Collecting & Verifying RAE Output

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This was the final talk in a set of three Case Studies at a meeting Beyond the RAE 2008: Bibliometrics, League Tables and the REF at Kings College, London in April 2008. This talk focused on the Southampton experience of collecting research evidence through a repository, whereas the other case studies focused on using (or developing) bespoke research management systems.

The talk started off with my reflections on the whole process – why research assessment is starting to affect everything that researchers do and the need to help researchers continually gather information about their research and to help them present arguments about its importance and excellence.

The main part of the talk addresses the library processes and activities that support research assessment and the benefits that accrue to the library as a result of its involvement.
What is the Point?

- Some objectives from today’s website
  - “uses of citation data in research evaluation”
  - “collecting and managing research output metadata”
  - “collecting and verifying research output for RAE/REF”

- Ongoing research evaluation isn’t peculiar to HEFCE
  - Research Institutions do it
  - Research Groups do it
  - Researchers do it
  - Research Funders do it
What is the Point?

- Why am I doing this research?
- Why are we funding you to do this research?
- Why are we doing your teaching?

Because it’s important. It has impact. It is changing the world. It is saving lives. It is saving money. It’s changing the agenda.

Along with the research outputs and the metadata and the statistics there is a story.
What is Our Point

- A repository helps an institution to collect and maintain its data, its impact measures and its story.

- The library is a key agency in helping to collect and curate the research outputs, analyses and interpretations.
Inter-Service Expertise

- RAE management group includes
  - DVC Research
  - 3 Faculty Research Deans
  - Head of Planning
  - Assistant Director HR for Organisation and Planning
  - Research Repository Manager
  - Research Management System Manager

- Useful model of collaboration - from strategic decision making to working together on interpreting HEFCE guidelines and providing consistent advice to queries
Role of Repository

- Store bibliographic details of research outputs for RA2

- Store scanned PDFs - different access levels to cater for need to lock down RAE material whilst keep open access items available

- Store information to help write RA5 - optional tool taken up by some

- Store RA2 descriptions for submission

- Output select and de-selection functionality

- Reporting functionality
In each institution, the researchers simply select their best articles from the Institutional Repository. These are routed through to the institution’s Research Management System which prepares the final submission for RAE 2008. The RAE panels may access pre- or postprints from the RAE Repository.
Repository Software Development

- Based on JISC IRRA project

- Additional development needed, 1FTE developer plus 1 x 6 month secondment
  - Adapt metadata fields and category coding to cover all HEFCE's requirements without interfering with open access role
  - Specialist query scripts e.g. cross-ref checks
  - Development of more sophisticated output selection management and annotation tools
  - Output workflow QA tools e.g. sorting and listing large volumes of records
  - Access control and edit management for RAE data
Relationship with the Research Management System

- Provided links to the research repository so information could be assessed alongside data from HR and finance
- RMS provided reporting tools
- RMS mapped all information to the HEFCE interface
Output workflow

- 23 Schools & Cross-School research Centres

- Some had sophisticated databases
  - we imported records

- Some had less robust databases
  - we struggled to import records

- Some Schools self-deposit by researchers or by administrators

- All records QAed and details upgraded
Output management workflow staffing

- **Core staffing**: 1 repository editorial manager
- **1 0.6 editorial assistant**
- **3 staff who contribute a few hours a week**
- **At peak 7 FTE additional temp staff - varied over 18 months**
Output management workflow issues

- Recruitment & retention of staff with relevant experience for short term spells
- Staff training and supervision
- Dealing with high volume of legacy data
  - next time with ongoing use of the repository this should be less of an issue
- Verification of publication status
Relationship with Open Access

- Tension between publisher PDF/DOI requirement and author postprint
- Many researchers engaged with the repository and liked its services
  - good quality metadata
  - feed through to their home page listings with PDFs of post-prints alongside references
- Such intensive use gave us feedback for future development
- Some Schools gave up their databases in favour of the central service
  - won trust for reliability of support
- No RAE specific posts for the repository
  - everyone supporting all areas of repository work
Key benefits of involvement

- Raised profile for services like the Library and Planning
- Having a voice in ongoing discussions about research management - broadly, not just REF focussed
- Embedding of research repository as a core, ongoing University Service
  - RAE effort has ongoing benefits
- Deeper links with research staff and research administrators
  - Improved value from Library investment
“At Southampton the Library has been part of an integrated team delivering the RAE return. The strong links which the Library has with the academic community, their understanding of the academic research process across disciplines and their experience in developing the repository service have been invaluable.”

Phil Nelson, Pro-Vice Chancellor for Research and Enterprise
Future issues & developments

- Liaise earlier to lobby HEFCE about any difficult requirements e.g. month for journal articles

- Some over-reliance on individual staff expertise to be addressed

- Further development of the research management and open access roles of the repository in the REF era

- Further development of the research management system to pull data together from core databases, provide analytical tools and re-presentation options
That’s All

- Research Evaluation is part of research, not just part of administration.
- As well as RA2s and RA5s there are
  - Slideshows
  - Marketing
  - Publicity
  - Digital profile
  - Web sites, online bibliographies and CVs.

THANK YOU