RAE 2008: guidance on research outputs

Introduction

1. We previously advised in RAE2008 Guidance on submissions (RAE 03/2005), that HEIs need to be able to make available or arrange access to any item of research output cited in a submission to RAE 2008. We also said we would require HEIs to submit some categories of output in electronic format with their submissions, and that details would accompany the pilot version of the data collection system.

2. The pilot data collection system has been released. Arrangements for using the system during the pilot period and related documentation are at www.rae.ac.uk/datacoll/arrange/.

3. This document:
   a. Explains that outputs of the type D Journal article only must be submitted in electronic format. We require HEIs to include in submissions alongside the other bibliographic data, the article’s Digital Object Identifier (DOI). The DOI will enable the RAE team and panels to access the published version of journal articles in electronic form via publishers’ websites. Paragraphs 4 to 8 give further information.
   
   b. Guides HEIs on maintaining evidence of the content during the publication period of outputs disseminated through electronic media whose content may change over time (for example, web-content) and outputs whose dissemination in the public domain was transient (for example performances). Paragraphs 9 to 13 give further information.
   
   c. Advises HEIs that we will publish firm arrangements for collecting all other outputs (except journal articles whose DOI is supplied) at the latest when we launch the final version of the data collection system in December 2006. The firm arrangements are still subject to resolution by the RAE team of some logistical considerations. However, at this stage of planning, we expect to ask HEIs to provide everything (apart from journal articles collected through the provision of DOIs, and exceptionally items of great rarity or value) either at one point soon after the submission date; or in several batches at predefined dates. We are unlikely to operate an “on-demand system” like that used for the 2001 and 1996 RAES. Apart from journal articles, we expect to collect all outputs in a portable physical format. However, we are considering the technical feasibility of enabling HEIs optionally to deposit non-print outputs in a repository, separately from the data collection system.

Journal articles and Digital Object Identifiers

4. In order to simplify the assessment process and reduce the burden both on panel members and institutions, we require journal articles to be submitted electronically. To achieve this, form RA2 in the data collection system contains an additional field for HEIs
to include the article’s Digital Object Identifier (DOI) in submissions alongside the other bibliographic data. The DOI will enable the RAE team and panels to access the published version of journal articles in electronic form via publishers’ websites.

5. We are aware that some staff in HEIs may not be familiar with DOIs and may not have this information readily available. To assist HEIs in completing this field and to facilitate data verification, we are working with the official DOI registration agency for scholarly and professional publications CrossRef, to allow HEIs to obtain and check the information required for the DOI field. We expect to add functionality to the final release version of the RAE data collection system to enable this.

6. The CrossRef web-site already supports the retrieval of DOIs through individual and small batch searches. Further information is at [www.crossref.org](http://www.crossref.org)

7. The vast majority of journal articles submitted in RAE2008 will have a DOI, but it is possible that some journals will not have assigned a DOI to their articles. In cases where a DOI does not exist, HEIs will be required to submit an electronic copy in portable document format (pdf) at the same time as all other outputs are collected (see paragraph 3c above).

8. We are concluding a licence agreement with the Publishers Licensing Society (PLS) which will permit the scanning and photocopying of outputs submitted in RAE2008. We will publish more details on this agreement in due course.

### Transient outputs; outputs with changing research content

9. All information provided in submissions must be verifiable. As well as being prepared to make available any cited output, or in the case of certain non-text outputs, evidence of their dissemination in the public domain, HEIs will need to be able to provide verifiable evidence of the research content of “transient” outputs (eg performances) and outputs whose content may have changed (eg web-content). The guidance that follows should be read in conjunction with and does not replace *RAE2008 Guidance on submissions* (RAE 03/2005); *RAE 2008 panel criteria and working methods* (RAE 01/2006); *Guidance on the data requirements of the output description fields on form RA2 – Research outputs* [www.rae.ac.uk/datacoll/subs/](http://www.rae.ac.uk/datacoll/subs/).

### Transient outputs

10. “Transient” outputs could include the following types

- Type E Conference contribution (if delivered orally and not published in print or digital medium)
- Type I Performance
- Type M Exhibition
- Type T Other form of assessable output.

---

1 All output types are defined in the data collection system [User Guide](http://www.rae.ac.uk/datacoll/subs/)
For transient outputs, HEIs must maintain and be prepared to submit to the RAE team, either for verification or assessment by panels, evidence that the output was disseminated in the public domain and evidence of its research content.

11. Evidence that the output was disseminated in the public domain could include, for example, a dated conference programme, exhibition catalogue or performance programme. Evidence of the research content could include, for example, an electronic record (video, DVD, sound or other recording) or a photographic record. These examples of evidence are illustrative: HEIs may maintain and submit other documentary evidence that the output was disseminated in the publication period and on which the sub-panel can make an informed assessment of its research content and quality.

Changing research content

12. Some categories of output do not exist in a stable form and their research content may change over time by virtue of the nature of the medium through which they are disseminated. Examples could include
   • Type H Internet publication
   • Type R Scholarly edition (if published via the Internet)
   • Type S Research datasets and databases
   • Type T Other form of assessable output.

13. For outputs whose research content has changed or is capable of changing over time, we need to assure sub-panels that what they gain access to or receive for assessment during 2008 is the same research content that existed at the publication date cited in the submission. As we noted in paragraph 100 of RAE03/2005 Guidance on submissions, for such outputs, HEIs must maintain and be prepared to submit to the RAE team, either for the purpose of verification or for assessment, evidence of the output's research content at the date of publication. Evidence could take the form of
   • A date stamped printout of content (eg for website content, database content, scholarly editions disseminated through the Internet)
   • A date certified (ie signed and dated by the author to whom the output is attributed in the submission) electronic copy of the content (eg, video, DVD, sound or other recording).

These examples of evidence are illustrative and other documentary evidence may be supplied.

Further information

14. Once we have finalised arrangements for HEIs to supply outputs, we will issue comprehensive guidance, probably in a matrix format, of the requirements for each output type, ie what needs to be supplied in each case and when.