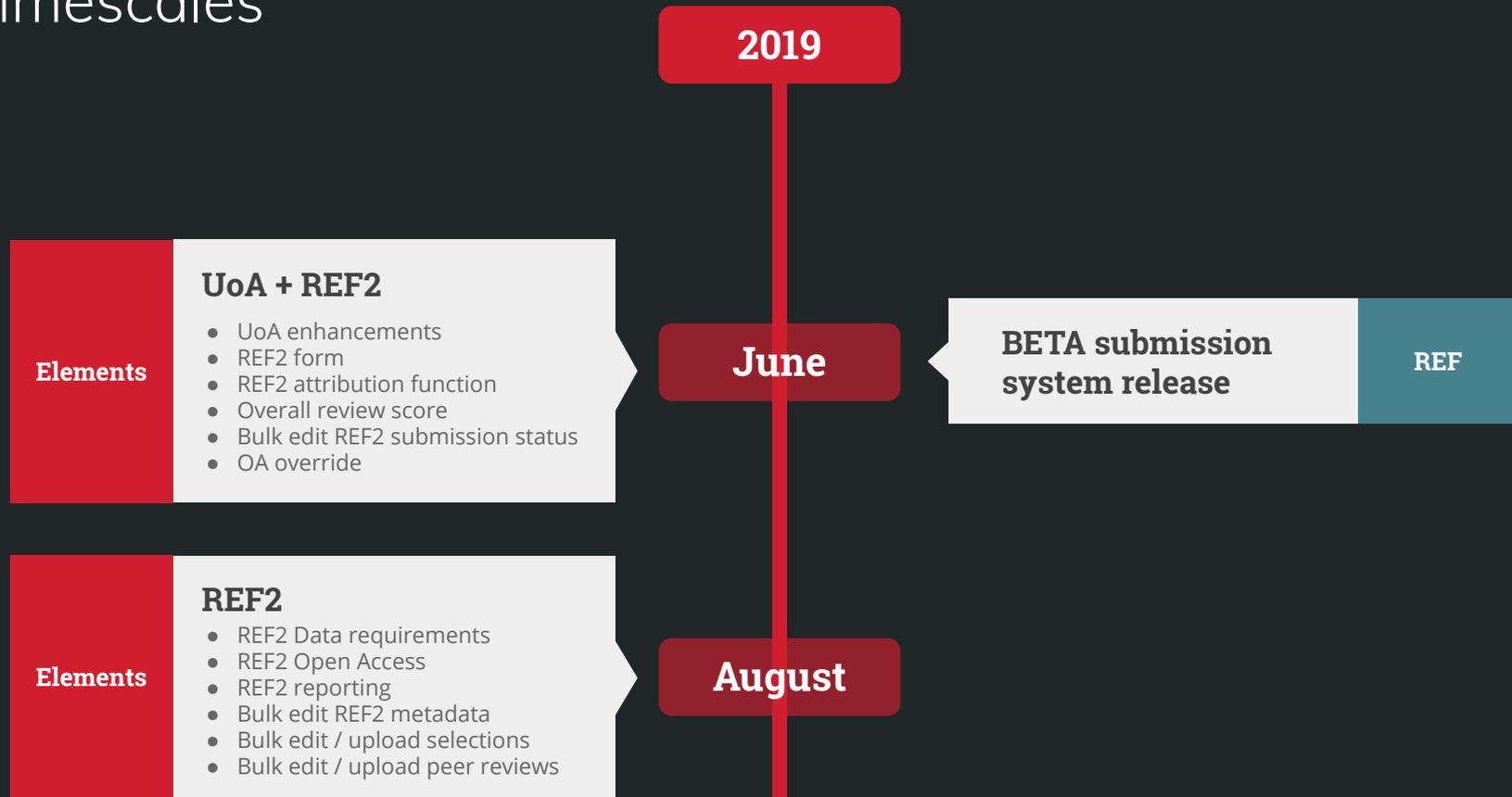
Unit summary report

- Help institutions in managing their submission and optimising the results
- Deliver variety of analyses based on the institution's REF data in Elements
- Planning 2 outputs:
 - PDF (one per UoA)
 - Excel (one row per UoA)
- Plan to offer outside release cycle

Prioritisation beyond October

Requirements
Submission XML
REF2 Citation data
Validation
Submission lock out
Post-submission freeze
REF2 DOI / URL / PDF / Physical copy management

Timescales



Elements

UoA + REF1

- REF1 form
- Manage REF1 page
- Bulk edit REF1 metadata
- REF1 stock report
- Manage Unit screen
- REF2 type mapping
- Navigation improvements

October

Elements

**Respond to feedback +
buffer + XML foundation**

December

**Submission
system pilot**

REF

2020

Formal submission
system release +
technical guidance

REF

February

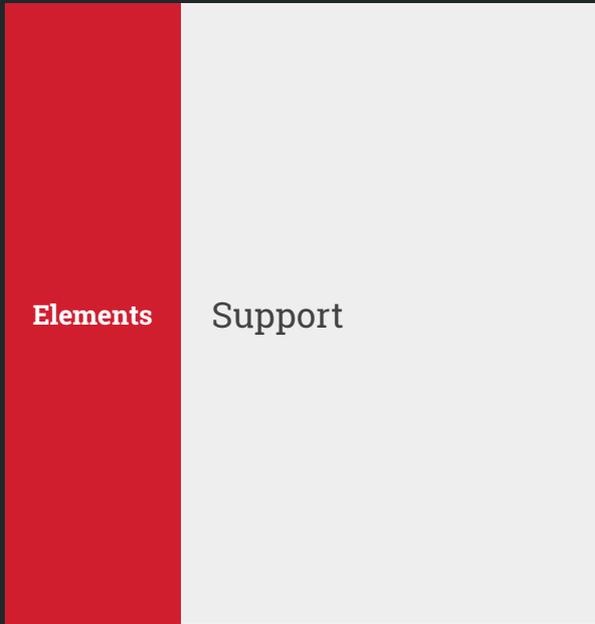
March

April

Elements

Submission

- Validation
- Submission XML
- Submission lock-out
- REF2 citation data (TBC)
- Post-submission freeze (TBC)
- REF2 DOI / PDF / Physical copy tracking (TBC)



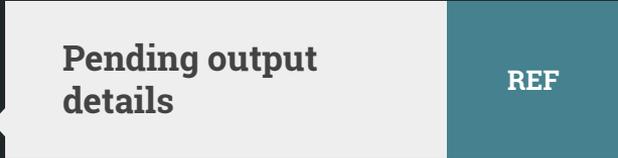
June

August

October

December

2021



Timescales

- Customers should expect 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

Some OA follow-up

- 91 or 92 days?
 - In our current guidance, we advise a deposit deadline of 91 days
 - Audit guidance states will identify where where number of days between datePublished and depositedDate is greater than 92
 - Should we update our guidance?
 - Liverpool responded they switched to using months to account for this
- Leap year
 - If 'Maximum file embargo' input as 365 / 730 days, will come up as not compliant in 2020
 - Proposal is to input 366 / 731 days - within 'spirit'
 - Liverpool have implemented this

Elements REF Resources

REF support space

<https://support.symplectic.co.uk/support/solutions/6000138786>

REF forum

<https://support.symplectic.co.uk/support/discussions/forums/6000242424>