Guidance for the 'REF Assessment – Output selection (Jan 2020)'

Background information

All eligible academic staff for the REF 2021 are being asked to identify and nominate at least one paper and up to a total of six papers that we should consider, and comment on the suitability of this paper based on the REF 2021 assessment criteria. This document provides guidance about what to consider for each paper, specifically about eligibility, authors, citations for your field, originality, significance and rigour of the paper. Your supporting information will be added to the 'REF Assessment – Output selection (Jan 2020)', accessed on CRIS.

Using CRIS to nominate your top Papers/Outputs

1. Please login using https://cris.sgul.ac.uk/.
2. In the "My Actions" list, Click on "REF Assessment – Output selection (Jan 2020)".
3. In the Summary box on the right, click Select Items to see your list of papers in CRIS. Choose the ones you want us to consider and for each click "Select for Outputs". Click Done at the top right.
4. "View list". For each individual paper, click on the "View item" box on the lower right and "Edit" the supporting information. There are seven boxes, and guidance to fill out each is below.
5. In the List Summary box on the right, click Order items. Use this tool to order your papers with what you feel is your strongest at the top, based on the REF criteria.

If you are part of a group of REF 2021 eligible academics who publish together:

As a group you should identify your strategy for which paper should be assigned to which academic. Every academic must submit at least one paper, and a maximum of five (six to the mock REF); e ach paper will only be submitted once. It does not matter who a paper is assigned to – and this will not be published by REF 2021 – but we need to understand your strategy.

Please only submit each paper once to the mock REF by one academic.

Reminder –

- Eligible SGUL staff for REF 2021 are those employed on a SGUL contract on 31st July 2020, >0.2FTE, member or joint member of a Research Institute, and have a job title of Professor, Reader, Senior Lecturer or Lecturer.
- New staff can include papers published before joining SGUL.
- Staff that have left SGUL can have their papers included provided they were employed by SGUL when the paper first became publicly available. Please email the supporting information about these papers directly to jlindsay@sgul.ac.uk or ycastle@sgul.ac.uk.

If you need help with this, please email the Academic Lead for REF, Professor Jodi Lindsay (jlindsay@sgul.ac.uk) or your Research Institute Director.

Supporting information

1. Is this paper eligible?

To be eligible, the paper should be:

1. **Open Access.**

    For papers accepted for publication before 1 April 2016, this is not required.

    For papers accepted for publication between 1 April 2016 and 31 March 2018, the output must have been deposited in CRIS/SORA within 3 months of the date of publication.

    For papers accepted after 1 April 2018, the output must have been deposited in CRIS/SORA within 3 months of acceptance.

    If your paper is exceedingly strong but falls out of the Open Access requirements, we have a small discretionary number of papers we can submit, please include it and explain.

2. **Dates of publication.**

    The paper must have **first been available in the public domain** (not published) between 1 January 2014 and 31 December 2020.

    If you are expecting a potential strong paper to be accepted and first available in the public domain between now and before 31 December 2020, please flag it up to your Institute Director and the Academic Lead for REF, Professor Jodi Lindsay (jlindsay@sgul.ac.uk).

3. **Is this paper a Systematic Review? Was it registered in Prospero?**

    Note that we will not be submitting other Reviews, Opinion, Correspondence, Position statements or Guidelines to REF 2021, if we should regard your paper as an exception then please justify.

4. If you have a paper that you think should be returned for REF 2021 but it is not appearing in your CRIS list, please contact sora@sgul.ac.uk in the first instance.

5. Note that once a paper is eligible, then the quality of that paper will be assessed irrespective of number of SGUL authors or their position in the author list.

2. >15 authors? If so, what is your contribution to the paper?

1. Yes or No.

    If there are 16 or more authors, are you the lead or corresponding author and how is this identified in the paper?

2. If you are not the lead or corresponding author, we need you to identify your contribution based on the REF guidance, please identify which of these statements are correct (at least one of a. and at least one of b.)

   a. The author made a substantial contribution either to the conception and design of the study; or to the organisation of the conduct of the study; or to carrying out the study; or to analysis and interpretation of study data.
   And / Or

   b. The author helped draft the output; or critique the output for important intellectual content.

3. In addition, please prepare a written statement and send it to your Research Institute Director **and** the Academic Lead for REF, Professor Jodi Lindsay (jlindsay@sgul.ac.uk) explaining your evidence for these statements. Ideally it will state this in the published manuscript.

3. Citation subject area and % cut-off

1. From your CRIS account identify the number of citations for the paper (WoS). If there are 0 or – citations and you think this is incorrect, please contact sora@sgul.ac.uk.

2. Open the contextual data tables provided by REF https://www.ref.ac.uk/guidance/citation-and-contextual-data-guidance/ (use the excel file, updated regularly) and click on the "Article" tab at the bottom.

3. Please identify the Journal Subject Category of this paper (column C), from those in the Life Sciences & Biomedicine (column B) options.

4. Please identify if your paper falls into the top 1%, 5%, 10%, 25% or 50% of cited papers published in that Subject Area for the year of publication.
   Note the data is different for Articles and Reviews, please indicate if this article is a Systematic Review and you used Review data.

5. Example: A paper published in Rheumatology in 2016 with 27 citations would be in the top 10%.

6. Articles for 2019 do not require citation data. While citation data may be used in short-listing or ranking papers, it should not be overly emphasised.

4. – 6. Originality, significance and rigour of the paper

These are the key criteria that the REF 2021 assessment panels will use to assess the quality of papers. Please include up to 100 words on each of these three topics, preferably using words taken from the paper itself (use quotation marks).

1. **Originality** will be understood as the extent to which the output makes an important and innovative contribution to understanding and knowledge in the field. Research outputs that demonstrate originality may do one or more of the following: produce and interpret

new empirical findings or new material; engage with new and/or complex problems; develop innovative research methods, methodologies and analytical techniques; show imaginative and creative scope; provide new arguments and/or new forms of expression, formal innovations, interpretations and/or insights; collect and engage with novel types of data; and/or advance theory or the analysis of doctrine, policy or practice, and new forms of expression.

2. **Significance** will be understood as the extent to which the work has influenced, or has the capacity to influence, knowledge and scholarly thought, or the development and understanding of policy and/or practice.

3. **Rigour** will be understood as the extent to which the work demonstrates intellectual coherence and integrity, and adopts robust and appropriate concepts, analyses, sources, theories and/or methodologies.

Some of the following indicators are likely to be considered:

- scientific rigour and excellence, with regard to design, method, execution and analysis
- significant addition to knowledge and to the conceptual framework of the field
- actual significance of the research
- the scale, challenge and logistical difficulty posed by the research
- the logical coherence of argument
- contribution to theory-building
- significance of work to advance knowledge, skills, understanding and scholarship in theory, practice, education, management and/or policy. Applicability and significance to the relevant service users and research users
- potential applicability for policy in, for example, health, healthcare, public health, food security, animal health or welfare.

Source: REF Panel Criteria and Working Methods (2019/02) available at:

https://www.ref.ac.uk/media/1084/ref-2019_02-panel-criteria-and-working-methods.pdf paras 190-201)

7. Is there anything else we should consider when deciding which papers SGUL should return?

1. E.g. if you often publish as part of a larger group of REF eligible academics at SGUL, you could confirm the other SGUL authors and that you have agreed that you are submitting this paper to the mock REF.

2. E.g. let us know if the data in CRIS seems inaccurate, such as publication date or citation count (email jlindsay@sgul.ac.uk or ycastle@sgul.ac.uk).