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REF2021 module



REF2021 Module development

[Development plans and timescales](#)

[5.19.3 Dash releases](#)

Released functionality

[REF module documentation](#)

[REF 2021 - Release notes](#)

[REF Audit service](#)


Census periods and dates

[Census periods and dates](#)

MasterClasses

[REF2021 MasterClasses](#)

REF2014 User Guide

[REF2014 User Guide](#)  (many sections still useful for REF2021, until we get REF2021 documentation prepared)

Census periods and dates

RELEASED : 5.3.0
 UPDATED : 5.6.1, 5.9.0, 5.12.0

REF2021 Census Periods and Dates (relevant to Pure functionality)

Form	Census	Date / period
REF1a /b	Staff in post	31 July 2020
REF2	<p>Date output first became available in the public domain (the REF module is looking at the Publication date to determine this value - this will be updated in an upcoming version to derive the date the output first became available in the public domain, looking at Published date, Online ahead of Publication date, and repository / Portal availability)</p> <p>Note that from 5.6.1, outputs flagged as 'Submitted to REF2014' will not be available for proposal for REF2021. Further details are available in the 5.6.1 Release Notes.</p>	1 January 2014 - 31 December 2020
REF4	Doctoral degrees awarded (REF4a), Research Income (REF4b), and Research Facility income-in-kind (REF4c)	2013/14-2019/20

Module development plans



REF2021 Module Development Plans

REF2021 module development began in earnest from 5.12 June 2018. Details are available via the links below. Note that the timescales we are able to deliver against will very much depend on the timing of the publication of the submission guidance, panel criteria, and details of specific data requirements.

- [Phase 6: 5.17 : February 2020](#)
- [Phase 5 : 5.16 : October 2019](#) (candidates will be finalised May / June 2019)
- [Phase 4 : 5.15 : June 2019](#) (candidates will be finalised January 2019)
- [Phase 3 : 5.14 : February 2019](#)
- [Phase 2 : 5.13 : October 2018](#)
- [Phase 1 : 5.12 : June 2018](#)

[Delivered functionality](#)

5.12 development plan



UPDATED : 14 March 2018

The following is the list of candidates for inclusion in the 5.12 (June 2018) release.

5.12 candidates																																															
Item	Functionality type	Priority	Specification	Screenshots / Mockups																																											
1	<p>REF2 : Predicted grades</p> <p>Introduce 13 point scale</p>	<p>SUBMISSION MANAGEMENT</p>	<p>SHOULD HAVE</p> <p>EARLIER</p>	<ul style="list-style-type: none"> Introduce 13-point rating scale to enable more granular grading and selection decisions to be made Introduce for Peer predicted grades and overall predicted grade Maintain 5-point scale on REF2 summary screen (so readable and communicable indicative quality profile continues to be available) Requires update to REF2 predicted grade import jobs Will try to offer as configuration (disable / enable, at institutional level) Migrate existing data as follows: 																																											
			<table border="1"> <tr> <td>n/g</td> <td>U</td> <td>1-</td> <td>1</td> <td>1+</td> <td>2-</td> <td>2</td> <td>2+</td> <td>3-</td> <td>3</td> <td>3+</td> <td>4-</td> <td>4</td> <td>4+</td> </tr> <tr> <td>n/g</td> <td>U</td> <td colspan="2">1*</td> <td colspan="2">2*</td> <td colspan="2">3*</td> <td colspan="2">4*</td> <td colspan="3"></td> <td></td> </tr> <tr> <td></td> <td>/C</td> <td colspan="12"></td> </tr> </table>	n/g	U	1-	1	1+	2-	2	2+	3-	3	3+	4-	4	4+	n/g	U	1*		2*		3*		4*							/C														
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2	<p>REF2 : Output selection</p> <p>Enable up to 5 outputs to be selected</p>	<p>SUBMISSION REQUIREMENT</p>	<p>MUST HAVE</p> <p>EARLIER</p>	<p>Current functionality only enables up to 4 outputs to be selected for submission per individual (can currently have infinite REF2 records per individual, but only up to 4 in the 'Selected for REF2021' state). This should be increased to 5, along with the removal of the 'Output number' field and any associated validation.</p> <p>Related areas to look at and consider implications:</p> <ul style="list-style-type: none"> • REF1a/c Summary screen • REF1b calculations <p>Don't really want to update these areas as these will need significant changes once we know the submission requirements - but need to just make sure that these elements don't break with the expansion to 5 outputs, and that the info provided isn't mis-leading / inaccurate.</p>	<p>Information to sub panel</p> <p>Output number *</p> <p>Other ▼</p> <p>Additional information This includes information about the research process of the output, the author's contribution to co-authored further information on completing this field.</p> <p>words 0 Max 300</p>
3	<p>REF1a /c : Census date</p>	<p>SUBMISSION REQUIREMENT</p>	<p>MUST HAVE</p> <p>EARLIER</p>	<p>Update REF1a/c Staff census date to 31 July 2020</p>	

4	REF2 : Publicati on period	<div style="background-color: #e67e22; color: white; padding: 2px; text-align: center; font-weight: bold;">SUBMISSION REQUIREMENT</div>	<div style="background-color: #e67e22; color: white; padding: 2px; text-align: center; font-weight: bold;">MUST HAVE</div> <div style="border: 1px solid #e67e22; padding: 2px; text-align: center; margin-top: 5px; font-weight: bold;">EARLIER</div>	Update REF2 publication period 1 Jan 2014 - 31 Dec 2020 (was to 31 Dec 2019)	
5	REF1a /c : FTE filter	<div style="background-color: #f1c40f; padding: 2px; text-align: center; font-weight: bold;">SUBMISSION MANAGEMENT</div>	<div style="background-color: #3498db; color: white; padding: 2px; text-align: center; font-weight: bold;">NICE TO HAVE</div>	Add the facility to filter 'Total FTE' for FTE = 0	<div style="border: 1px solid #ccc; padding: 5px;"> <p>Search for REF1a/c (2021)</p> <div style="display: flex; align-items: center; gap: 5px;"> + Total FTE My content → </div> <p>Total FTE</p> <ul style="list-style-type: none"> <input type="radio"/> FTE > 1.0 <input type="radio"/> 0.2 ≤ FTE ≤ 1.0 <input type="radio"/> FTE < 0.2 </div>

6	<p>Reporting</p> <p>Enable REF content in new Reporting module</p>	<p>SUBMISSION MANAGEMENT</p>	<p>MUST HAVE</p> <p>EARLIER</p>	<ul style="list-style-type: none"> • Enable REF content in new Reporting module (will be a first phase delivery for 5.12, to be expanded upon in future releases) • Likely to deliver REF1a/c and REF2 initially, and expand as additional content requirements become clear and relevant updates are made to the REF datamodel in Pure 	
7	<p>Reporting</p> <p>UoAs</p>	<p>SUBMISSION MANAGEMENT</p>	<p>SHOULD HAVE</p>	<p>Introduce new 'UoA code' report projection that excel will interpret as a number, so sorting doesn't result in 1, 10, 11, 2, 20, 21, 3, 30, ...</p> <p>Keep existing UoA report projection that gives both the UoA number and name.</p> <p>New reporting module</p>	

8	REF2 : Typo in exceptions	SUBMISSION REQUIREMENT	MUST HAVE	There's a typo in one of the Access exceptions	
9	REF2 : Author ranking upon proposal Make non- mandato ry	SUBMISSION MANAGEMENT	SHOULD HAVE	Following consultation with the User Group, it is clear that there is a mix of needs with regard to the Author ranking of outputs when individuals are proposing outputs - some institutions actively use this functionality and need to see it remain, while others would like to see it go. As such, the proposal is to no longer make the Author ranking field mandatory.	? Unknown Attachment

5.13 development plan



UPDATED : 18 July 2018

The following is the list of candidates for inclusion in the 5.13 (October 2018) release.

5.13 candidates						
	Item	Functionality type	Priority	Specification	Screenshots / Mockups	Customer
1	<p>REF2 : Open Access</p> <p>Update logic to reflect confirmed final policy</p>	<p>SUBMISSION REQUIREMENT</p>	<p>MUST HAVE</p> <p>EARLIER</p>	<ul style="list-style-type: none"> Currently, REF OA Compliance status is calculated based on the Acceptance date. Update logic to comply with final policy: <ul style="list-style-type: none"> 1 April 2016 - 31 March 2018 - deposit within 3 months of Publication date <ul style="list-style-type: none"> As the REF OAPA policy defined in the date of publication as the "earliest date of final version of - rec 	<p>? Unknown Attachment</p>	

or disseminated available on publisher's website. This generally means that the earliest online date ... should be taken as the date of publication". The log checker should look to the publication head of pr

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- o 1 April
2018 -
31 Dec
2020 -
deposit
within 3
months
of
Accepta
nce date

- "Deposit on publication requirement met" exception
 - Was introduced in Pure for the interim period while we awaited final policy
 - Where this exception has been selected, and the output falls in the Publication date phase of the policy, upon upgrade remove this exception and recalculate REF OA Compliance status based on updated logic
 - Where this exception has been selected, and the output falls in the Acceptance date phase of the policy, upon upgrade keep this exception
 - Move the "Deposit on publication requirement met" exception to the Deposit exceptions branch
- Update editor to make it clear which policy phase applies to the output
- Ensure a log exists listing those outputs where the exception was removed and the updated logic applied.

2

REF2 :
Open
Access

Update
REF2 to
capture
OA
Compliance
status

SUBMISSION
MANAGEMENT

MUST HAVE

- Update REF2 editor to indicate REF OA Compliance status (sync'd from associated Research Output)
- Introduce REF2 filters for (same as currently have for Research Outputs) (in editable list and in reporting)
 - REF OA Compliance status
 - REF Exception

? Unknown Attachment

3	<p>REF2 : Open Access : 'Not REF Eligible' label</p>	<p>SUBMISSION MANAGEMENT</p>	<p>NICE TO HAVE</p>	<p>Given the guidance that the REF team will permit for some 'human error' in ensuring compliance with the REF OA policy, it has been suggested that we re-name the 'Not REF Eligible' OA compliance status - perhaps 'NOT compliant - confirmed'</p>	<p>? Unknown Attachment</p> <p>? Unknown Attachment</p>	
4	<p>REF2 : Open Access</p> <p>Update REF OA Monitoring: Overall compliance summary screen: new 'Potentially subject to policy' column</p>	<p>SUBMISSION MANAGEMENT</p>	<p>SHOULD HAVE</p> <p>EARLIER</p>	<ul style="list-style-type: none"> As we only start monitoring REF OA compliance status once the FULL (DD/MM/YY) acceptance date is input, there may be outputs that fall through the cracks in terms of monitoring REF OA compliance To counter this, introduce new column (before 'Outputs subject to policy') to 'REF OA monitoring: Overall compliance summary' screen - called 'Potentially subject to policy' - that shows all outputs potentially subject to the policy but just missing full dates Logic should be: <ul style="list-style-type: none"> Output type as per all other REF OA logic 	<p>? Unknown Attachment</p>	

◦ If no full acceptance date input but any other publication state year is 2016 or later (to 2020), include in this column

- **CONFIRM THIS**

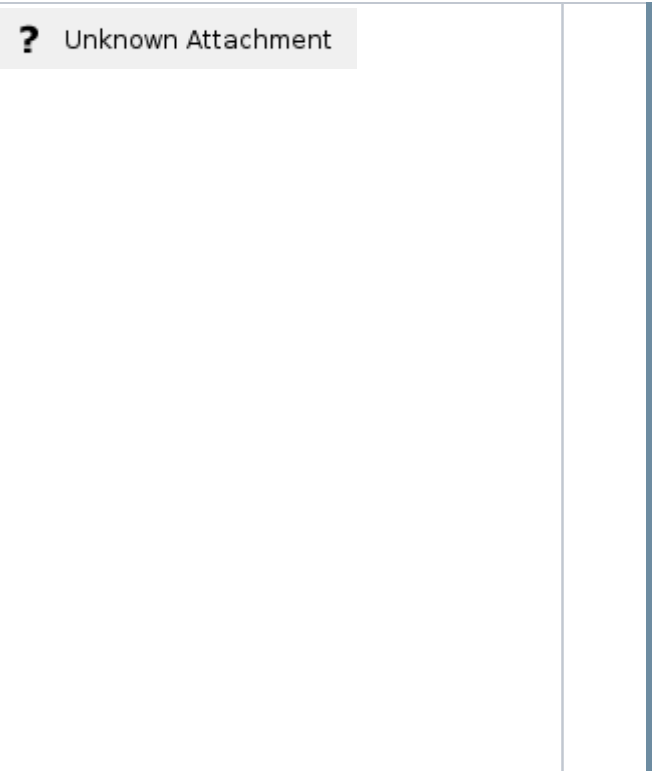
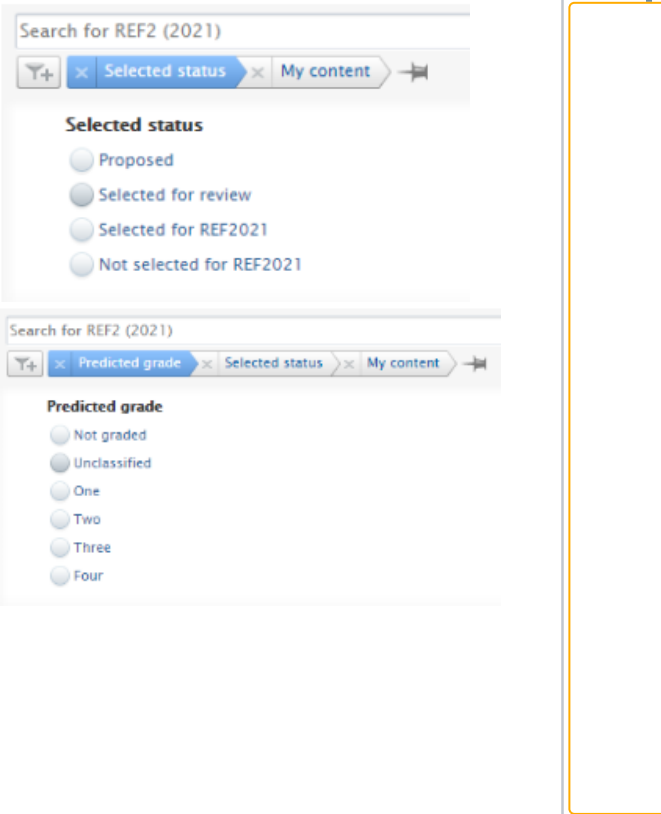
▪ **O**r should we ignore 'in preparation' ; **S**ubmitted', and 'Unpublished' state s?

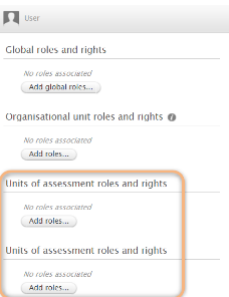
- Examples:
 - Acceptance year = 2016
 - Publication date = 1 Feb 2017
 - Submitted year = 2017

5	<p>REF2 : Open Access</p> <p>Update REF OA Monitoring : Overall compliance summary screen : No exception</p>	<p>SUBMISSION MANAGEMENT</p>	<p>SHOULD HAVE</p>	<p>Outputs that are compliant in their own right (by meeting the Deposit and access requirements) but where the 'No exception' exception has also been selected in error, these outputs are getting counted as Compliant - Exception applies, but should be counted in the Compliant column</p> <ul style="list-style-type: none"> • Update the logic of the Compliant column to also count those outputs that are compliant in their own right (by meeting the Deposit and access requirements), and where the Exception 'No exception' has been selected • Update the logic of the Compliant - Exception applies column to not count those outputs that are compliant in their own right (by meeting the Deposit and access requirements), and where the Exception 'No exception' has been selected 	
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6	<p>REF2 : Open Access</p> <p>REF OA Monitoring screens : Improved grouping for Managing Organisation</p>	<p>SUBMISSION MANAGEMENT</p>	<p>SHOULD HAVE</p> <p>EARLIER</p>	<ul style="list-style-type: none"> When grouping by Managing Organisation, the REF OA monitoring screens currently list the directly associated Managing Organisation, regardless of Org unit type (i.e. level), making it difficult to use these screens to manage OA compliance without requiring manipulation of the data It is proposed to update the screens such that, when Managing Organisation is selected as the Grouping, by default the full Org hierarchy is displayed (using the same logic as how Org units are displayed in the hierarchical view) Additionally, it would be useful to be able to define the desired org unit at which to group - see mock-up for suggestion (it is not certain at this time whether something like this is possible) 	<p>? Unknown Attachment</p>	
7	<p>REF2 : Open Access</p> <p>REF OA Monitoring screens : UoA Grouping</p>	<p>SUBMISSION MANAGEMENT</p>	<p>SHOULD HAVE</p> <p>EARLIER</p>	<p>When grouping the REF OA monitoring screens by REF2021 UoA, this is currently done by the UoA assignment(s) of the author(s), not the output itself (as this screen, by default, counts ALL eligible outputs, not just those with an associated REF2, and, when originally released, very few REF2 records were being created).</p> <p>In order to get a more accurate picture of the actual submission while continuing to be able to view a summary of all eligible outputs (not just those with an associated REF2), it is suggested that we introduce a new grouping for viewing the table by the UoA of the associated REF2. We would therefore have two separate UoA groupings:</p> <ul style="list-style-type: none"> REF2021 UoA of associated author(s) (the current grouping) REF2021 UoA of associated REF2(s) 	<p>? Unknown Attachment</p>	

- Will require either those outputs with no associated REF2 to not be displayed, or an additional row for 'No associated REF2'
- Ideally, navigation will then go to the REF2 record if this grouping is selected, not the Research Output, as is the navigation currently. However, as this screen is based on Research Output records, not REF2s, by default the navigation would take you to the Research Output record, not the REF2. But if we're offering this new facility to group by UoA of associated REF2s, would the user not expect to then navigate to those REF2s? Problem is I'm pretty sure this is not possible within this one table - to have different navigation rules based on different grouping strategies. So, the navigation will continue to go to the associated Research Outputs.

8	UoAs : Old structure still in Settings	SUBMISSION MANAGEMENT	MUST HAVE	The old UoA structure still exists in the REF2021 settings - there is a configuration for each UoA (up to 36) for 'Lock ability to propose outputs (Persons associated to UoA X)'	
9	REF2 : Filters	SUBMISSION MANAGEMENT	SHOULD HAVE	Update existing REF2 filters for 'Selected status' and 'Predicted grade' to enable multiple selections for each filter	

10	REF User roles	SUBMISSION MANAGEMENT	SHOULD HAVE	Update headers in User editor to make clear which roles refer to which exercise (REF2014 or REF2021)	<input type="checkbox"/> Administrator of Person Expertise <input type="checkbox"/> Administrator of REF4a <input type="checkbox"/> Administrator of REF4a <input type="checkbox"/> Administrator of REF4b <input type="checkbox"/> Administrator of REF4b <input type="checkbox"/> Administrator of REF4c <input type="checkbox"/> Administrator of REF4c <input type="checkbox"/> Administrator of Student Thesis <p style="color: red; font-weight: bold;">Global roles</p> 	
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5.14 development plan



The following is the list of candidates for inclusion in the 5.14 (February 2019) release.

Audit of current requirements						
	Item	Functionality type	Priority	Specification	Customer JIRA	Elsevier
1	REF1 : Category A Eligibility / Submission	SUBMISSION REQUIREMENT	MUST HAVE	<p>With the updated staff selection criteria for REF2021, it is proposed that we make updates as follows:</p> <ul style="list-style-type: none"> On the UoA record, create a new section for 'Submission approach' with the options: <ul style="list-style-type: none"> 100% Not 100% This value then feeds into the REF1a/c record as follows: <ul style="list-style-type: none"> If UoA submission approach is 100%: <ul style="list-style-type: none"> If Eligibility = Eligible, Inclusion in REF submission = 'Submitted' (with no option to edit) If Eligibility = Not eligible, Inclusion in REF submission = 'Not submitted' (with no option to edit) If Eligibility = Pending, Inclusion in REF submission = 'Pending' (with no option to edit) If UoA submission approach is Not 100%: <ul style="list-style-type: none"> If Eligibility = Eligible, Inclusion in REF submission is not by default populated (default value is as per relevant REF2021 setting) If Eligibility = Not eligible, Inclusion in REF submission = 'Not submitted' (with no option to edit) If Eligibility = Pending, Inclusion in REF submission is not by default populated (default value is as per relevant REF2021 setting) 		

6: Agriculture, Veterinary and Food Science (Panel A)

UoA

Title
Agriculture, Veterinary and Food Science

Panel
Panel A

Active UoA
 Active Not active

Submission approach New field for capturing submission approach
 100% Not 100%

Category of Staff – REF1a/c

Staff category
Category A

Status: Eligibility & Inclusion in REF submission

Eligibility Reason
Eligible

Inclusion in REF submission Reason
Submitted

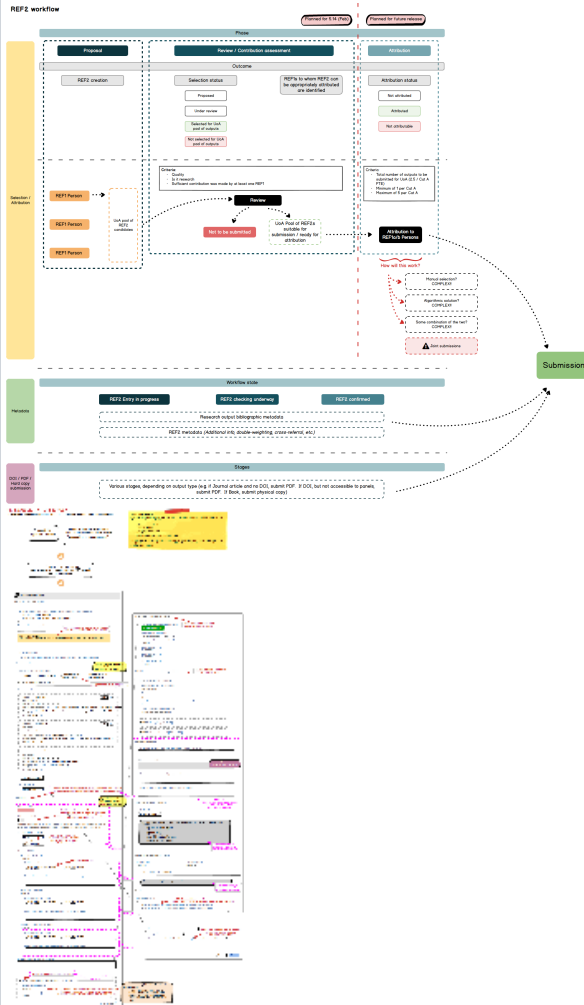
2

REF2 :
Single
REF2
per
UoA
criteria

SUBMISSION
REQUIREMENT

MUST HAVE

Significant rework of REF2 based on updated requirements - nature of this is under continued discussion - current proposals are attached.





3	REF1 : Tabular view of editable list	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>Introduce tabular view of REF1a/c editable list, with the following columns:</p> <ul style="list-style-type: none"> • Name • UoA • Research Group(s) • Org unit (Primary, if used, otherwise, all current Org unit affiliations) • Category • FTE • Number of affiliated REF2 records • Number of allocated REF2 records (once functionality available) • REF workflow state • Validation state <p><i>Sept 2018 UG : 11 votes (rank 4)</i> <i>Introducing in 5.14 as REF1 and REF2 Summary screens will be disabled until 5.15, when they will be re-introduced in alignment with the updated submission requirements</i></p>	
4	REF2 : Tabular view of editable list	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>Introduce tabular view of REF2 editable list, with the following columns:</p> <ul style="list-style-type: none"> • Title • UoA • Year (current publication status) • Research Group(s) • Managing Org unit • REF OA status • REF OA exception • Associated REF1a/cs • Overall predicted grade • Proposed for double-weighting • REF workflow state • Validation state <p><i>Sept 2018 UG : 11 votes (rank 4)</i> <i>Introducing in 5.14 as REF1 and REF2 Summary screens will be disabled until 5.15, when they will be re-introduced in alignment with the updated submission requirements</i></p>	

5.15 development plan



The following is the list of candidates for inclusion in the 5.15 (June 2019) release.

5.15 candidates					
	Item	Functionality type	Specification	Customer JIRA	Elsevier
1	REF2: Basic attribution functionality	SUBMISSION REQUIREMENT	<p>Includes updates to the REF2 editor to enable manual attribution of REF2s to REF1s. Should include associated reporting capabilities.</p>  <p>Advanced attribution functionality is planned for 5.16.</p>		
2	Re-introduce summary screens	SUBMISSION MANAGEMENT	<p>Updated summary screens, as per the attached proposed mockups:</p> <ul style="list-style-type: none"> • UpA • REF1 (5.15.0) • REF2 individual profile (5.15.0) • REF2 attribution profile (5.15.0) • REF2 summary stats <p>SummaryScreens.xlsx </p> <p>Notes:</p> <ul style="list-style-type: none"> • Some elements may need to be delivered in phases as related functionality (e.g. attribution functionality) is delivered 		



PUR
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PUR
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3

REF2 : Open Access

Embargo period exception

SUBMISSION REQUIREMENT

- Pure to calculate the length of the embargo period from the Embargo start (or if empty, earliest of ePub / Published date) and end dates input on the relevant Electronic version, and display this in the REF OA compliance section of both the Research Output and any associated REF2s. If insufficient info has been input (i.e. the embargo end date empty, no ePub / Published date), this is flagged up in the REF OA compliance section of both the Research Output and any associated REF2s (and to rectify, the user must input the information on the original associated Research Output record).
- Pure to flag up on the REF2 record whether the length of the embargo period exceeds the maxima for the panel to which it has been allocated
- As per 'Summary Screens' mockups above. Pure to flag up in REF2 summary stats screen outputs where:
 - Insufficient info has been input to calculate embargo period
 - Embargo period exceeds the maxima for the panel AND no REF2021 exception has been applied
- After this, not sure anything further we could / should do:
 - Complexity around the situation where a single output may be submitted to multiple panels
 - Automatically changing the REF OA compliance status to 'NOT compliant' is problematic as the output may be compliant in Panels C/D but not A/B
 - Automatically selecting the Embargo exception if the interdisciplinary identifier is applied for outputs in Panels A/B is problematic as the interdisciplinary identifier may not relate to spanning the boundaries with Panels C/D, but some other disciplines.
 - Automatically changing the REF OA compliance status to 'NOT compliant' is problematic in conjunction with the transitional use of default embargo end dates (such as 2099). This would result in a significant overstatement of non-compliant outputs while output records are in this transitional state while information is being sought.

Agreed to implement this proposal at the 14 September UKUG meeting



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REF1 : Category A data requirements

SUBMISSION REQUIREMENT

Update the REF1 datamodel to capture Cat A data requirements.

Data requirements (Category A)

Data field	New field?	Notes
HESA staff ID		Not mandatory
Staff reference code		Mandatory if no HESA ID
Initials		
Surname		
ORCID	✓	Not mandatory
FTE		Not mandatory – if the individual has identified applicable circumstances, this field will not be required.
Details of the research connection with the submitted unit (if FTE between 0.20 and 0.29 (inclusive))	✓	Not mandatory – if the individual has identified applicable circumstances, this field will not be required.
Fixed term contract, <u>secondment</u> , period of unpaid leave start / end dates		On census date
Research groups		
Omit from published data		Re-name the field from 'sensitivity'

Fields to be removed from REF1 forms:

- Start date as academic staff at institution
- It is proposed that staff who are wholly based in a discrete department outside the UK are not eligible to be returned. We will need to remove that field from the REF1 forms, and from the REF1 Summary screens.

Other items:

- Early career researchers
 - While ECRs are not to be identified in the submission (unless individual circumstances are being claimed) (this data will be sourced from 18/20 and 19/20 HESA returns), Pure should keep this field – updating the logic (ECR date is now 1 Aug 2016)
- Former staff
 - We currently flag up Former staff in REF1 – we need to think how to approach this given the ability now to submit former staff as Cat B

The ability to deliver this item in 5.15 very much depends on the nature of the REF1 datamodel changes required, and when the final guidance is published. It may very well be that the datamodel updates are not delivered until 5.16, or are delivered in phases.

5

REF1 : Category B data requirements

SUBMISSION REQUIREMENT

Update the REF1 datamodel to capture Cat B data requirements.

Data requirements (Category B)


Outputs in the submitted output pool may be attributed to former staff. Where such outputs are submitted, the following data on the former staff to whom they are attributed are required:

Data field	New field?	Notes
HESA staff ID		Not mandatory
Staff reference code		Mandatory if no HESA ID
Initials		
Surname		
ORCID	✓	Not mandatory
FTE		FTE as at which date is unclear
Details of the research connection with the submitted unit (if FTE between 0.20 and 0.29 (inclusive))	✓	
Start and end dates (DD, MM, YYYY) of REF-eligible contracts	✓	Note multiple
Whether ECR		
<u>secondment</u> or period of unpaid leave start / end dates		if when any outputs attributed to them first made publicly available
Research groups		
Omit from published data		Re-name the field from 'sensitivity'

The ability to deliver this item in 5.15 very much depends on the nature of the REF1 datamodel changes required, and when the final guidance is published. It may very well be that the datamodel updates are not delivered until 5.16, or are delivered in phases.

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6	REF2 : Data requirements	<div style="background-color: #e67e22; color: white; padding: 2px; text-align: center; font-weight: bold;">SUBMISSION REQUIREMENT</div>	<p>Update the REF2 datamodel to align with the updated REF2021 submission requirements</p> <p>Data requirements</p> <table border="1" data-bbox="500 218 1179 653"> <thead> <tr> <th>Data field</th> <th>New field?</th> <th>Notes</th> </tr> </thead> <tbody> <tr> <td>Output number</td> <td style="text-align: center;">✓</td> <td>We recently removed this field (was 1-4 per REF1) – now a sequential number for the UoA</td> </tr> <tr> <td>Date of output</td> <td style="text-align: center;">✓</td> <td>Year published. Month published as well if attributed to Cat B staff</td> </tr> <tr> <td>Output type</td> <td></td> <td>New output type – Translation – has been added</td> </tr> <tr> <td>Output title</td> <td></td> <td></td> </tr> <tr> <td>Pending publication</td> <td></td> <td>Can now identify a reserve for Pending publications – this is new</td> </tr> <tr> <td>Number of additional co-authors</td> <td></td> <td></td> </tr> <tr> <td>Interdisciplinary research</td> <td></td> <td></td> </tr> <tr> <td>Forensic science</td> <td style="text-align: center;">✓</td> <td>Flag</td> </tr> <tr> <td>Research group</td> <td></td> <td></td> </tr> <tr> <td>Output allocation</td> <td style="text-align: center;">✓</td> <td>UoAs 7, 11, 12, will provide subject-specific taxonomies (multiple can be selected) UoA 10, up to 2 keywords to categorise the topics covered by the output – standard taxonomy will not be used (but institutions will want this to be a locally-defined classification scheme)</td> </tr> <tr> <td>Research activity cost</td> <td style="text-align: center;">✓</td> <td>UoA 4 only – High cost or Other</td> </tr> <tr> <td>Request for cross-referral</td> <td></td> <td></td> </tr> <tr> <td>Request to 'double-weight'</td> <td></td> <td></td> </tr> <tr> <td>Additional information</td> <td></td> <td></td> </tr> <tr> <td>Open access</td> <td style="text-align: center;">✓</td> <td>Compliant / not / has exception</td> </tr> <tr> <td>Supplementary information</td> <td style="text-align: center;">✓</td> <td>DOI / URL for supplementary info published alongside an output</td> </tr> <tr> <td>Abstract for outputs in languages other than English</td> <td></td> <td></td> </tr> <tr> <td>Confidential</td> <td></td> <td></td> </tr> </tbody> </table> <p><i>The ability to deliver this item in 5.15 very much depends on the nature of the additional REF2 datamodel changes required, and when the final guidance is published. It may very well be that the datamodel updates are not delivered until 5.16, or are delivered in phases.</i></p>	Data field	New field?	Notes	Output number	✓	We recently removed this field (was 1-4 per REF1) – now a sequential number for the UoA	Date of output	✓	Year published. Month published as well if attributed to Cat B staff	Output type		New output type – Translation – has been added	Output title			Pending publication		Can now identify a reserve for Pending publications – this is new	Number of additional co-authors			Interdisciplinary research			Forensic science	✓	Flag	Research group			Output allocation	✓	UoAs 7, 11, 12, will provide subject-specific taxonomies (multiple can be selected) UoA 10, up to 2 keywords to categorise the topics covered by the output – standard taxonomy will not be used (but institutions will want this to be a locally-defined classification scheme)	Research activity cost	✓	UoA 4 only – High cost or Other	Request for cross-referral			Request to 'double-weight'			Additional information			Open access	✓	Compliant / not / has exception	Supplementary information	✓	DOI / URL for supplementary info published alongside an output	Abstract for outputs in languages other than English			Confidential				<p>key</p> <div style="border: 1px solid #f1c40f; padding: 5px; margin-top: 10px;">  Dat unexpect View the </div>
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Confidential																																																														
7	REF2 : Output type mapping	<div style="background-color: #e67e22; color: white; padding: 2px; text-align: center; font-weight: bold;">SUBMISSION REQUIREMENT</div>	<p>Implement updated mapping of Pure output templates to REF output types (see REF2014 REF2 Output type and metadata field mapping)</p> <p>Need to add Translation as REF output type</p> <p>Need to also consider Datasets:</p> <ul style="list-style-type: none"> As Datasets are now a separate content type, we need to think about how / whether to pull them in to REF2021 as REF2s (currently REF2 is only linked to Research Outputs) Note that in REF2014 only 68 S-Datasets were submitted in total across the sector If it's decided not to directly link Datasets to REF2 (therefore requiring 'dummy' Research Output records to be created for any Dataset intended to be included in the submission), then the appropriate mapping will need to be implemented from Pure output type to REF output type 																																																											
8	REF: Review comment	<div style="background-color: #e67e22; color: white; padding: 2px; text-align: center; font-weight: bold;">SUBMISSION REQUIREMENT</div>	<p>Updates to the peer comments on the REF2.</p> <p>Having the role *Editor of REF2* and/or *Super-editor off REF2* a user can only view those comments associated to the UoA where the role is assigned. An *Administrator* will be able to see all comments.</p>																																																											

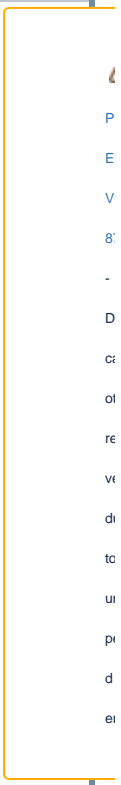
5.16 development plan



The following is the list of candidates for inclusion in the 5.16 (October 2019) release.

5.16 candidates					
	Item	Functionality type	Description	Customer JIRA	Elsevier JIRA
1	REF2: advanced attribution functionality	SUBMISSION MANAGEMENT	<p>Pure REF2021 output attribution algorithm, this also include ability to upload file with attributions</p> <p>Overall aim to get the highest GPA for the unit Taking into account:</p> <ul style="list-style-type: none"> • UoA reduction in outputs required • Any staff with a reduction to 0 outputs • Attribute to Eligible/Submitted REF1 • Staff contribution to output • Minimum of one and max of five outputs per REF1a • Max of 5 outputs per REF1b • Double weighting for outputs (e.g count as 2 outputs) <p>N.B: Algorithm should be seen as the first pass to optimise for GPA. Considerations such as use of former staff outputs, distribution across disciplines and E&D considerations should be made using the manual attribution functionality. Institutions may have very different approaches to managing these areas.</p> <p>Basic steps:</p> <ol style="list-style-type: none"> 1. Researchers with only 1 output in the pool, attribute this output to them. Remove the output from the pool. 2. Attribute top graded output for all researchers without an attributed output. Prioritising allocation by single author outputs over co-authored where the grade is the same 3. Once each researcher has been attributed one output, select the 'best of the rest', starting with the strongest outputs where there is only one attributable author to whom this output can be assigned. Include in this outputs by former members of staff Would expect this to be Current staff 4+* ** former staff 4+* ** current staff 4+* ** former staff 4+* ** current staff 4-* ** former staff 4-* ** current staff 3+*** former staff 3+*..... 4. Where the number of remaining outputs to attribute are smaller than the number of outputs with the same grade the outputs should be selected to optimise spread across Cat A staff within the UoA. 5. Validation to highlight: ** staff with no outputs attributed ** 4* outputs not attributed 6. Supporting functionality: ** locking existing attributions that will 'stick' when the job is run again ** override functionality, to manually attribute a REF2 to a specific REF1 (and then these can be locked) ** Bulk lock function** Bulk unlock / back to default function ** Admin function to enable / disable the function to run the algorithm ** Algorithm must be able to be run at UoA level (may need to consider roles. Do we want this to be REF21 admin role?) 		

2	REF6 Submission	<div style="background-color: #e67e22; color: white; padding: 5px; text-align: center; font-weight: bold;">SUBMISSION REQUIREMENT</div>	<p>Pure should be able to submit the REF6 application</p>		<div style="border: 1px solid #f1c40f; padding: 5px;"> <p style="text-align: center;">R 0: 2: D c o r e v e d i t o r i e s</p> </div>															
3	REF Summary screen	<div style="background-color: #f1c40f; padding: 5px; text-align: center; font-weight: bold;">SUBMISSION MANAGEMENT</div>	<p>Updates to the REF3 summary screen, as per updated submission requirements. Also more REF2 summary screens. Summary screen for attribution</p> <p>Sept 2018 UG : 9 votes (rank 6)</p> <p style="text-align: right;">Minimize</p> <p>REF3b (2021)</p> <p>Unit of Assessment: 1: Clinical Medicine</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">UoA</th> <th style="text-align: left;">Title</th> <th style="text-align: center;">Valid</th> <th style="text-align: center;">Not valid</th> <th style="text-align: center;">Contain warnings</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">1</td> <td>Case study 1</td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td style="text-align: center;">1</td> <td></td> <td style="text-align: center;">1</td> <td style="text-align: center;">0</td> <td style="text-align: center;">0</td> </tr> </tbody> </table> <p><i>No. of case studies to return: 2</i> <i>No. of case studies created: 1</i></p>	UoA	Title	Valid	Not valid	Contain warnings	1	Case study 1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	1		1	0	0		<div style="border: 1px solid #f1c40f; padding: 5px;"> <p style="text-align: center;">R 0: 2: D c o r e v e d i t o r i e s</p> </div>
UoA	Title	Valid	Not valid	Contain warnings																
1	Case study 1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																
1		1	0	0																

4	REF2 : Re-introduce ability to bulk upload proposer comments	<div style="background-color: #FFD700; padding: 2px; text-align: center; font-weight: bold;">SUBMISSION MANAGEMENT</div>	<p>In 5.14, in order to continue to be able to offer the facility to create REF2s in bulk via the 'REF2 Bulk creation' job, we had to trim the job to only create REF2s, removing the ability to also upload proposer reason, ranking, etc.</p> <p>If the functionality to upload proposer reason, ranking, etc. in bulk is still needed, the proposal is to add this as a separate job.</p> <p>User Group to discuss and confirm whether this functionality is still required, given nature of the REF2 'de-coupling'.</p>		
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REF2 :
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SUBMISSION
MANAGEMENT





Enabling reporting on REF2 proposal fields (submitter rank, reason for proposing, co-author description) is causing problems in the new reporting module, particularly when it comes to the expand function.


Given the new REF2 framework, are these individual proposal fields valuable anymore? Should they be removed from the model entirely? Are they needed in reporting? **User Group to discuss and confirm whether this functionality is still required.**


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6	REF2 : 'Publication' date		<p>Pure currently flags outputs with the current publication status of 'ePub ahead of print' as not yet published). We need to rationalise this behaviour.</p> <p>Pure will calculate the Publication date as follows for REF purposes - the earliest of:</p> <ul style="list-style-type: none"> • Access date of any eligible electronic version (at least AAM) (File, DOI, link) • ePub ahead of print • Published <p>If the Publication date is in the future, the REF module will consider the output to be 'in press' (and it will appear in brackets in relevant summary screens).</p> <p>The 'Date output became available in the public domain' field should be updated to adhere to the same logic.</p> <p>It is proposed at this stage not to automatically calculate whether an output is 'Pending' (i.e. due for publication between 27 Nov and 31 Dec 2020) (this is consistent with REF2014 functionality)</p>	 <p>PUR ESU PPO RT- 21981 - Data cann ot be retrie ved due to an unex pecte d error.</p>	 <p>P E V 7I - D cc ot re ve di to ui pi d ei</p>
7	REF3. Data requirements		<p>Update the REF3 data model according to the GoS</p>		 <p>R 0: 2I D cc ot re ve di to ui pi d ei</p>


8	REF 4 a /b/c Data requirem ents		Update the REF4a/b/c data models according to the GoS		
9	REF5a/b Data requirem ents		Update the REF5a and REF5b data models according to the GoS.		



10	REF2 Editor : tabs	USABILITY	<p>With the updates to REF2, the REF2 editor has become quite lengthy. It is therefore planned to update the editor to split the screen into different tabs, based on 'function'</p>  <p><i>(note this mockup is based on an earlier mockup version of the new REF2 form, and therefore may contain inconsistencies with the actual REF2 form delivered).</i></p>		
11	Global search	USABILITY	<p>When using the global search, currently if I put in the REF2 ID, only the REF2 record comes up as a match. It might be useful if both the REF2 record and the associated Research Output record came up as potential matches as the user may need to go directly to the Research Output record to make a change, and having it come up in the Global search would save a few clicks ...</p> <p>Same the other way - if I put in the Output ID, bring back as results both the Research Output and any associated REF2s.</p> <p>Same for Persons / REF1.</p> <p><i>Sept 2018 UG : 16 votes (rank 2)</i></p>		<p>P E P R 4; - D c o r e v e d t o u r p t d e</p>
12	Research Output : REF OA Notes field	SUBMISSION MANAGEMENT	<p>Add a new free-text 'REF OA compliance notes (internal use only)' field to the Research Output editor.</p> <p>Display as read-only on REF2 record (same as other fields in this section)</p> <p>Make available for reporting.</p>		
13	REF3 : Links to associated content	SUBMISSION MANAGEMENT	<p>Introduce function to link a REF3 case study to associated content in Pure</p> <ul style="list-style-type: none"> • Impacts (for sure), but also Activities, Prizes, Press / Media, other content? What are we trying to achieve through these links? • What should the nature of the link be (suspect something like the Proposer's comments on REF2 - read-only in REF3 form - do not populate any REF3 fields included in the submission) • Links to evidence should be explored <p>Do we also need to enable the upload of documentation directly on the case study, to capture corroborating evidence that is to be submitted? Or should the user be 'forced' to add evidence to the associated Impact case study, to parse through to REF3 case study?</p> <p>What is defined as corroborating evidence? Is it only factual statements?</p>		



14	REF3 : F actual statement file type	USABILITY	When uploading a REF3 Factual Statement, the editor states that there is no limitation on type - but on saving the record, the user is notified that the file must be a PDF. Remove this restriction.	 PUR ESU PPO RT- 35885 - Data cann ot be retrie ved due to an unex pecte d error.	
15	REF3 : Predicted grades	SUBMISSION MANAGEMENT	Introduce functionality to record predicted grades against REF3 case studies <ul style="list-style-type: none"> • Configuration? • 13-point or 5-point scale (or configuration - if so, think would need to align with REF2 config) • Overall predicted grade + peer predicted grades and comments, or is overall grade enough? • Would summary screen need to include indicative quality profile? • Reporting Sept 2018 UG : 13 votes (rank 3)		
16					



5.17 + development plan



5.17 candidates





priority	Item	Description	Customer JIRA	Elsevier JIRA (not accessible for customers)	Status	Aimed release
1	Changes to attribution algorithm	Additional fine tuning on the algorithm to ensure (if possible) that all persons has at least one REF2 attributed		 <p>REF 2021 -252 - Data cann ot be retri eved due to an unex pect ed error .</p>	RELEASED	5.16.2


2	Model changes for submission system	Adjustments in the model to reflect some minor model changes made in the schema in the submission system		 REF 2021 -527 - Data cannot be retrieved due to an unexpected error. .	RELEASED	5.17.0
6	Multiple submissions	Allow institutions to create multiple submissions		 REF 2021 -515 - Data cannot be retrieved due to an unexpected error. .		5.17.0




5	Integrati on to submissi on system			 REF 2021 -258 - Data cann ot be retri eved due to an unex pect ed error .	IN DEVELOPMENT	5.18.X
3	REF 6 submissi on to submissi on system			 REF 2021 -566 - Data cann ot be retri eved due to an unex pect ed error .	PRE-RELEASED	5.16.2





4	Validation of data in Pure	<p>We will - like the REF2014 - capture logic for the validation rules in Pure within the editors. Some of the logic is already in place, but there is still some work to be done in this area.</p> <p>This issue is related to the model changes for the submission system and the validation when integration to the submission system.</p>		 REF 2021 -250 - Data cann ot be retri eved due to an unex pect ed error .	IN DEVELOPMENT	5.17.3 5.18.X
13	Export for citation matching	<p>We will make it possible to export more data to the submission system which can be used for citation matching in the system</p>		 REF 2021 -647 - Data cann ot be retri eved due to an unex pect ed error .	IN DEVELOPMENT	

7	OA changes	<p>Issues related to the OA status for REF2021</p> <ul style="list-style-type: none"> • OA Compliance note • Add override to the open access status in REF • change the logic to calculate Access date for open access when the refresh button is pressed. 		 <p>REF 2021 -491 - Data cannot be retrieved due to an unexpected error.</p>	<p>RELEASED</p>	<p>5.17.0</p>
15	Colouring for attribution algorithm screens	<p>Color code the Attributed column when requirements are not met.</p> <p>Add legend (red) Requirements not met</p>		 <p>REF 2021 -618 - Data cannot be retrieved due to an unexpected error.</p>	<p>RELEASED</p>	<p>5.17.2</p>

9	Reintroduce REF 2 Summary stats	<p>Updated summary screen based on the attached proposed mockups:</p> <p>SummaryScreens.xlsx </p> <p>The ability to see if data element on REF1 in validates submission system.</p>		 <p>REF 2021 -617 - Data cannot be retrieved due to an unexpected error.</p>	RELEASED	5.17.3
10	UoA overview screen / Annex J report	<p>Updated summary screen based on the attached proposed mockups:</p> <p>SummaryScreens.xlsx </p>		 <p>REF 2021 -616 - Data cannot be retrieved due to an unexpected error.</p>	RELEASED	5.17.3

	Add info on REF 4a/b/c info on REF 1 a + b summary screens	Re-introduce info on REF4a /b/c on REF1 level - not a high priority				
8	Add submission status on REF 1 a + b summary screens	The ability to see if data element on REF1 in validates submission system.		 <p>REF 2021 -615 - Data cann ot be retri eved due to an unex pect ed error .</p>	RELEASED	5.17.3

12	Bulk delete /edit research groups on UoA level	Make it possible to bulk delete Research Groups Make sure we cleanup on <ul style="list-style-type: none"> • UoA • REF1 • REF2 		 REF 2021 -606 - Data cann ot be retri eved due to an unex pect ed error .		5.18.1	
	Docu mentation						
	REF reporting	Additional reporting on REF content	 PURESUPPOR T-59097 - Data cannot be retrieved due to an unexpected error.	 PURESUPPOR T-57003 - Data cannot be retrieved due to an unexpected error.			

14	Output allocation bulk job		 PURESUPPORT T-59091 - Data cannot be retrieved due to an unexpected error.			5.18
	Data dump of the final REF submission for REF audit	Issue to be discussed at next user group meeting				5.18
11	Test manuscript	We are working on some test manuscripts we use to ensure premium REF quality in each release. Once we are ready we will share the manuscript with you so you can see what we are testing and suggest additional test if needed.				
	Post REF stuff	TBD	 PURESUPPORT T-51012 - Data cannot be retrieved due to an unexpected error.			5.20
	Committed JIRA improvements	This will be a dynamic list. We will update the issues with the planned releases.	 PURESUPPORT T-60057 - Data cannot be retrieved due to an unexpected error.	 PURESUPPORT T-57774 - Data cannot be retrieved due to an unexpected error.		

 PURESUPPOR

T-60339 - Data
cannot be retrieved
due to an
unexpected error.

 PURESUPPOR

T-60623 - Data
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unexpected error.

 PURESUPPOR

T-42902 - Data
cannot be retrieved
due to an
unexpected error.



PURESUPPORT

T-58282 - Data
cannot be retrieved
due to an
unexpected error.



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T-55569 - Data
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unexpected error.



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T-51999 - Data
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T-51504 - Data
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due to an
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T-60398 - Data
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T-56888 - Data
cannot be retrieved
due to an
unexpected error.

 PURESUPPOR

T-59485 - Data
cannot be retrieved
due to an
unexpected error.

 PURESUPPOR

T-59360 - Data
cannot be retrieved
due to an
unexpected error.

 PURESUPPOR

T-61184 - Data
cannot be retrieved
due to an
unexpected error.


 PURESUPPOR



T-61905 - Data
cannot be retrieved
due to an
unexpected error.


5.16.2, 5.17 and beyond (Private)



5.17 candidates

priority	Item	Priority	Risk	Business owner	Description	Customer JIRA	Elsevier JIRA	Status	Aimed release
1	Changes to attribution algorithm	high	low	NLO			 REF 2021 -252 - Data cannot be retrieved due to an unexpected error.	IN DEVELOPMENT	5.16.2


2	Model changes for submission system	high	low	NLO			 REF 2021 -527 - Data cannot be retrieved due to an unexpected error.	<div style="border: 1px solid green; padding: 2px; display: inline-block;">IN DEVELOPMENT</div>	<div style="border: 1px solid gray; padding: 2px; display: inline-block;">5.16.2</div>
6	Multiple submission	high	High	HSR			 REF 2021 -515 - Data cannot be retrieved due to an unexpected error.	<div style="border: 1px solid red; padding: 2px; display: inline-block;">NOT SPECED</div>	<div style="border: 1px solid gray; padding: 2px; display: inline-block;">5.17</div>


5	Integrati on to submissi on system	high	high	NLO			 <p>REF 2021 -258 - Data cann ot be retrie ved due to an unex pect ed error .</p>	IN DEVELOPMENT	5.16.2
3	REF 6 submissi on to submissi on system	high	high	NLO			 <p>REF 2021 -566 - Data cann ot be retrie ved due to an unex pect ed error .</p>	NOT SPECED	5.16.2


4	Validation of data in Pure	high	high	HSR			 <p>REF 2021 -250 - Data cannot be retrieved due to an unexpected error.</p>	<div style="border: 1px solid green; padding: 2px; display: inline-block;">IN DEVELOPMENT</div>	<div style="border: 1px solid gray; padding: 2px; display: inline-block;">5.16.2</div>
13	Citation downloaded from submission system	low	low	DE			 <p>REF 2021 -258 - Data cannot be retrieved due to an unexpected error.</p>		<div style="border: 1px solid gray; padding: 2px; display: inline-block;">5.17</div>

7	OA changes	med	med	NLO			 <p>REF 2021 -491 - Data cannot be retrieved due to an unexpected error.</p>	5.17
	Colouring for attribution algorithms screens	med	med	HSR			 <p>REF 2021 -618 - Data cannot be retrieved due to an unexpected error.</p>	5.17

9	REF 2 Summary stats	high	high	HSR			 REF 2021 -617 - Data cann ot be retrie ved due to an unex pect ed error .	AT UX	5.17
10	UoA overview screen / Annex J report	med	high	HSR	The idea is to combine the UoA overview screen with Annex J		 REF 2021 -616 - Data cann ot be retrie ved due to an unex pect ed error .	AT UX	5.17.1

??	Add info on REF 4a/b/c info on REF 1 a + b summary screens	med	med	HSR								
8	Add submission status on REF 1 a + b summary screens	high	med	HSR				 <p>REF 2021 -615 - Data cannot be retrieved due to an unexpected error .</p>	AT UX		5.17	

12	Bulk delete /edit research groups on UoA level	low	low	DE			 <p>REF 2021 -606 - Data cannot be retrieved due to an unexpected error.</p>		5.17.1
	Documentation		low	MK					
	REF reporting	high	high	DE	Currently no reporting on REF3, REF4, REF5, REF6				

??	Output allocation bulk job	low	med	HSR			 PUR ESU PPO RT-59091 - Data cannot be retrieved due to an unexpected error. .	
	Data dump of the final REF submission for REF audit			DE				5.18
	JIRA improvement backlog			DE				
	JIRA question backlog			MK				
	Follow up on REF issues in the UKUG google group			DE				
11	Test manus			MK		REF2021 test manuscript		
	Post REF stuff			New PM				


Being the **business owner** means that you are responsible for the progress and quality of the item

Audit of current requirements





The following is the list of all known requirements / requests for further REF2021 module development in Pure (split into two lists), beyond what has already been identified as candidates for upcoming releases.

This list is based on the DRAFT Guidance on submissions and Panel criteria and working methods. It will be updated once the final guidance is published (expected January 2019).

Submission requirements : Required features						
Item	Functionality type	Priority	Specification	Customer JIRA		
1	REF2 : OA exceptio ns	SUBMISSION REQUIREMENT	MUST HAVE	Update OA exceptions classification to reflect the updated exception text	 PUR ESU PPO RT- 48272 - Data cann ot be retrie ved due to an unex pecte d error.	

2	REF2 : Metadata mapping	SUBMISSION REQUIREMENT	MUST HAVE	Implement a mapping of Output metadata fields to REF metadata fields (see REF2014 REF2 Output type and metadata field mapping)	
3	REF1 : FTE	SUBMISSION REQUIREMENT	MUST HAVE	<p>As we have confirmation that FTE to be returned is as at the census date (31 July 2020), we will need to re-introduce the job that freezes the FTE as at the day the job is run (expected to be run 1 August 2020).</p> <p>This will be handled by the model, we have a trigger that updates the FTE on the REF1 based on the person. This will just stop updating from 01 Aug 2020</p>	
4	REF6: Circumstances	SUBMISSION REQUIREMENT	MUST HAVE	Update the REF1 Circumstances datamodel and functionality to align with the updated REF2021 submission requirements	


5	UoA : Multiple submissions	SUBMISSION REQUIREMENT	MUST HAVE	<p>Re-enable Multiple Submission functionality. This functionality will need to be looked at again and tested thoroughly in relation to the new REF2 framework.</p> <p>Note that once a multiple submission is created in Pure, it is very difficult to un-pick it. As such, we recommend that multiple submissions are only created once approval from the REF team has been granted.</p>	 <p>PUR ESU PPO RT- 47295 - Data cann ot be retrie ved due to an unex pecte d error.</p>
6	REF2 : Attribution to Cat B staff	SUBMISSION REQUIREMENT	SHOULD HAVE	<p>Consider whether there is any functionality we could offer in Pure to ensure that outputs allocated to Cat B staff were first made publicly available while the member of staff was employed as Cat A eligible.</p>	
7	REF2 : Locking associated Research output	SUBMISSION MANAGEMENT	SHOULD HAVE	<p>In REF2014 we had two solutions in place to restrict users from editing outputs associated with REF2 records, depending on selection / workflow state</p> <ul style="list-style-type: none"> Section 16 (Additional note on Workflow in relation to Research output / REF2) of the REF2014 user guide  Lock associated Research Output configuration <p>If an associated Output was locked, users could still edit Electronic versions and Relations.</p> <p>Since then, user needs have changed in line with the REF Open Access policy, an additional non-REF configuration has been delivered to restrict users from editing content on Research Outputs:</p> <ul style="list-style-type: none"> "Allow Personal Users / Editors to delete electronic versions (files, DOIs, and links) and update/delete publication statuses on approved/validated research output records" configuration <p>From 5.12.1, we have simplified this functionality (as users were experiencing unexpected validation errors), as an interim solution. For now, associated Outputs are only locked if the "Lock associated Research Output" configuration is ENABLED.</p> <p>We should rationalise this area. The following is suggested:</p> <ul style="list-style-type: none"> The locking of Publication chronology and electronic versions is as per the non-REF "Allow Personal Users / Editors to delete electronic versions (files, DOIs, and links) and update/delete publication statuses on approved/validated research output records" configuration. The REF selection / workflow status of the associated REF2(s) will have no bearing on the user's ability to edit these elements of the Research Output The rest of the Research Output record will be locked (except for Relations, which will always be open) as per the selection / workflow state of the associated REF2(s) (where there are multiple associated REF2s, if any of them are in the selection / workflow state that result in restrictions, the associated Output will be locked) 	

8	REF2 : Metrics / citations	SUBMISSION MANAGEMENT	SHOULD HAVE	<p>Consider what bibliometrics to display on REF2, and where to source from (directly from supplier, or via REF submission system)</p> 	 PUR ESU PPO RT- 27989 - Data cann ot be retrie ved due to an unex pecte d error.
9	REF2 : DOI / PDF / Hard copy submission requirements	SUBMISSION REQUIREMENT	SHOULD HAVE	Update the DOI / PDF / Hard copy submission requirements functionality to align with the new submission requirements	
10	REF4 : Updates	SUBMISSION REQUIREMENT	MUST HAVE	Update census dates as per submission requirements (13/14 - 19/20) (currently 13/14 - 18/19 in Pure) Check to confirm income sources are aligned with HESA, including Panel A requirements	

11	REF4 : Bug fixing	<div style="background-color: #e67e22; color: white; padding: 5px; text-align: center;"> SUBMISSION REQUIREMENT </div>	<div style="background-color: #e67e22; color: white; padding: 5px; text-align: center;"> MUST HAVE </div>	<p>Issue has been reported that when generating REF4a/b data from within Pure (rather than using xls imports), the data is not reporting in the correct year</p> <p>Also issue with student ID not being recognised on REF4a detailed import</p>	
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12	REF5a : New content type	SUBMISSION REQUIREMENT	MUST HAVE	<p>Create new REF5a : Institutional environment content type</p> <p>What should the user roles / rights be for this content type? (would like to accommodate within existing REF roles)</p>	
13	REF5b : re-name	SUBMISSION REQUIREMENT	MUST HAVE	<p>Re-name the existing REF5 content type as REF5b UoA environment</p>	


14	REF5b : Update	SUBMISSION REQUIREMENT	MUST HAVE	<p>Update the REF5b datamodel to capture updated data requirements</p> <p>Includes:</p> <ul style="list-style-type: none"> • upload of both PDF and word doc 	
15	REF5b : Word count	SUBMISSION REQUIREMENT	MUST HAVE	REF5b is no longer limited by page numbers, but by word count. Unclear whether Pure can perform the necessary validation against PDFs	
16	Validatio n rules	SUBMISSION REQUIREMENT	SHOULD HAVE	Reproduction of REF validation rules	
17	Annex J : Standard data analyses	SUBMISSION MANAGEMENT	SUBMISSION MANAGEMENT	Reproduction of standard data analyses for each UoA	


18	REF module performance	USABILITY	MUST HAVE	We must ensure that the REF module's performance is optimised for large submissions. Summary screens in particular must load in a timely fashion, even for large UoAs.	 PUR ESU PPO RT- 21961 - Data cann ot be retrie ved due to an unex pecte d error.
19	UoA : Joint submissions	SUBMISSION REQUIREMENT	NO ACTION	No additional joint submission functionality is expected to be required. While the new submission requirements will significantly complicate the process of managing joint submissions, it is not envisioned that Pure can offer any further support in this area.	


Submission management : Optional features


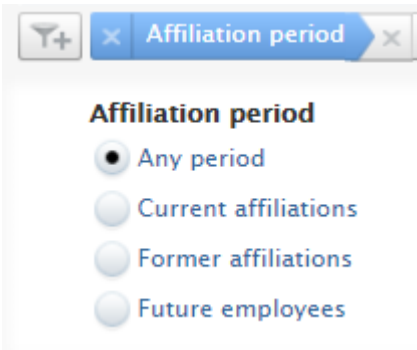
	Item	Functionality type	Priority	Specification	Customer JIRA

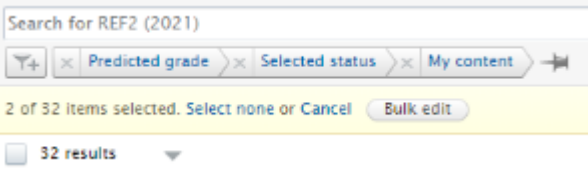

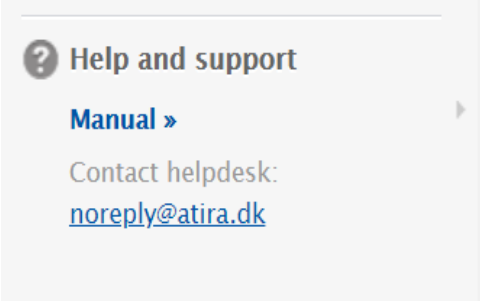
1	REF Summary screens : Export options	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>Enable summary screens to be exported to e.g. PDF / XLSX</p> <p>May instead investigate ensuring that REF summary screens can be reproduced in Reporting, where appropriate export options are already available</p> <p><i>Sept 2018 UG : 21 votes (rank 1)</i></p>	 <p>PUR ESU PPO RT- 22018 - Data cann ot be retri eved due to an unex pect ed error .</p>
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2	REF1 : Export group to SciVal	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>Enable bulk upload to SciVal from REF1a/c (currently have for Persons, Research Outputs, and REF2)</p> <p><i>Sept 2018 UG : 9 votes (rank 6)</i></p>	 <p>PUR ESU PPO RT- 21697 - Data cann ot be retri eved due to an unex pect ed error .</p>
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3	REF3 / REF5a / REF5b : Document management	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>Introduce document management functionality for REF3 / REF5a / REF5b</p> <p><i>Sept 2018 UG : 8 votes (rank 8)</i></p>	 <p>PUR ESU PPO RT- 39810 - Data cann ot be retri eved due to an unex pect ed error .</p>
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4	Scenario modelling	SUBMISSION MANAGEMENT	SHOULD HAVE	<p>Deliver scenario modelling, as per the updated submission requirements. Needs further discussion to agree what should be modelled.</p> <p><i>Sept 2018 UG : 7 votes (rank 9)</i></p>	 <p>PUR ESU PPO RT- 21841 - Data cannot be retrieved due to an unexpected error.</p>
5	REF1 : Upload documents	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>Update REF1 editor to enable the upload of documentation (capturing file name and description (specific to REF1)) to help institutions capture and store documentation for audit purposes</p> <p><i>Sept 2018 UG : 5 votes (rank 10)</i></p>	
6	REF5b : Predicted grades	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>Introduce functionality to record predicted grades against REF5b environment statements</p> <ul style="list-style-type: none"> • Configuration? • 13-point or 5-point scale (or configuration - if so, think would need to align with REF2 config) • Overall predicted grade + peer predicted grades and comments, or is overall grade enough? • Reporting <p><i>Sept 2018 UG : 5 votes (rank 10)</i></p>	

7	REF User roles : REF2 OA role	SUBMISSION MANAGEMENT		<p>New role that gives the user access to the REF OA monitoring screens (to function well, would need to also be, at least, Editor of Research Outputs)</p> <p><i>Sept 2018 UG : 5 votes (rank 10)</i></p>	 <p>PUR ESU PPO RT- 20949 - Data cann ot be retri eved due to an unex pect ed error .</p>
8	REF1 : Currently employed	SUBMISSION MANAGEMENT	SHOULD HAVE	<p>Given how far we are from the REF2021 census date, a number of staff are coming up as 'Former' as their current fixed term contract is scheduled to end prior to the REF2021 census date - but it is known that a number of these contracts will be renewed. As such, a way of distinguishing between actual former staff and staff whose records indicate they will be former on the census date but are likely to in fact be in post is desired. The suggestion is to create a new field for 'Employment status' with the values:</p> <ul style="list-style-type: none"> • Currently employed • Not currently employed <p>CONFIRM - is it desired that this is sync'ed from the Person record, or manually input? If sync'ed, we could use the existing logic for the 'Affiliation period' Person filter:</p>  <ul style="list-style-type: none"> • Additional requirements: <ul style="list-style-type: none"> ◦ Update REF1a/c Summary screen to have two sections: <ul style="list-style-type: none"> ▪ Category A : Currently employed ▪ Category A : Not currently employed ◦ Will need to be available as a filter (in the REF1a/c editable list and in Reporting) and as a projection for Reporting (including being available in the editable list xls download) ◦ Make available as a REF1a/c bulk action <p><i>Sept 2018 UG : 5 votes (rank 10)</i></p>	

9	REF1 : Bulk actions	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>Offer additional REF1a/c bulk actions:</p> <ul style="list-style-type: none"> • Research group assignment(s) • Staff Category (added 7 Jan 2019) <p>Sept 2018 UG : 4 votes (rank 14)</p>	
10	REF1 : Org unit filter	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>Sept 2018 UG : 3 votes (rank 15)</p>	
11	REF bulk actions	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>Expand bulk actions to be able to be performed by user roles other than Administrator</p> <p>Need to determine whether this is even possible, and then agree which roles should have access to which bulk actions.</p> <p>Sept 2018 UG : 2 votes (rank 16)</p> 	 <p>PUR ESU PPO RT- 22026 - Data cann ot be retri eved due to an unex pect ed error .</p>
12	REF help	USABILITY	NICE TO HAVE	<p>Expand the Pure help section to enable institutions to include a link to local REF help / wiki</p> <p>Sept 2018 UG : 2 votes (rank 16)</p> 	

13	REF2 : Upload documents	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>Update REF2 editor to enable the upload of documentation (capturing file name and description (specific to REF2)) to help institutions capture and store documentation for audit / review purposes</p> <p><i>Sept 2018 UG : 1 vote (rank 18)</i></p>	 <p>PUR ESU PPO RT- 28105 - Data cann ot be retri eved due to an unex pect ed error .</p>
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14

REF2 :
Bulk
upload
of
'Additio
nal
informa
tion'


SUBMISSION
MANAGEMENT


NICE TO HAVE

Enable bulk upload of 'Additional information' text fields into REF2



PUR
ESU
PPO
RT-
48379
-
Data
cann
ot
be
retri
eved
due
to
an
unex
pect
ed
error
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15	REF2 : Identifi- cation of corresp onding author	SUBMISSION MANAGEMENT	NICE TO HAVE	Should a 'corresponding author' value / role be introduced for Research outputs, we should incorporate this into the REF2 logic (for Panel A only?) to indicate that no statement on the researcher's contribution is required, where the number of co-authors is ≥ 10 .	 PUR ESU PPO RT- 43952 - Data cann ot be retri eved due to an unex pect ed error .
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16	Staff Synchronisation	SUBMISSION MANAGEMENT	?	Currently the staff synchronisation jobs only look for active staff at census data to create REF1a, should this also create REF1b, since these now can be included in the submission	 <p>PUR ESU PPO RT- 51504 - Data cannot be retrieved due to an unexpected error .</p>
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De-scoped : Not in current plans to deliver

Item	Functionality type	Priority	Specification

1	REF1 : Make 'Reason' fields larger	USABILITY	NICE TO HAVE	Make 'Reason' fields larger as these may contain large paragraphs of text
2	Reporti ng : User roles	SUBMISSION MANAGEMENT	SHOULD HAVE	<p>Improve reporting to make it possible to accurately report on REF user roles where both REF2014 and REF202 modules are enabled</p> <p>Will have to wait until reporting on Users is available in new Reporting module</p>

3	<p>REF2 : Open Access</p> <p>Confere nce contribu tion ISSNs</p>	<p>SUBMISSION REQUIREMENT</p>	<p>MUST HAVE</p>	<p>We currently monitor REF OA compliance against all Conference Contributions, not just those with an ISSN (as felt that at the point of acceptance, it would not be known whether there was going to be an ISSN on the resultant published conference contribution).</p> <p>How should we incorporate this additional information to ensure that Conference Contributions with no ISSN that meet the REF OA criteria are not excluded from the submission in error?</p>

4	<p>REF2 : Open Access</p> <p>Update REF OA Monitoring: Overall compliance summary screen : Filtering / Toggling</p>	<p>SUBMISSION MANAGEMENT</p>	<p>NICE TO HAVE</p>	<ul style="list-style-type: none"> • The REF OA Monitoring: Overall compliance summary screen currently displays all potentially REF-eligible outputs (in terms of type and publication period), with no options for filtering • Introduce filters / toggles for: <ul style="list-style-type: none"> ◦ Whether an associated REF2 exists ◦ The REF selection status of the associated REF2
5	<p>REF1a /c : Date of Birth</p>	<p>SUBMISSION REQUIREMENT</p>	<p>MUST HAVE</p>	<p>Should Date of Birth continue to be a requirement for REF1a/c, we will need to offer functionality (e.g. a bulk import) to populate this field as a number of institutions no longer sync this value from their HR record to the Person record in Pure</p>

6	REF2 : Open Access Make REF OA compliance status visible to Personal users	<div style="background-color: #FFC000; padding: 2px; text-align: center; font-weight: bold;">SUBMISSION MANAGEMENT</div>	<div style="background-color: #ADD8E6; padding: 2px; text-align: center; font-weight: bold;">NICE TO HAVE</div>	<p>Current functionality is as follows:</p> <ul style="list-style-type: none"> • "REF2021 OA compliance visible to roles" configuration <ul style="list-style-type: none"> ◦ A comma separated list of roles for which the REF OA compliance fields are visible. Note that the REF2021 Exception field is always visible (unless configured otherwise, as per below). ◦ Never visible to Personal users (is this right?) • "Enable REF2021 Exception field to be visible to / editable by Personal Users" configurations <ul style="list-style-type: none"> ◦ When enabled, the REF2021 Exception field is visible / editable by Personal users. <p>First step is to confirm that the current functionality described above is accurate.</p> <p>Proposal is to expand the existing "Enable REF2021 Exception field to be visible to Personal users" configuration to include REF OA Compliance status. All statuses would be displayed:</p> <ul style="list-style-type: none"> • Indeterminate • No full publication date set • Compliant • NOT compliant - confirm exception applicability • Not REF eligible (to be re-named 'NOT compliant - confirmed') <p>There was a suggestion to only make some statuses visible, but it is felt that this would cause confusion to the user when no status is provided on one record, and a status is provided on another.</p>
7	REF1 Circumstances Summary screen	<div style="background-color: #FFC000; padding: 2px; text-align: center; font-weight: bold;">SUBMISSION MANAGEMENT</div>	<div style="background-color: #FFC000; padding: 2px; text-align: center; font-weight: bold;">SHOULD HAVE</div>	<p>Updates to the REF1 Circumstances summary screen, as per updated submission requirements</p>
8	REF User roles : REF2 Reviewer role	<div style="background-color: #FFC000; padding: 2px; text-align: center; font-weight: bold;">SUBMISSION MANAGEMENT</div>		

9

REF2 :
Bulk
upload
of
comme
nts

USABILITY

NICE TO HAVE

Bulk upload functionality for the field that allows comments to be visible to the individual who selected the output (institutions to be able to switch on / off). Where peer review decisions are taken outside of Pure, this allows the be uploaded without manual change to hundreds of thousands of records.

Unclear if this requirement is for:

- Making Peer Reviewer comments visible to researchers (bulk upload of Peer Review comments is already available)
- Bulk upload of comments back to researcher

Submitters reason for proposing and comments

Submitters reason for proposing

-

Submitters rank

1st

No comments has been sent to the submitter

Write a comment to the submitter

10	REF content in Pure web services	SUBMISSION MANAGEMENT	NICE TO HAVE	
11	REF2014 : Submitted to REF2014	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>Update the existing 'toggle' for 'Submitted to REF2014' on Research Outputs and Persons, and replace with 3 e-values:</p> <ul style="list-style-type: none"> • Yes • No • Not employed here on REF2014 census date (for Persons) / Not produced here during REF2014 census (for Outputs) • We would need to maintain a 'not set' option for those records where no value has been selected. <p>Migration would be as follows:</p> <ul style="list-style-type: none"> • On Yes • Off No • Not set (middle toggle) Not set <div style="display: flex; justify-content: space-around; align-items: flex-start;"> <div style="text-align: center;"> <p>Assessment</p> <hr/> <p>Submitted to REF 2014</p> <p><input checked="" type="checkbox"/> On</p> </div> <div style="text-align: center;"> <p>Assessment</p> <hr/> <p>Submitted to REF 2014</p> <p><input type="checkbox"/></p> </div> </div> <div style="text-align: center; margin-top: 20px;"> <p>Assessment</p> <hr/> <p>Submitted to REF 2014</p> <p><input type="checkbox"/> Off</p> </div>

Vertical line

Vertical line

Vertical line

Vertical line

Vertical line

Vertical line

12

REF2014 :
Submitted to REF2014 on REF2

SUBMISSION MANAGEMENT

NICE TO HAVE

Update the REF2 editor to include a flag as to whether the output was submitted to REF2014 or not (only show if submitted to REF2014 - if No or Not set, do not show).

Also include a REF2 filter - 'Submitted to REF2014':

- Old reporting module
- New reporting module
- REF2 editable list

Given we don't intend to offer **all** options on the REF2 – only displaying Submitted to REF2014 if the value is true should the options be for the filter? Just one option?

- Submitted to REF2014

13	REF2014 : Submitted to REF2014 check job	SUBMISSION MANAGEMENT	NICE TO HAVE	<p>As described in the customer JIRAs, we have an issue where the 'Submitted to REF2014' flag can get corrupted modifications made on associated Research Outputs (that then modify the associated REF2014 REF2(s), that then modify the 'Submitted to REF2014' flag on the Research Output).</p> <p>The solution is to offer a new job (that would run on a nightly basis) to ensure the "Submitted to REF2014" flag on Research outputs is set correctly should any such modifications have been made.</p> <p>Suggestion is to call this job 'REF2021: Submitted to REF2014 flag check'.</p>

14	REF2 : Output types Datasets	SUBMISSION REQUIREMENT	SHOULD HAVE	As Datasets are now a separate content type, we need to think about how / whether to pull them in to REF2021 REF2s (currently REF2 is only linked to Research Outputs) Note that in REF2014 only 68 S-Datasets were submitted in total across the sector.
15				

Delivered functionality



UPDATED : 26 November 2018

The following is the list of REF2021 functionality delivered from 2018.

5.13.1 : November 2018						
	Item	Functionality type	Priority	Specification	Customer JIRA	Elsev

1

REF1 :
Category
changes

SUBMISSION
REQUIREMENT

MUST HAVE

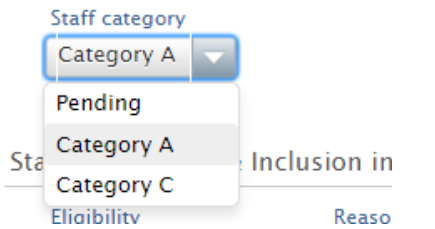
Introduce 'Category B' for former staff (simple addition of Category B to 'Staff category' classification), and remove 'Category C'.

Once the submission requirements are finalised, we'll need to update the REF1 form to include different fields, depending on Staff category (like we have now (different data requirements for Cat A and Cat C))

As Category C will not exist as a separate staff type in REF1, make the following edits:

- **REF1a/c editor**
 - Remove 'Category C staff details' section (and remove Category C data fields from datamodel)
- **REF1a/c Summary screen**
 - Don't make any updates in this release - screen needs a complete re-work (5.15)
- **REF2021 settings**
 - Update 'Default Staff Category when creating new REF1 records (either manually or via jobs)' setting, removing Category C and adding Category B
- **Migration**
 - Migrate any Category C to Category = Pending

Category of Staff – REF1a/c



Category of Staff – REF1a/c

Staff category
Category C

Category C staff details

Employing organisation
NHS Lothian

Job title
Senior Lecturer


Provide details explaining the individual's research responsibilities and how their research is focused in the submitting unit
Pelletisque a ante ut risus fringilla fermentum id eu sapien. Sed nec metus ac metus mattis pellentesque ac quis dolor. Nam duis libero, tincidunt at faucibus ut, ullamcorper ut augue. Donec ullamcorper ligula quis magna finibus, at tempus tortor sollicitudin.

REF1a/c (2021)

REF1a/c	PROPORTION OF CAT A SUBMITTED										CATEGORY			
	YTD	YTD	YTD	YTD	YTD	YTD	YTD	YTD	YTD	YTD	YTD	YTD	YTD	YTD
REF1a/c	2.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Inclusion in REF Submission	12	4	10	0	0	0	0	0	0	0	0	0	0	0
Pending	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Total	12	4	10	0	0	0	0	0	0	0	0	0	0	0

Default Staff Category when creating new REF1a/c records (either manually or via jobs)
Allowed values are: cat, catc, pending
pending

2	Re-name REF1a /c	SUBMISSION REQUIREMENT	MUST HAVE	Re-name the REF1a/c form REF1		
3	Re-name REF1b	SUBMISSION REQUIREMENT	MUST HAVE	<p>Re-name the REF1b form REF1 Circumstances</p> <p>Won't make any changes to the REF1 Circumstances form until the final guidance is published</p>		

	Item	Functionality type	Priority	Specification	Customer JIRA
1	<p>REF2 : Open Access</p> <p>Update logic to reflect confirmed final policy</p>	<p>SUBMISSION REQUIREMENT</p>	<p>MUST HAVE</p> <p>EARLIER</p>	<ul style="list-style-type: none"> Currently, REF OA Compliance status is calculated based on the Acceptance date. Update logic to comply with final policy: <ul style="list-style-type: none"> 1 April 2016 - 31 March 2018 - deposit within 3 months of Publication date <ul style="list-style-type: none"> As the REF OA policy defines the date of publication as the "... earliest date final version-of-record is made available on publisher's website. This generally means that the 'early online' date ... should be taken as the date of publication", the logic here should look to the ePub ahead of print date first, or if empty, the published date. 1 April 2018 - 31 Dec 2020 - deposit within 3 months of Acceptance date "Deposit on publication requirement met" exception <ul style="list-style-type: none"> Was introduced in Pure for the interim period while we awaited final policy Where this exception has been selected, and the output falls in the Publication date phase of the policy, upon upgrade remove this exception and re-calculate REF OA Compliance status based on updated logic Where this exception has been selected, and the output falls in the Acceptance date phase of the policy, upon upgrade keep this exception Move the "Deposit on publication requirement met" exception to the Deposit exceptions branch Update editor to make it clear which policy phase applies to the output Ensure a log exists listing those outputs where the exception was removed and the updated logic applied. 	

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2

REF2 :
Open
Access

Update
REF2
to
capture
OA
Compliance
status

SUBMISSION
MANAGEMENT

MUST HAVE

- Update REF2 editor to indicate REF OA Compliance status (sync'ed from associated Research Output)
- Introduce REF2 filters for (same as currently have for Research Outputs) (in editable list and in reporting)
 - REF OA Compliance status
 - REF Exception

Research Output: Contribution to journal > Article

Predicted grade & peer comments

Peer Comments

[Add peer comment](#)


Predicted Grade


On/Off On/Off On/Off On/Off On/Off

Open Access Compliance

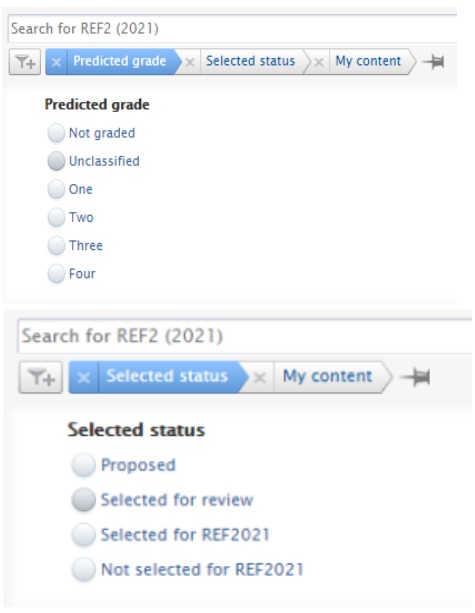

REF Open Access Compliance Status	Content sync'd from associated Research Output
<p>REF Open Access Compliance Status</p> <p>Application OA policy phase</p> <p>Publication date - 01/02/2017</p> <p>Earliest access date</p> <p>27/07/2017</p> <p>Earliest access date</p> <p>27/07/2017</p> <p>REF2021 exception</p> <p>No value</p>	<p>Section to only appear for affected outputs (type published after 1 Mar 2016)</p> <p>Content shown if embargoed</p>

Submitter's reason for proposing and comments

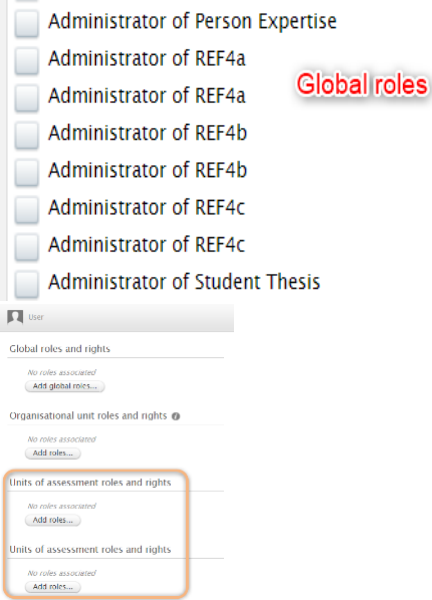
3	<p>REF2 : Open Access : 'Not REF Eligible' label</p>	<p>SUBMISSION MANAGEMENT</p>	<p>NICE TO HAVE</p>	<p>Given the guidance that the REF team will permit for some 'human error' in ensuring compliance with the REF OA policy, it has been suggested that we re-name the 'Not REF Eligible' OA compliance status - perhaps 'NOT compliant - confirmed'</p>	<p></p> <p>PUR ESU PPO RT- 42780 - Data cannot be retrieved due to an unexpected error.</p>
4	<p>REF2 : Open Access</p> <p>Update REF OA Monitoring: Overall compliance summary screen : new 'Potentially subject to policy' column</p>	<p>SUBMISSION MANAGEMENT</p>	<p>SHOULD HAVE</p> <p>EARLIER</p>	<ul style="list-style-type: none"> As we only start monitoring REF OA compliance status once the FULL (DD /MM/YY) acceptance date is input, there may be outputs that fall through the cracks in terms of monitoring REF OA compliance To counter this, introduce new column (before 'Outputs subject to policy') to 'REF OA monitoring : Overall compliance summary' screen - called 'Potentially subject to policy' - that shows all outputs potentially subject to the policy but just missing full dates Logic should be: <ul style="list-style-type: none"> Output type as per all other REF OA logic If no full acceptance date input but any other publication state year is 2016 or later (to 2020), include in this column - Examples: <ul style="list-style-type: none"> Acceptance year = 2016 Publication date = 1 Feb 2017 Submitted year = 2017 	

5	<p>REF2 : Open Access</p> <p>Update REF OA Monitoring : Overall compliance summary screen : No exception</p>	<p>SUBMISSION MANAGEMENT</p>	<p>SHOULD HAVE</p>	<p>Outputs that are compliant in their own right (by meeting the Deposit and access requirements) but where the 'No exception' exception has also been selected in error, these outputs are getting counted as Compliant - Exception applies, but should be counted in the Compliant column</p> <ul style="list-style-type: none"> Update the logic of the Compliant column to also count those outputs that are compliant in their own right (by meeting the Deposit and access requirements), and where the Exception 'No exception' has been selected Update the logic of the Compliant - Exception applies column to not count those outputs that are compliant in their own right (by meeting the Deposit and access requirements), and where the Exception 'No exception' has been selected 	<p></p> <p>PUR ESU PPO RT- 30334 - Data cannot be retrieved due to an unexpected error</p>
6	<p>REF2 : Open Access</p> <p>REF OA Monitoring screens : Improved grouping for Managing Organisation</p>	<p>SUBMISSION MANAGEMENT</p>	<p>SHOULD HAVE</p> <p>EARLIER</p>	<ul style="list-style-type: none"> When grouping by Managing Organisation, the REF OA monitoring screens currently list the directly associated Managing Organisation, regardless of Org unit type (i.e. level), making it difficult to use these screens to manage OA compliance without requiring manipulation of the data outwith Pure It is proposed to update the screens such that, when Managing Organisation is selected as the Grouping, by default the full Org hierarchy is displayed (using the same logic as how Org units are displayed in the hierarchical view) Additionally, it would be useful to be able to define the desired org unit at which to group - see mock-up for suggestion (it is not certain at this time whether something like this is possible) 	

7	<p>REF2 : Open Access</p> <p>REF OA Monitoring screens : UoA Grouping</p>	<p>SUBMISSION MANAGEMENT</p>	<p>SHOULD HAVE</p> <p>EARLIER</p>	<p>When grouping the REF OA monitoring screens by REF2021 UoA, this is currently done by the UoA assignment(s) of the author(s), not the output itself (as this screen, by default, counts ALL eligible outputs, not just those with an associated REF2, and, when originally released, very few REF2 records were being created).</p> <p>In order to get a more accurate picture of the actual submission while continuing to be able to view a summary of all eligible outputs (not just those with an associated REF2), it is suggested that we introduce a new grouping for viewing the table by the UoA of the associated REF2. We would therefore have two separate UoA groupings:</p> <ul style="list-style-type: none"> • REF2021 UoA of associated author(s) (the current grouping) • REF2021 UoA of associated REF2(s) <ul style="list-style-type: none"> ◦ Will require either those outputs with no associated REF2 to not be displayed, or an additional row for 'No associated REF2' ◦ Ideally, navigation will then go to the REF2 record if this grouping is selected, not the Research Output, as is the navigation currently. However, as this screen is based on Research Output records, not REF2s, by default the navigation would take you to the Research Output record, not the REF2. But if we're offering this new facility to group by UoA of associated REF2s, would the user not expect to then navigate to those REF2s? Problem is I'm pretty sure this is not possible within this one table - to have different navigation rules based on different grouping strategies. So, the navigation will continue to go to the associated Research Outputs. 	
8	<p>UoAs : Old structure still in Settings</p>	<p>SUBMISSION MANAGEMENT</p>	<p>MUST HAVE</p>	<p>The old UoA structure still exists in the REF2021 settings - there is a configuration for each UoA (up to 36) for "Lock ability to propose outputs (Persons associated to UoA X)"</p>	

9	REF2 : Filters	SUBMISSION MANAGEMENT	SHOULD HAVE	<p>Update existing REF2 filters for 'Selected status' and 'Predicted grade' to enable multiple selections for each filter</p>  <p>The screenshot shows two filter panels for REF2 (2021). The top panel is for 'Predicted grade' and includes radio buttons for 'Not graded', 'Unclassified', 'One', 'Two', 'Three', and 'Four'. The bottom panel is for 'Selected status' and includes radio buttons for 'Proposed', 'Selected for review', 'Selected for REF2021', and 'Not selected for REF2021'. Both panels have search bars and filter tags like 'My content'.</p>	 <p>PUR ESU PPO RT- 21683 - Data cann ot be retri eved due to an unex pect ed error .</p>
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5.12.1 : July 2018

	Item	Functionality type	Priority	Specification	Screenshots / Mockups	Notes
1	REF User roles	SUBMISSION MANAGEMENT	SHOULD HAVE	Update headers in User editor to make clear which roles refer to which exercise (REF2014 or REF2021)	 <p>The screenshot shows a user management interface with a list of roles: Administrator of Person Expertise, Administrator of REF4a, Administrator of REF4a, Administrator of REF4b, Administrator of REF4b, Administrator of REF4c, Administrator of REF4c, and Administrator of Student Thesis. A red label 'Global roles' is overlaid on the list. Below the list are sections for 'Global roles and rights', 'Organisational unit roles and rights', and 'Units of assessment roles and rights', each with an 'Add roles...' button. The 'Units of assessment roles and rights' section is highlighted with a red box.</p>	

5.12 : June 2018

	Item	Functionality type	Priority	Specification
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1	REF2 : Predicted grades Introduce 13 point scale	SUBMISSION MANAGEMENT	SHOULD HAVE	<ul style="list-style-type: none"> Introduce 13-point rating scale to enable more granular grading and selection decisions to be made <table border="1" data-bbox="690 199 1461 325"> <tr> <td>n/g</td><td>U/C</td><td>1-</td><td>1</td><td>1+</td><td>2-</td><td>2</td><td>2+</td><td>3-</td><td>3</td><td>3+</td><td>4</td> </tr> <tr> <td>n/g</td><td>U/C</td><td colspan="3">1*</td><td colspan="3">2*</td><td colspan="3">3*</td><td></td> </tr> </table> <ul style="list-style-type: none"> Introduce for Peer predicted grades and overall predicted grade Maintain 5-point scale on REF2 summary screen (so readable and communicable indicative quality profile available) Requires update to REF2 predicted grade import jobs Will try to offer as configuration (disable / enable, at institutional level) Migrate existing data as follows: <table border="1" data-bbox="690 504 1461 630"> <tr> <td>n/g</td><td>U/C</td><td>1-</td><td>1</td><td>1+</td><td>2-</td><td>2</td><td>2+</td><td>3-</td><td>3</td><td>3+</td><td>4</td> </tr> <tr> <td>n/g</td><td>U/C</td><td colspan="3">1*</td><td colspan="3">2*</td><td colspan="3">3*</td><td></td> </tr> </table>	n/g	U/C	1-	1	1+	2-	2	2+	3-	3	3+	4	n/g	U/C	1*			2*			3*				n/g	U/C	1-	1	1+	2-	2	2+	3-	3	3+	4	n/g	U/C	1*			2*			3*			
n/g	U/C	1-	1	1+	2-	2	2+	3-	3	3+	4																																									
n/g	U/C	1*			2*			3*																																												
n/g	U/C	1-	1	1+	2-	2	2+	3-	3	3+	4																																									
n/g	U/C	1*			2*			3*																																												
2	REF2 : Output selection Enable up to 5 outputs to be selected	SUBMISSION REQUIREMENT	MUST HAVE EARLIER	<p>Current functionality only enables up to 4 outputs to be selected for submission per individual (can currently have per individual, but only up to 4 in the 'Selected for REF2021' state). This should be increased to 5, along with the 'Output number' field and any associated validation.</p> <p>Related areas to look at and consider implications:</p> <ul style="list-style-type: none"> REF1a/c Summary screen REF1b calculations <p>Don't really want to update these areas as these will need significant changes once we know the submission rec to just make sure that these elements don't break with the expansion to 5 outputs, and that the info provided isn't inaccurate.</p>																																																


3	REF1a /c : Census date	<div style="background-color: #e67e22; color: white; padding: 2px; text-align: center; font-weight: bold;">SUBMISSION REQUIREMENT</div>	<div style="background-color: #e67e22; color: white; padding: 2px; text-align: center; font-weight: bold;">MUST HAVE</div> <div style="border: 1px solid #e67e22; padding: 2px; text-align: center; margin-top: 5px;">EARLIER</div>	Update REF1a/c Staff census date to 31 July 2020
4	REF2 : Publica tion period	<div style="background-color: #e67e22; color: white; padding: 2px; text-align: center; font-weight: bold;">SUBMISSION REQUIREMENT</div>	<div style="background-color: #e67e22; color: white; padding: 2px; text-align: center; font-weight: bold;">MUST HAVE</div> <div style="border: 1px solid #e67e22; padding: 2px; text-align: center; margin-top: 5px;">EARLIER</div>	Update REF2 publication period 1 Jan 2014 - 31 Dec 2020 (was to 31 Dec 2019)

5	REF1a /c : FTE filter	SUBMISSION MANAGEMENT	NICE TO HAVE	Add the facility to filter 'Total FTE' for FTE = 0
6	Reporting Enable REF content in new Reporting module	SUBMISSION MANAGEMENT	MUST HAVE EARLIER	<ul style="list-style-type: none"> • Enable REF content in new Reporting module (will be a first phase delivery for 5.12, to be expanded upon) • Likely to deliver REF1a/c and REF2 initially, and expand as additional content requirements become clear are made to the REF datamodel in Pure


7	Reporting UoAs	SUBMISSION MANAGEMENT	SHOULD HAVE	Introduce new 'UoA code' report projection that excel will interpret as a number, so sorting doesn't result in 1, 10 Keep existing UoA report projection that gives both the UoA number and name. New reporting module
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8	REF2 : Typo in excepti ons	SUBMISSION REQUIREMENT	MUST HAVE	There's a typo in one of the Access exceptions
9	REF2 : Author ranking upon propos al Make non- mandat ory	SUBMISSION MANAGEMENT	SHOULD HAVE	Following consultation with the User Group, it is clear that there is a mix of needs with regard to the Author ranking field. Some individuals are proposing outputs - some institutions actively use this functionality and need to see it remain, while others see it go. As such, the proposal is to no longer make the Author ranking field mandatory.

5.11.1 : March 2018

	Item	Functionality type	Priority	Specification	Screenshots / Mockups	Notes	Customer JIRA	Elsevier JIRA	Status
1	REF2 : Bulk creation of records	SUBMISSION MANAGEMENT	<p>SHOULD HAVE</p> <p>EARLIER</p> <p>5.11.1</p>	Create job to enable bulk creation of REF2 records from import file of Pure Research Output records.		Important for new customers with legacy REF preparatory data		 <p>PUR EDE V- 2675 - Data cann ot be retri eved due to an unex pect ed error .</p>	RELEASED

REF: Citation download from submission system

Target release	
Epic	<div style="border: 1px solid orange; padding: 10px; text-align: center;"> REF2021-647 - Data cannot be retrieved due to an unexpected error.</div>
Document status	DRAFT
Document owner	Erasmus, Davina (ELS-AMS)
Designer	
Developers	
QA	

Goals

- Provide users of REF module with some feedback from the submission system on the citations that will be attributed to their RO after it's loaded into REF so that they can determine whether they need to affect their planned submission and take next steps.
 - Provide our REF customers with ability to take actions based on preliminary look at the citation impact
 - Ensure that the imported citations can be viewed in reporting

Background and strategic fit

For 11 of the UOAs citation data, provided by WoS, will be used in the assessment of the submissions. They are:

Sub-panel 1: Clinical Medicine
Sub-panel 2: Public Health, Health Services and Primary Care
Sub-panel 3: Allied Health Professions, Dentistry, Nursing and Pharmacy
Sub-panel 4: Psychology, Psychiatry and Neuroscience
Sub-panel 5: Biological Sciences
Sub-panel 6: Agriculture, Food and Veterinary Sciences
Sub-panel 7: Earth Systems and Environmental Sciences
Sub-panel 8: Chemistry
Sub-panel 9: Physics
Sub-panel 11: Computer Science and Informatics
Sub-panel 16: Economics and Econometrics

- Clarivate will provide the citations per Output loaded into the submission system and also an excel of contextual data. We only need to bring the citations in for the REF2s.
- Only the relevant citations will be made available - i.e. for the RO of the relevant UOAs
- The data available for import before the submission deadline doesn't cover the complete eligibility period for the REF - so the conclusions that customers can draw out of this are limited, but they are able to raise queries around the data being supplied for a period before the audit deadline.

The schedule for access to citations is as follows:

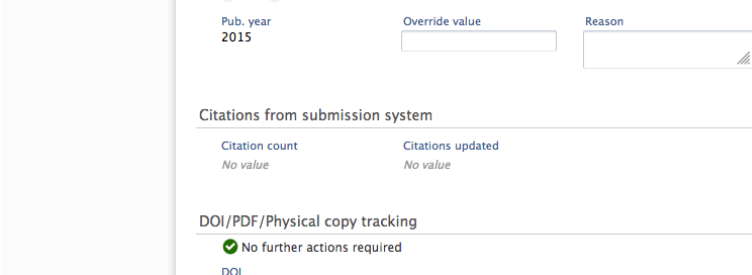
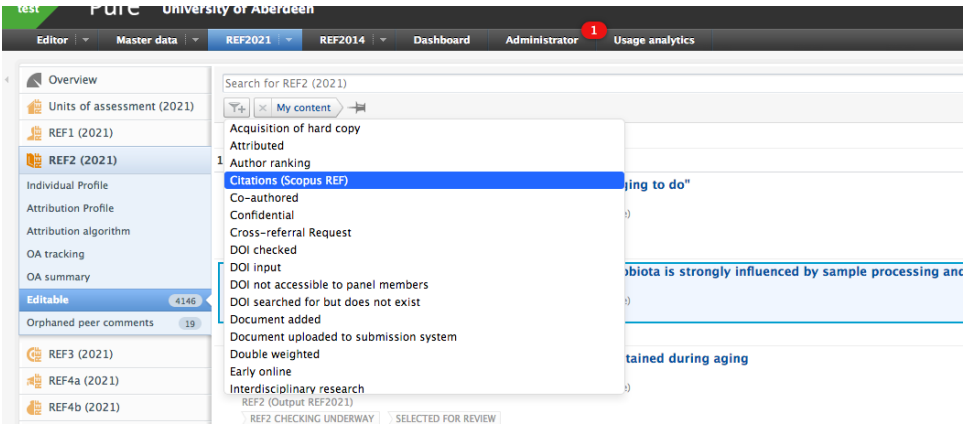
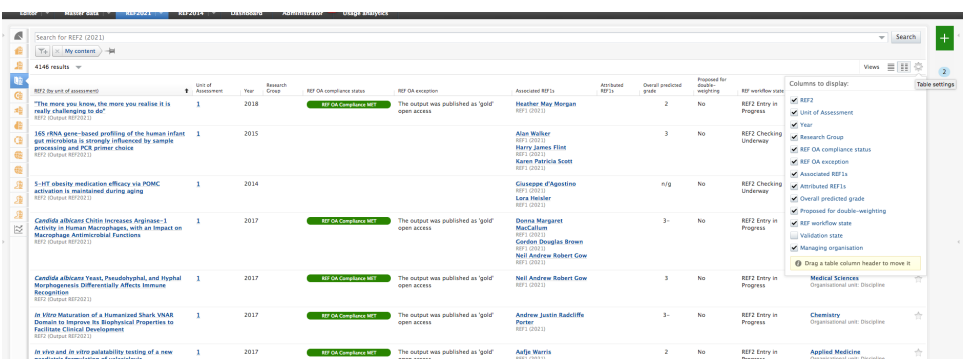
September 2019	Publication of service specification, service level agreement, example contextual data and guide to using contextual information
October 2019	Beginning of support period for HEIs using citations data within the REF submissions system pilot phase; contextual data (based on journal category but not UOA) for the pilot phase will be available from Research England, for years 2013 to 2018
February 2020	Beginning of SLA-monitored support period for HEIs using citations data within the REF submissions system; contextual data (based on journal category but not UOA) for the submission phase will be available from Research England, for years 2013 to 2018
27 November 2020	Closing date for submissions; final day for opening new support queries
January 2021	Contextual data (based on journal category and UOA) for the assessment phase will be available from Research England, for years 2014 to 2019

Assumptions

Requirements

#	Title	User Story	Importance	Notes
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1	<p>Import Citations from submission system</p>	<p>Submitter of REF must be able to import citations from REF submission system at any time after completed submission</p> <p>Submitter must be able to request the import multiple times</p> <p>Citations must be stored on the REF 2 and not on the associated RO - as this metric is static - will not be updated after the submission deadline has been reached - and this should not affect the metrics currently imported by customers from WoS on their ROs</p>	<ul style="list-style-type: none"> • Unsur whether citations are available immediately after submission - or if needed to wait for the citations to become available • Data was already made available on 27 September, so should be accessible already.
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2	View citations in REF2	<p>Add citation into the REF2 - as per last REF - screenshot of REF 2 from 2014</p>  <p>Citations from submission system</p> <p>Citation count: No value</p> <p>Citations updated: No value</p> <p>DOI/PDF/Physical copy tracking</p> <p>✔ No further actions required</p> <p>DOI</p>																																																																							
3	Make the citation on REF 2 reportable																																																																								
4	Allow to filter in WoS citations	<p>Update filter to allow for filtering of ref 2 on WoS citations - screenshot of current label</p> 																																																																							
5	Add citation to overview screen	<p>Make it possible to view the added citation in the REF 2 overview screen</p>  <table border="1"> <thead> <tr> <th>Unit of Assessment</th> <th>Year</th> <th>Research Area</th> <th>REF OA completion status</th> <th>Assessed REFs</th> <th>Attributed REFs</th> <th>Overall proposed grade</th> <th>Proposed for double-weighting</th> <th>REF workflow state</th> </tr> </thead> <tbody> <tr> <td>The more you know, the more you realise it is really challenging to do*</td> <td>2018</td> <td></td> <td>REF OA Complete MET</td> <td>Heather May Morgan REF1 (2021)</td> <td>2</td> <td>No</td> <td>REF2 Entry in Progress</td> </tr> <tr> <td>16S rRNA gene-based profiling of the human infant gut microbiota is strongly influenced by sample processing and PCR primer choice</td> <td>2015</td> <td></td> <td></td> <td>Alex Walker REF1 (2021), Harry James Flint REF1 (2021), James Patrick Scott REF1 (2021)</td> <td>3</td> <td>No</td> <td>REF2 Checking Underway</td> </tr> <tr> <td>5-HT_{2A} antibody medication efficacy via NDMC activation is maintained during aging</td> <td>2014</td> <td></td> <td></td> <td>Giuseppe D'Agostino REF1 (2021), Lutz Heide REF1 (2021)</td> <td>n/a</td> <td>No</td> <td>REF2 Checking Underway</td> </tr> <tr> <td>Candida albicans Chitin Increases Angiogenesis-1 Activity in Human Macrophages, with an Impact on Macrophage Antimicrobial Functions</td> <td>2017</td> <td></td> <td>REF OA Complete MET</td> <td>The output was published as 'gold' open access</td> <td>Donna Margaret MacCallum REF1 (2021), Gordon Douglas Brown REF1 (2021), Neil Andrew Robert Gow REF1 (2021)</td> <td>3</td> <td>No</td> <td>REF2 Entry in Progress</td> </tr> <tr> <td>Candida albicans Yeast, Pseudohyphal, and Hyphal Morphogenesis Differentially Affects Immune Responses</td> <td>2017</td> <td></td> <td>REF OA Complete MET</td> <td>The output was published as 'gold' open access</td> <td>Neil Andrew Robert Gow REF1 (2021)</td> <td>3</td> <td>No</td> <td>REF2 Entry in Progress</td> </tr> <tr> <td>In Vitro Maturation of a Humanized Shark VNR8 Oocyte to Improve Its Biophysical Properties to Facilitate Clinical Development</td> <td>2017</td> <td></td> <td>REF OA Complete MET</td> <td>The output was published as 'gold' open access</td> <td>Andrew Justin Radcliffe Barter REF1 (2021)</td> <td>3</td> <td>No</td> <td>REF2 Entry in Progress</td> </tr> <tr> <td>In vitro and in vivo patatability testing of a new bioactive formulation of chlorogenic acid</td> <td>2017</td> <td></td> <td>REF OA Complete MET</td> <td>The output was published as 'gold' open access</td> <td>Audie Morris REF1 (2021)</td> <td>2</td> <td>No</td> <td>REF2 Entry in Progress</td> </tr> </tbody> </table>	Unit of Assessment	Year	Research Area	REF OA completion status	Assessed REFs	Attributed REFs	Overall proposed grade	Proposed for double-weighting	REF workflow state	The more you know, the more you realise it is really challenging to do*	2018		REF OA Complete MET	Heather May Morgan REF1 (2021)	2	No	REF2 Entry in Progress	16S rRNA gene-based profiling of the human infant gut microbiota is strongly influenced by sample processing and PCR primer choice	2015			Alex Walker REF1 (2021), Harry James Flint REF1 (2021), James Patrick Scott REF1 (2021)	3	No	REF2 Checking Underway	5-HT _{2A} antibody medication efficacy via NDMC activation is maintained during aging	2014			Giuseppe D'Agostino REF1 (2021), Lutz Heide REF1 (2021)	n/a	No	REF2 Checking Underway	Candida albicans Chitin Increases Angiogenesis-1 Activity in Human Macrophages, with an Impact on Macrophage Antimicrobial Functions	2017		REF OA Complete MET	The output was published as 'gold' open access	Donna Margaret MacCallum REF1 (2021), Gordon Douglas Brown REF1 (2021), Neil Andrew Robert Gow REF1 (2021)	3	No	REF2 Entry in Progress	Candida albicans Yeast, Pseudohyphal, and Hyphal Morphogenesis Differentially Affects Immune Responses	2017		REF OA Complete MET	The output was published as 'gold' open access	Neil Andrew Robert Gow REF1 (2021)	3	No	REF2 Entry in Progress	In Vitro Maturation of a Humanized Shark VNR8 Oocyte to Improve Its Biophysical Properties to Facilitate Clinical Development	2017		REF OA Complete MET	The output was published as 'gold' open access	Andrew Justin Radcliffe Barter REF1 (2021)	3	No	REF2 Entry in Progress	In vitro and in vivo patatability testing of a new bioactive formulation of chlorogenic acid	2017		REF OA Complete MET	The output was published as 'gold' open access	Audie Morris REF1 (2021)	2	No	REF2 Entry in Progress		
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The more you know, the more you realise it is really challenging to do*	2018		REF OA Complete MET	Heather May Morgan REF1 (2021)	2	No	REF2 Entry in Progress																																																																		
16S rRNA gene-based profiling of the human infant gut microbiota is strongly influenced by sample processing and PCR primer choice	2015			Alex Walker REF1 (2021), Harry James Flint REF1 (2021), James Patrick Scott REF1 (2021)	3	No	REF2 Checking Underway																																																																		
5-HT _{2A} antibody medication efficacy via NDMC activation is maintained during aging	2014			Giuseppe D'Agostino REF1 (2021), Lutz Heide REF1 (2021)	n/a	No	REF2 Checking Underway																																																																		
Candida albicans Chitin Increases Angiogenesis-1 Activity in Human Macrophages, with an Impact on Macrophage Antimicrobial Functions	2017		REF OA Complete MET	The output was published as 'gold' open access	Donna Margaret MacCallum REF1 (2021), Gordon Douglas Brown REF1 (2021), Neil Andrew Robert Gow REF1 (2021)	3	No	REF2 Entry in Progress																																																																	
Candida albicans Yeast, Pseudohyphal, and Hyphal Morphogenesis Differentially Affects Immune Responses	2017		REF OA Complete MET	The output was published as 'gold' open access	Neil Andrew Robert Gow REF1 (2021)	3	No	REF2 Entry in Progress																																																																	
In Vitro Maturation of a Humanized Shark VNR8 Oocyte to Improve Its Biophysical Properties to Facilitate Clinical Development	2017		REF OA Complete MET	The output was published as 'gold' open access	Andrew Justin Radcliffe Barter REF1 (2021)	3	No	REF2 Entry in Progress																																																																	
In vitro and in vivo patatability testing of a new bioactive formulation of chlorogenic acid	2017		REF OA Complete MET	The output was published as 'gold' open access	Audie Morris REF1 (2021)	2	No	REF2 Entry in Progress																																																																	
6	View citations in reporting of REF2																																																																								

User interaction and design

REF 2021 citation retrieval

[Export Citations](#)

Log of previous jobs run

Started	Job starter	Duration	Job progress	Job outcome	Reports
29 Oct 2019 10:57	Kay, Karen	00:45:04	✔ Completed	✔ Success	View
28 Oct 2019 9:28	Strong, Nykohla	00:56:43	✔ Completed	⚠ Warnings	View technical log Download report
24 Oct 2019 14:34	Barraclough, Marlis	00:39:42	✔ Completed	❌ Errors	View
22 Oct 2019 2:00	Barraclough, Marlis	00:49:11	✔ Completed	❌ Errors	View
29 Sep 2019 12:16	Kay, Karen	00:00:04	❌ Failed		View

When user chooses to import the citations into Pure we must get all available citations for all REF 2 already submitted.

looking at the swagger for the citations - it looks like you have to request for matches to be made for output that was already submitted. The response to the request for a match to be made returns the citations as well. So we probably only need to use the get citations match for an output.

We should probably bring back the actual match data to allow customers to check against ids etc stored on the RO to ensure that the correct match has been made. Should we be looking at highlighting where the match is different to values in Pure?

Should we be adding the WoS identifiers to the Pure RO record?

REF 2021 citation retrieval

Running job

Started	Job starter	Duration	Status
29 Oct 2019 10:57	Kay, Karen	00:09:23	● Waiting for Submission System to respond...

[Export Citations](#)

Log of previous jobs run

Started	Job starter	Duration	Job progress	Job outcome	Reports
29 Oct 2019 10:57	Kay, Karen	00:45:04	✔ Completed	✔ Success	View
28 Oct 2019 9:28	Strong, Nykohla	00:56:43	✔ Completed	⚠ Warnings	View technical log Download report
24 Oct 2019 14:34	Barraclough, Marlis	00:39:42	✔ Completed	❌ Errors	View
22 Oct 2019 2:00	Barraclough, Marlis	00:49:11	✔ Completed	❌ Errors	View
29 Sep 2019 12:16	Kay, Karen	00:00:04	❌ Failed		View

Questions


Below is a list of questions to be addressed as a result of this requirements document:

Question	Outcome

Not Doing

5.19.3 Dash releases





On this page you can see the different dash releases we have either made or are planning for 5.19.3. This should provide an overview of the currently released functionality, and what is planned for upcoming releases and when these dash releases are planned.







 As 5.19.3 is the supported REF release, this is the version that we're bugfixing on, so we recommend all client use 5.19.3 or a dash release of 5.19.3 for submission to REF.


5.19.3-1


release date: 26 Jan 2021






 This release is recommended for all clients




Issues	Description
 PURESUPPORT-71321 - Data cannot be retrieved due to an unexpected error.	REF1b validation status showed as invalid but data to be submitted showed no error. There was an error in how we calculated the validation status, where we included ECR for category b staff. This has been corrected, such that ECR isn't included for category b staff.
 PURESUPPORT-71333 - Data cannot be retrieved due to an unexpected error.	REF2 - Presence of DOI overrides 'Hardcopy acquired' setting. When hard copy acquired is set, this means that the REF2 will be returned with the property physical output as true, even if there is a DOI on the related research output.
 PURESUPPORT-71468 - Data cannot be retrieved due to an unexpected error.	REF3 Data to be submitted. We have updated the validation for REF3, there was an error in the validation of additional contextual information. This has been fixed.
 PURESUPPORT-71549 - Data cannot be retrieved due to an unexpected error.	REF3 / Error occurred while marshalling REF3 #15399. Skipping this item. We have fixed an issue with the validation of grant funding, and an issue when the grant funding was not specified.


 PURESUPPORT-71694 - Data cannot be retrieved due to an unexpected error.	<p>REF Error uploading PDFs to the submission system. We have fixed an issue that could occur when Pure were reading the files that should be sent to the submission system.</p>
 PURESUPPORT-71540 - Data cannot be retrieved due to an unexpected error.	
 PURESUPPORT-71377 - Data cannot be retrieved due to an unexpected error.	<p>REF2021 - number of locked attributions shown incorrectly? We have updated the attribution algorithm screen such that the number of locked outputs in the scorecard, is only counting locked outputs that are attributed.</p>
 PURESUPPORT-71542 - Data cannot be retrieved due to an unexpected error.	<p>When merging two persons, the proising reason and the attribution status could get dropped. This has been fixed.</p>
 REF2021-1421 - Data cannot be retrieved due to an unexpected error.	<p>Remove deleted REF2021 filters from user filters. Clean up of saved filters that were using now-deleted properties.</p>
 REF2021-1424 - Data cannot be retrieved due to an unexpected error.	<p>Related to XML marshalling with PDF empty tags. With the latest update of the submission system, it doesn't handle empty XML tags. So we have done a clean up of the XML Pure is generating to avoid sending empty XML tags.</p>

 Not all the issues can be seen by all users, it depends on security settings of the issues.

 This release is recommended for all clients that have experienced issues with the REF 3 contextual data not being sent correctly. Also, if you have a lot of REF2 that have the Deposited within 3 months exception in Pure

Issues	Description
 PURESUPPORT-71686 - Data cannot be retrieved due to an unexpected error.	<p>There was an issue when changing UOA that resulted in the research groups not being cleared. This has now been fixed.</p> <p>When changing the UOA and Research Groups we have made it so it now will set the Research Group on the REF1AttributionAssociation to the first Research Group on the REF1 if one or more exist. If no Research Group exists on the changed REF1 none is set.</p>
 PURESUPPORT-71739 - Data cannot be retrieved due to an unexpected error.	
 PURESUPPORT-71962 - Data cannot be retrieved due to an unexpected error.	<p>We have changed the validation check for the max file size to accommodate the update to 500MB</p>
 PURESUPPORT-71722 - Data cannot be retrieved due to an unexpected error.	<p>REF Reason for proposing was not included in the reports when exporting to Excel and CSV, this is now fixed</p>
 PURESUPPORT-72145 - Data cannot be retrieved due to an unexpected error.	<p>REF3 Contextual Data XML Issue, there was an error in the way Pure was data on the contextual information if there were more than one on contextual information per REF3.</p>



 PURESUPPORT-72341 - Data cannot be retrieved due to an unexpected error.	<p>if the 'Includes factual information about significance' flag was set this would cause an error in saving data in the submission system if this was sent for other UOAs than 11 or 12. With this release, we no longer send this information unless the UOA is 11 or 12.</p>
 PURESUPPORT-72337 - Data cannot be retrieved due to an unexpected error.	<p>Deposit exception " Deposited within 3 months of publication" in Pure is mapped to the Open access status: Exception within 3 months of publication in the submission system.</p>
 REF2021-1428 - Data cannot be retrieved due to an unexpected error.	<p>Custom delete and reupload, is always deleting the REF6 form for the UOA no matter which form is selected.</p>


 Not all the issues can be seen by all users, it depends on the security settings of the issues.


5.19.3-3

Release date 03 Mar 2021

 This release is recommended for all users that have a lot of delayed by COVID REF2s.


Issues	Description
 PURESUPPORT-72561 - Data cannot be retrieved due to an unexpected error.	<p>If a publication is delayed by COVID, a number of properties were not sent to the submission system. This has been updated to provide a warning instead to be inline with the latest changes to the validation document from REF.</p>
 PURESUPPORT-72639 - Data cannot be retrieved due to an unexpected error.	<p>The checkbox for <i>includes significant material before 2014</i> is not sent to the submission system.</p>




 PURESUPPORT-72351 - Data cannot be retrieved due to an unexpected error.	Reserve outputs are being included in the OA compliance numbers on the REF2 attribution algorithm screen.
	We have introduced the option of not deleting before submitting when using the replace option.


 Not all the issues can be seen by all users, it depends on the security settings of the issues.

5.19.3-4

Release date 16 Mar 2021

 This release is recommended for all clients that are using the multiple submission of UOAs.

Issues	Description
 PURESUPPORT-73136 - Data cannot be retrieved due to an unexpected error.	<p>There is a problem with uploading files for multiple submission UOAs. Pure will only upload files for the first multiple UOA, e.g. 9A and not for the other ones e.g. 9B, 9C etc.</p> <div data-bbox="630 1010 1479 1119" style="border: 1px solid #ccc; padding: 5px; margin-top: 10px;">  If it is not possible to install this release a manual upload of the files in the multiple submission UOAs is needed for the UOAs that are not the first in the multiple submission. </div>
 PURESUPPORT-73473 - Data cannot be retrieved due to an unexpected error.	

 Not all the issues can be seen by all users, it depends on the security settings of the issues.

MasterClasses

24 October 2018 : REF2 Open Access

- [MasterClass recording](#)
- [Slides](#) 

26 June 2018 : REF2 predicted grades

- [MasterClass recording](#)
- [Slides](#) 

26 March 2018 : REF module for new REF users

- [MasterClass recording](#)
- [Slides](#) 
- [Q&A](#) 

REF module documentation



General Guidance

The pages here provide general guidance for the REF2021 module

- Integration with the submission system
 - Setting up the integration to the submission system
 - Understand the Pure Submission page
 - Understand the Pure Submission page (After 5.19.2)
 - Understand the data being submitted
 - Known issues with the submission system
- Multiple Submissions
- Standard Report Definitions
- Upgrading to the new REF2021 module
- User Roles - CLOSED
- User Roles Overview
 - User roles Overview - Summary screens

Individual REF content types

On the following pages, you can find information about the individual content types for REF2021 in Pure.

- Units of Assessment
- REF1 - Staff
 - REF1 - Capture REF2014 submission status on Person records
 - REF1 - Configurations
 - REF1 - Date of birth bulk upload
 - REF1 - Person to UoA run once job
 - REF1 - Staff Synchronisation jobs
- REF2 - Research Outputs
 - Open Access compliance
 - REF Open Access compliance details
 - REF2021 Open Access Status Flag
 - Generate OA Compliance Status For Existing Content
 - Open Access compliance - Monitoring screens
 - Open Access compliance - Notes and issues CLOSED
 - REF OA configurations
 - 'Compliant outputs with 'No exception' selected' editorial task
 - REF2 affiliations
 - REF2 Attribution
 - Manual attribution
 - Running the algorithm in Pure
 - Upload of attribution file (Bulk attribution)
 - REF2 - Bulk creation
 - REF2 - Bulk creation - OLD
 - REF2 - Bulk editing of content
 - REF2 - Bulk upload output allocation
 - REF2 - Capture REF2014 submission status on Research Output records
 - REF2 - Manually create records
 - REF2 Output type and metadata field mapping
 - REF2 - Predicted grades
 - REF2 - Predicted Grade Job (5.14 and later)
 - REF2 - Predicted Grade Job - OLD
 - REF2 - Peer Comments job (5.14 and later)
 - REF2 - Peer Comments job (pre 5.14)
 - REF2 - Restrictions
- REF3 - Impact
- REF4a - Doctoral degrees awarded
- REF4b - Research Income
- REF4c - Research income-in-kind
- REF5 - Research environment
- REF6 - Reductions

General Guidance

The pages here provide general guidance for the REF2021 module

- [Integration with the submission system](#)
- [Multiple Submissions](#)
- [Standard Report Definitions](#)
- [Upgrading to the new REF2021 module](#)
- [User Roles - CLOSED](#)
- [User Roles Overview](#)

Integration with the submission system



RELEASED : 5.16.2

UPDATED: 5.17.0

Multiple Submission

From version 5.16.2 the connection between Pure and the REF submission system has been developed.

[Setting up the integration to the submission system](#)

[Understand the Pure Submission page](#)

[Understand the data being submitted](#)

[Known issues with the submission system](#)

Setting up the integration to the submission system



Updated 5.16.2

In order to set up the connection between Pure and the REF submission system, a few steps need to be taken, both in the submission system and in Pure.

Table of contents

Alongside this guide, we also refer to the official documentation of the submission system <https://ref.ac.uk/submission-system/>

- 1 Setting up REF2021 submission integration in the submission system
- 2 Setting up REF2021 submission integration in Pure

1 Setting up REF2021 submission integration in the submission system

In order to submit data REF2021, you must set up an **Automated user** in the REF 2021 submission system. Once this has been created you will receive an API Key, which is needed for configuration in Pure.

In addition, you will need to grant permission for the automated user, to **Import** data and the necessary user permissions for the individual Unit of Assessment and forms (Write permission)

Submission	Form permission
1 - Clinical Medicine	RG, REF1a, REF2, REF4a, REF4b, REF4c, REF6a, REF6b
2 - Public Health, Health Services and Primary Care	RG, REF1a, REF2, REF4a, REF4b, REF4c, REF6a, REF6b
3 - Allied Health Professions, Dentistry, Nursing and Pharmacy	RG, REF1a, REF2, REF4a, REF4b, REF4c, REF6a, REF6b
4 - Psychology, Psychiatry and Neuroscience	RG, REF1a, REF2, REF4a, REF4b, REF4c, REF6a, REF6b
5 - Biological Sciences	RG, REF1a, REF2, REF4a, REF4b, REF4c, REF6a, REF6b
6 - Agriculture, Food and Veterinary Sciences	RG, REF1a, REF2, REF4a, REF4b, REF4c, REF6a, REF6b
7 - Earth Systems and Environmental Sciences	RG, REF1a, REF2, REF4a, REF4b, REF4c, REF6a, REF6b

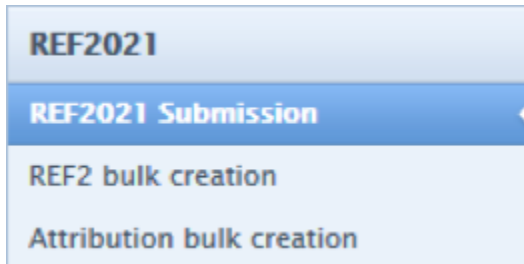
Edit form permissions - Jens Laurits Pedersen

Submission	RG	REF1a	REF2	REF4a	REF4b	REF4c	REF6a	REF6b
1 - Clinical Medicine	Write	Write	Write	Write	Write	Write	Write	Write
2 - Public Health, Health Services and Primary Care	Write	None	Write	Write	None	Write	Write	Write
3 - Allied Health Professions, Dentistry, Nursing and Pharmacy	Write	None	Write	Write	None	Write	Write	Write
4 - Psychology, Psychiatry and Neuroscience	Write	None	Write	Write	None	Write	Write	Write
5 - Biological Sciences	Write	None	Write	Write	None	Write	Write	Write
6 - Agriculture, Food and Veterinary Sciences	Write	None	Write	Write	None	Write	Write	Write
7 - Earth Systems and Environmental Sciences	Write	Write	Write	Write	Write	Write	Write	Write

Back to UoA selection Apply permissions Cancel

2 Setting up REF2021 submission integration in Pure

Once the user has been set up you can configure Pure with the API Key and the API URL. (**Administrator > REF2021 > REF2021 Submission**)



REF2021 Submission

Here you can modify the submission configuration for REF2021

REF2021 API Configuration

API URL

API Key

API URL for the Submission test system: <https://testsubmissionsapi.ref.ac.uk>

API URL for the Submission production system: <https://submissionsapi.ref.ac.uk/>

Enter the API key you have received from the Submission system

Enter your UKPRN number for the submission

Understand the Pure Submission page



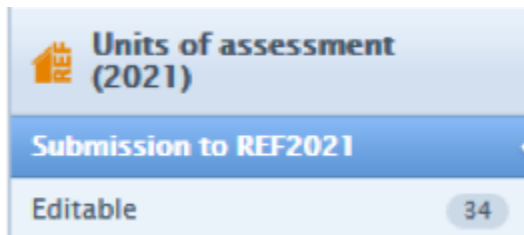
UPDATE: 5.16.2

UPDATE: 5.17.0

UPDATE: 5.17.3

1. Where to locate the Submission Screen

The submission screen can be found at the REF2021 Unit of Assessment (2021) Submission to REF2021



1.1. Roles with access to Submission Screen

Only users with the Administrator role have access to the Submission page

1.2. Submission Screen

After the configuration of connection to the submission system has been set up, REF6 data (and later other content types) can be passed on to the submission system from the REF2021 Submission page

In order to submit to the system, the following steps need to be taken:

REF 2021 Submission Page

Serial	Job status	Unit of assessment	Submission type	REF forms submitted	Duration	Job progress	Job outcome	Reports
25 Nov 2019 14:27	Makere Knudsen	35 Music, Drama, Dance, Merge	REF6	00:00:00	✓ Finished	✓ Success	[?] View	
22 Nov 2019 10:13	Makere Knudsen	29 Education (11 month)	Replace	REF6	00:00:02	✓ Finished	Δ Error	
22 Nov 2019 10:13	Makere Knudsen	29 Education	Replace	REF6	00:00:01	✓ Finished	Δ Error	

1. Select the UOA to submit. You can select between one, multiple or all UOA
2. Select REF forms to submit. You can select between REF1-5 or REF6 (For version 5.16.2 only REF6)
3. Select submission type
 - a. Merge means, that for each UOA the has some data included in the import file, the data will be merged with the existing data in the submission system for that UOA
 - b. Replace means, that for each UOA the has some data included in the import file, the existing data in the submission system for that UOA will be overwritten by the imported data from the UOA
4. Click "Submit to REF"
5. Once Pure is talking to the REF submission system, you will get a notification of the job running



For each UOA you would like to submit, you must ensure that you have created a submission for that UOA in the REF2021 Submission system with "Write" permissions. To set up write permissions in the Submission system see the [guide](#)

Table of contents

- 1. Where to locate the Submission Screen
 - 1.1. Roles with access to Submission Screen
 - 1.2. Submission Screen
 - 1.3. Understand the results of the submission
- 2. Reading the log files
 - 2.1. Validation report:
 - 2.2. Technical report:
 - 2.3. Submission XML (Added in 5.17.3)
- 3. Troubleshooting
 - 3.1. If the connection to the submission is not setup
 - 3.2. If the connection is set up incorrectly
 - 3.3. If Submission system is down

1.3. Understand the results of the submission

Once the job has finished the result of the job will be displayed on the Submission Page. The information displayed on the page will more or less show the same information as in the Submission system. The data is related to the API key entered in the **Administration REF2021 REF2021 configuration** and will display all the data submitted towards this key. If you change the key on the configuration page, the submission page will display the information on submission for this key.

As a default, you can see the result of the last 10 submissions. Clicking on the little error on the bottom of the page, you will be able to see previous job results.

The following columns can be found in the log:

- **Started:** Date and time of when the submission job started
- **Job starter:** The first name and last name of the user who ran the job. If no name is stated on the user, the log will display [No Value]. If you click on the name you will get the email of the user
- **Unit of Assessment:** List of the Unit of Assessment that has been submitted. Click on the first value to see the entire list
- **Submission form:** Submission type of the job. Either "Merge" or "Replace"
- **Duration:** Time for the job to finish
- **Job Progress:** Information on whether the data was received by the submission system. Values can be Finished or Error. The error could indicate that the submission system could not interpret the data received or Pure cannot contact the Submission system.
- **Job Outcome:** Information regarding the data received. Values can be Success, Errors or Warning. Success indicates everything is okay. Errors indicate that something in the data cannot be interpreted by the submission system or validation errors. Warnings indicate validation problems with the data.
- **Reports:** Contains two logfiles. One technical log, documenting the technical specification of the transfer. One validation report, documenting the data being transfer alongside validation warnings and errors of data. From version 5.17.3 an addition XML file containing the data being parsed from Pure to the Submission system

2. Reading the log files

2.1. Validation report:

The validation report consists of 2 sheets. The first sheet is a validation summary of the data received by the Submission system. It contains information on the number of records loaded, invalid records, saves errors and warnings. The second sheet contains further information on the data received by the Submission system that contains errors, alongside a description of the errors.

For REF6 content there is a reference to the HESA id for record in question. The HESA ID can be found in the spreadsheet in the column "Record" and can be used in Pure to correct the data before resubmitting to the submission system.



This report is not generated by Pure but is the report available from the Submission system, just available from Pure for reference

2.2. Technical report:

The technical report contains information on the job that transferred the data from Pure to the submission system. In the file, you will find information about when the job was executed, which UOAs was submitted and the import method (Merge or Replace). The file also contains information on the status and outcome of the job. Most of the information in the technical report can also be found on the REF2021 submission page job log.



This report is not generated by Pure but is the report available from the Submission system, just available from Pure for reference

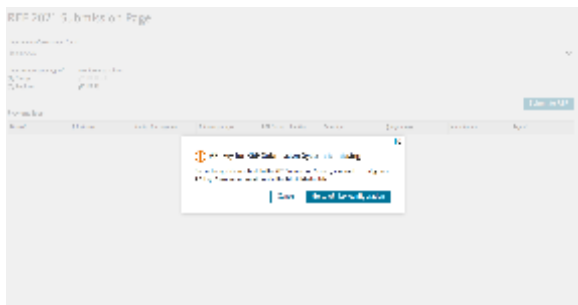
2.3. Submission XML (Added in 5.17.3)

The submission XML contains the data being sent from Pure to the Submission system

3. Troubleshooting

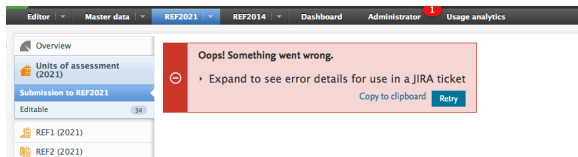
3.1. If the connection to the submission is not setup


If the credentials to the submission system have not been setup (**Administration REF2021 REF2021 configuration**) a warning will be displayed when accessing the submission page. From the warning, you can navigate directly to the configuration page, in order the set up the connection



3.2. If the connection is set up incorrectly

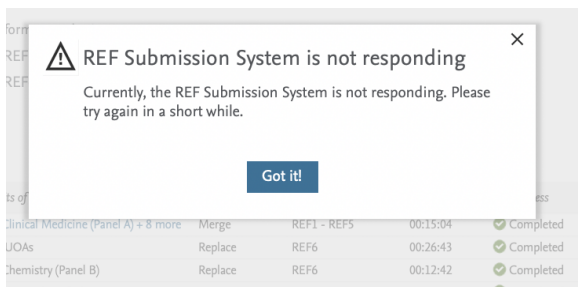
If one of the parameters on the submission system configuration page (**Administration REF2021 REF2021 configuration**) has been set up incorrectly, and error will be displayed on the submission page



 We are working on an error message that will provide you with more helpful information

3.3. If Submission system is down

If Pure is not able to get in contact with the submission system, and therefore cannot transfer data, a message will be displayed on the Submission page in Pure



Understand the Pure Submission page (After 5.19.2)



UPDATE: 5.16.2

UPDATE: 5.17.0

UPDATE: 5.17.3

UPDATE: 5.19.2

Where to locate the Submission Screen

The submission screen can be found at the REF2021 Unit of Assessment (2021) Submission to REF2021

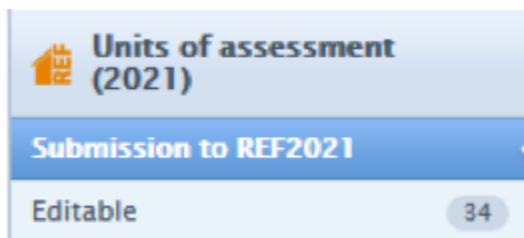


Table of contents

- Where to locate the Submission Screen
 - Roles with access to Submission Screen
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 - Validation report:
 - Technical report:
 - Submission XML (Added in 5.17.3)
 - Additional file upload XML
 - Additional file upload json
- Troubleshooting
 - If the connection to the submission is not setup
 - If the connection is set up incorrectly
 - If Submission system is down

Roles with access to Submission Screen

Only users with the Administrator role have access to the Submission page

Submission Screen

After the configuration of connection to the submission system has been set up, you can from this page submit you REF data and parse it on to the submission system.

In order to submit to the system, the following steps need to be taken - Notice to do a full upload of both meta data and files it requires 2 actions:

Action 1 - Submission of meta data:

1. Select the UOA to submit. You can select between one, multiple or all UOA
2. Click on "Upload to REF" (you cannot click here before at least 1 UoA has been selected)
3. Select REF forms to submit. You can select between REF1-5 or REF6 (you cannot select both)
4. Select submission type
 - a. Merge means, that for each UOA the has some data included in the import file, the data will be merged with the existing data in the submission system for that UOA
 - b. Delete and re-upload means, that for each UOA the existing submission data fro that UOA is deleted and re-uploaded by the imported data for the UOA
5. Click "Submit to REF"
6. Once Pure is talking to the REF submission system, you will get a notification of the job running - check process in the Update state + validation state
7. Once the job is done, you will find the logs with the results under the individual UOAs. (click on the UOA to expand the list and see the logs)

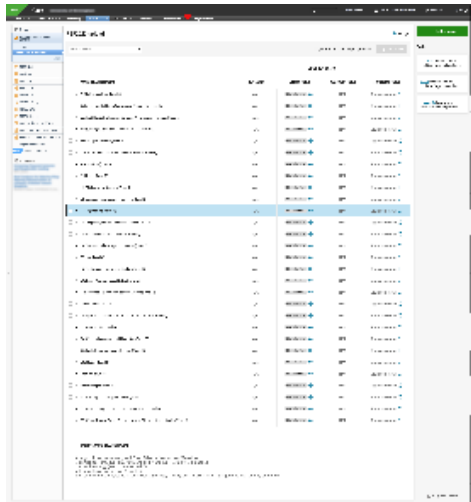
Action 2 - Submission of Files

1. If you also want to submit your Files to the REF submission system - then click on "Upload files" in the "File upload status"
2. Once the File upload is done - this will be indicated in the "File upload status"



For each UOA you would like to submit, you must ensure that you have created a submission for that UOA in the REF2021 Submission system with "Write" permissions. To set up write permissions in the Submission system see the [guide](#)

Understand the results of the submission



Once the job has finished the result of the job will be displayed on the Submission Page. The information displayed on the page will more or less show the same information as in the Submission system. The data is related to the API key entered in the **Administration REF2021 REF2021 configuration** and will display all the data submitted towards this key. If you change the key on the configuration page, the submission page will display the information on submission for this key.

Collapsed view:

- **Units of Assessment:** List of all active Unit of Assessments
- **REF forms:** List the last REF form that has been submitted (REF1-5 or REF6)
- **Upload status:** Status of the latest submission - details can be found in the technical log
- **Validation status:** Validation status of the latest submission - details can be found in the "Validation report"
- **File upload:** If no files has been send to the submission system, you can upload files from here. Once the files has been send, you can see the status of the files submission + you will be able to re-upload if additional files has been added.

Expanded view:


- **Started:** Date and time of when the submission job started
- **Job starter:** The first name and last name of the user who ran the job. If no name is stated on the user, the log will display [No Value]. If you click on the name you will get the email of the user
- **Submission type:** "Merge" or "Delete and re-upload"
- **REF forms:** REF form that has been submitted (REF1-5 or REF6)
- **Validation status:** Status of the individual submission - details can be found in the "Validation report"
- **Additional file upload:** If no files has been send to the submission system, you can upload files from here. Once the files has been send, you can see the status of the files submission + you will be able to re-upload if additional files has been added.
- **Reports:** Contains 5 logfiles.
 - Technical log, documenting the technical specification of the transfer.
 - Validation report, documenting the data being transfer alongside validation warnings and errors of data.
 - Submission XML file containing the data being parsed from Pure to the Submission system
 - Additional file upload XML containing the data on files being parsed from Pure to the Submission system
 - Additional file upload json contains information on the success of validating the files in the submission system

Reading the log files

Validation report:


The validation report consists of 2 sheets. The first sheet is a validation summary of the data received by the Submission system. It contains information on the number of records loaded, invalid records, saves errors and warnings. The second sheet contains further information on the data received by the Submission system that contains errors, alongside a description of the errors.

For REF6 content there is a reference to the HESA id for record in question. The HESA ID can be found in the spreadsheet in the column "Record" and can be used in Pure to correct the data before resubmitting to the submission system.

 This report is not generated by Pure but is the report available from the Submission system, just available from Pure for reference

Technical report:

The technical report contains information on the job that transferred the data from Pure to the submission system. In the file, you will find information about when the job was executed, which UOAs was submitted and the import method (Merge or Replace). The file also contains information on the status and outcome of the job. Most of the information in the technical report can also be found on the REF2021 submission page job log.

 This report is not generated by Pure but is the report available from the Submission system, just available from Pure for reference

Submission XML (Added in 5.17.3)


The submission XML contains the data being sent from Pure to the Submission system

Additional file upload XML

Containing the data on files being parsed from Pure to the Submission system

Additional file upload json

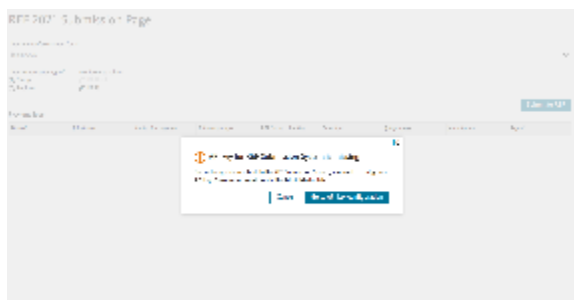
Contains information on the success of validating the files in the submission system

 This report is not generated by Pure but is the report available from the Submission system, just available from Pure for reference

Troubleshooting

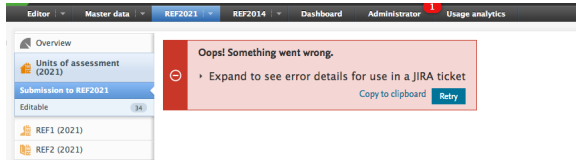
If the connection to the submission is not setup

If the credentials to the submission system have not been setup (**Administration REF2021 REF2021 configuration**) a warning will be displayed when accessing the submission page. From the warning, you can navigate directly to the configuration page, in order the set up the connection



If the connection is set up incorrectly

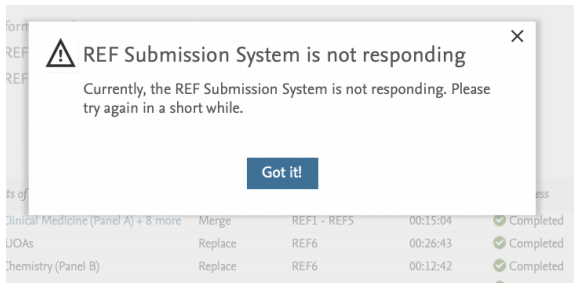
If one of the parameters on the submission system configuration page (**Administration REF2021 REF2021 configuration**) has been set up incorrectly, and error will be displayed on the submission page



We are working on an error message that will provide you with more helpful information

If Submission system is down

If Pure is not able to get in contact with the submission system, and therefore cannot transfer data, a message will be displayed on the Submission page in Pure



Understand the data being submitted



UPDATE 5.16.2

UPDATE 5.17.0

1 When can content be submitted

In order for content to be pushed to the submission system, the content itself and related content need to be in the final workflow state.


 Pure will send data to the submission system even if there are validation errors, if the content is in the last workflow state.

Table of contents

- 1 When can content be submitted
 - 1.1 Submitting REF1 information
 - 1.2 Submitting REF2 information
 - 1.3 Submitting REF3 information
 - 1.4 Submitting REF4 information
 - 1.5 Submitting REF5 information
 - 1.6 Submitting REF6 information
 - 1.7 What data is being parsed
 - 1.8 Is the data ready for submission

1.1 Submitting REF1 information

For passing on REF1 information, the following criteria need to be upheld:

- REF1 needs to be marked as "Inclusion in REF submission" = Submitted
- REF1 "Workflow step" = REF1 confirmed

1.2 Submitting REF2 information

For passing on REF2 information, the following criteria need to be upheld:

- REF2 "Selected for UoA Pool" = Selected for UoA Pool
- REF2 "Workflow step" = REF2 confirmed
- REF2 Needs to have at least one REF1 attributed
- The REF1 attributed needs to be submitted to the REF submission system also (see rules on submitting REF1)

1.3 Submitting REF3 information

For passing on REF2 information, the following criteria need to be upheld:

- REF3 "Workflow step" = REF3 confirmed

The PDF files uploaded in the 'Corroborating evidence' section in the REF3 editor will be collected and zipped into a single zip-file which is submitted to the REF submission system.

1.4 Submitting REF4 information

- For summery data - we will submit data that is in Pure
- For detail information - Remember to click on data to be submitted

1.5 Submitting REF5 information

Currently, it is not possible to submit REF5 data to the submission system. Once the submission system is ready we will update this section

1.6 Submitting REF6 information

For passing on REF6 reductions the following criteria need to be upheld:

- The REF6 reduction "Workflow step" = REF6 confirmed

- The related REF1 needs to be submitted to the REF submission system also (see rules on submitting REF1)
- Unit reduction "Workflow step" = REF6 Unite Reduction Confirmed
- Unit reduction "Apply for reduction" = YES

For passing on REF6 zero output the following criteria need to be upheld:

- REF6 zero output "Workflow step" = REF6 zero outputs confirmed
- REF6 zero output "Apply for reduction" = YES
- The related REF6 Reduction needs to be submitted to the REF submission system also (see rules on submitting REF6)
- The related REF1 needs to be submitted to the REF submission system also (see rules on submitting REF1)
- Unit reduction "Workflow step" = REF6 Unite Reduction Confirmed
- Unit reduction "Apply for reduction" = YES

1.7 What data is being parsed

Not all data in the editors is being parsed to the submission system. We are only parsing relevant data. If you want to see exactly what data is being parsed, this can be located on **Display Formats REF2021 submission (XML)**

1.8 Is the data ready for submission

A tab on the editors called "Data to be submitted" will give a fast overview of whether the content fulfils the requirements for the submission and furthermore it displays all values being submitted.

If the value is being submitted and is not valid, an error is shown, which can be seen by hovering over the error icon.



This is still work in progress as of version 5.17.0

Known issues with the submission system



Know issue with the connection to the submission system:

We would like to refer to the official list of known issue as well <https://ref.ac.uk/submission-system/submission-system-live-issues/>

Unable to submit large files

Created:

03 Feb 2021

Status:

RESOLVED

URGENT

Dear REF support.

We (and our customers) are not able to upload large REF2 file attachments through the file endpoint. The upload works with files up to 50MB in size

90MB and larger files fail to upload, giving an ERROR 400:

```
REF2021 upload additional files job
INFO: Sending output PDF for REF2 '183710545:R1111111-183710545-202123.pdf' to REF submission system
INFO: Response:400
INFO: {"fileContent":["The input was not valid.", "The input was not valid."]}

The file is not uploaded to the REF submission system.
```

According to the documentation, the file size limit has been changed to 500MB, so we expect to be able to upload 500MB per file transaction.

We have tested the issue both through the PURE client and on the endpoint directly, using curl scripts, and have received the same ERROR 400 for large files while the smaller files went through without issue.

When manually uploading through your GUI I was able to upload a 480MB file.

In summary:

- * File endpoint will not accept files larger than 50MB (fail threshold is somewhere between 50MB and 90MB)
- * Extensive testing points to the file upload endpoint being the issue. I have attached the curl script below

Please get back to me as soon as possible.

Best regards,
Søren A. Andersen
Quality Engineer III
Elsevier

CURL:

```
echo '{"fileContent" : "'$( base64 ~/Documents/<Your Large File Here>.pdf)''}' | curl -i -X PUT -H
"Content-Type: application/json" -H "ref2021-apikey: <your production API key here>" -d @-
https://submissionsapi.ref.ac.uk/api/submissions/<submissionId>/outputs/<ref2Id>/pdf
```

Unable to submit *other* output allocations

Created:
03 Dec 2020

Status:
RESOLVED

Pure cannot sent output allocations for REF2s if the output allocation is type *other*. This will be fixed in 5.19.3

Unable to submit REF3s without corroborating evidence

Created: 01 Dec 2020

Status: RESOLVED

Hi

In our system, we offer the option of submitting REF3s without corroborating evidences and then submitting the corroborating evidence afterwards, using the `/api/submissions/{submissionId}/impactcasestudies/{ref3Id}/corroboratingevidence` PUT endpoint.

We offer this option in order to avoid submissions becoming too large.

However, our system is unable to do this, because corroborating evidences are mandatory on the REF3s. When we submit a REF3 without a corroborating evidence, we get the following error:

```
System.NullReferenceException: Object reference not set to an instance of an object.

   at Ref2021.ApiService.Core.ImpactCaseStudies.CommandHandlers.AddImpactCaseStudyCommandHandler.
AfterMappingAsync(AddImpactCaseStudy command, ImpactCaseStudyEntity entity) in D:
\a\1\s\DataServices\API Service\Ref2021.ApiService.
Core\ImpactCaseStudies\CommandHandlers\AddImpactCaseStudyCommandHandler.cs:line 105

   at Ref2021.ApiService.Core.BaseAddCommandHandler`3.ExecuteInnerAsync(TCommand command) in D:
\a\1\s\DataServices\API Service\Ref2021.ApiService.Core\BaseAddCommandHandler.cs:line 97

   at Ref2021.ApiService.Core.AuditLogging.BaseAuditLoggingCommandHandler`3.ExecuteInnerAsync(TCommand
command)

   at Ref2021.ApiService.Core.LockManager.CommandHandlers.LockingCommandHandlerWithResult`2.
ExecuteInnerAsync(TCommand command)

   at Ref2021.ApiService.Core.Validation.BaseValidatingCommandHandlerWithResult`3.ExecuteInnerAsync
(TCommand command)

   at Ref2021.ImportEngine.UpdateTracking.TrackedUpdateCommandHandler`2.ExecuteInnerAsync(TCommand
command)

   at Ref2021.ApiService.Core.Authorisation.BaseAuthorisingCommandHandlerWithResult`2.ExecuteInnerAsync
(TCommand command)

   at Ref2021.ImportEngine.RecordLoaders.ImpactCaseStudyRecordLoader.AddModelAsync(ImportData command,
ImpactCaseStudyModel model) in D:\a\1\s\DataServices\API Service\ImportEngine\Ref2021.
ImportEngine\RecordLoaders\ImpactCaseStudyRecordLoader.cs:line 137

   at Ref2021.ImportEngine.RecordLoaders.BaseRecordLoader`1.LoadRecordInnerAsync(IImportRecord record,
ImportData command) in D:\a\1\s\DataServices\API Service\ImportEngine\Ref2021.
ImportEngine\RecordLoaders\BaseRecordLoader.cs:line 167

   at Ref2021.ImportEngine.RecordLoaders.SubmissionLookupRecordLoader.LoadRecordInnerAsync
(IImportRecord record, ImportData command) in D:\a\1\s\DataServices\API Service\ImportEngine\Ref2021.
ImportEngine\RecordLoaders\SubmissionLookupRecordLoader.cs:line 111

   at Ref2021.ImportEngine.RecordLoaders.InstitutionLookupRecordLoader.LoadRecordInnerAsync
(IImportRecord record, ImportData command) in D:\a\1\s\DataServices\API Service\ImportEngine\Ref2021.
ImportEngine\RecordLoaders\InstitutionLookupRecordLoader.cs:line 95
```



```
at Ref2021.ImportEngine.RecordLoaders.LoggingRecordLoader.LoadRecordAsync(IImportRecord record,
ImportData command) in D:\a\1\s\DataServices\API Service\ImportEngine\Ref2021.
ImportEngine\RecordLoaders\LoggingRecordLoader.cs:line 56
```

We believe that the corroborating evidence should be made optional on the REF3.

Best regards
Thomas Jensen

Inconsistency in UOA 11 output allocations

Created: 30 Nov 2020

Status: **RESOLVED**

Hi

In the list of output allocations for UOA 11 - Computer Science and Informatics, there are eight 'Applied computing' allocations. Those are:

- Applied computing – business and enterprise
- Applied computing – physical sciences and engineering
- Applied computing – life and medical sciences
- Applied computing – law, forensics, social and behavioural sciences
- Applied computing – arts, humanities and other
- Applied computing – operations research
- Applied computing - education
- Applied computing - document management and text processing

Thus, their titles all start with 'Applied computing'.

And then comes the inconsistency:

The first six in the list then have a **dash** before the subtitle.

The last two have a **hyphen** before the subtitle.

In our system, we currently have hyphens in these output allocation titles.

We can change this in our system of course, but we would like you to confirm what the correct titles are here.

Should they all have a dash before the subtitle, should they all have a hyphen before the subtitle or should it be as it is now (a mix of the two, as I listed in the beginning of this description).

Thanks

Best regards
Thomas Jensen

Possible errors in REF import XSD - Part 3

Created: 27 Nov 2020

Status: **RESOLVED**

Hi,

We have taken the new XSD into use and have found a problem with the newly added 'researchGroups' on 'StaffOutputLinkType'.

We have added it as you can see in the attached XML file. When we try to upload it we get the error shown in the attached JSON file. In short it gives the following exception:

'Ref2021.ImportEngine.ImportRecordMapperPropertyNotFoundException: Unable to find a property with the name researchGroups on StaffOutputLinkModel. Please check the import record mappings.'

This was tested against <https://submissionsapi.ref.ac.uk>. So it does not seem that the endpoint have support for the new structure.

I've checked your swagger api at <https://submissionsapi.ref.ac.uk/swagger/index.html> and for StaffOutputLinkModel it states that there should only be one 'researchGroup' element which is a String.

What is the correct approach here? To me the XSD seem correct, but the endpoint does not accept the data...

Best regards,
Tonny Gregersen

Timeout exception when submitting REF3 with corroborating evidence

Created: 27 Nov 2020

Status: RESOLVED

Hi

I get the following error, when I try to submit a REF3 that has a corroborating evidence zip, which is 30MB:

System.Data.SqlClient.SqlException (0x80131904): Timeout expired. The timeout period elapsed prior to completion of the operation or the server is not responding.

This happens when I use the test submission system and also when I use the live submission system.

Also, the submission I tested this on was quite small and only consisted of

- Four REF1s
- One REF2
- One REF3

According to the REF 2021 submission system validation rules, the corroborating evidence zip file is allowed to be up to 100MB.

I hope you can help us with this.

Best regards
Thomas Jensen

Validation errors on COVID-19 delayed output

Created: 25 Nov 2020

Status: RESOLVED

Hi

When submitting REF2s with output type A and year of publication 2021, we are seeing the following validation errors:

Isbn has not been provided for a COVID-19 delayed output.
Publisher has not been provided for a COVID-19 delayed output.

The REF2s are set to being delayed by COVID-19.

According to the REF 2021 submission system validation rules (<https://www.ref.ac.uk/media/1456/submissions-system-validation-documentation-for-ref2021-oct2020.pdf>), these validation warnings should not be shown.

For both Isbn and Publisher, REF 2021 submission system validation rules say that a warning will be shown if Isbn/Publisher is submitted for a COVID-19 delayed output:

"Warning: Not required for a COVID-19 delayed output"

I hope you can help us with this.

Best regards
Thomas Jensen

Possible errors in REF import XSD - Part 2

26/11 Possible errors in REF import XSD - Part 2

Created: 26 Nov 2020

Status: RESOLVED

Hi,

Not long ago we had some problems with the previous version of the XSD (which can be found by pressing 'Download the XML schema for the REF 2021 import (33 KB)' on <https://www.ref.ac.uk/guidance/submission-system-data-requirements/>). After reporting the issues a new XSD was provided by you.

We have taken the new XSD from <https://www.ref.ac.uk/media/1653/ref2021data.xsd> into use. After doing this we have found two things we believe are errors in the new XSD.

'ImpactCaseStudyContactCollection' has an element named 'contactNumber'. This should be named 'contact' instead.

'ImpactCaseStudyContactType' has an element named 'number'. This should be named 'contactNumber' instead.

If you use the values from your XSD then the submission of these fields do not work, but if you use the values I stated should be used instead we are able to submit the values to the REF submission system.

Can you please confirm that the values I have stated should be used (instead of the ones in you XSD) are correct?

NB. I've attached a file with our current modified XSD, so you can do a diff on it if you want to.

Best regards,
Tonny Gregersen

Research Group missing in XSD

Created: 02 Nov 2020

Status: **RESOLVED** 25 Nov 2020

We use the REF import XSD to generate object code for what is to be submitted to REF submission system. During a checkup on whether we conform to all the submission requirements stated in 'REF 2021 submission system validation rules' document (at <https://www.ref.ac.uk/media/1456/submissions-system-validation-documentation-for-ref2021-oct2020.pdf>) we found that 'researchGroup' is missing in the XSD for element 'StaffOutputLinkType'.

As far as I can tell from the text for 'researchGroup' on the top of page 18 of <https://www.ref.ac.uk/media/1456/submissions-system-validation-documentation-for-ref2021-oct2020.pdf> then 'researchGroup' should be added to the 'StaffOutputLinkType' element in the XSD (which can be found by pressing 'Download the XML schema for the REF 2021 import (34 KB)' on page <https://www.ref.ac.uk/guidance/submission-system-data-requirements/>).

COVID 19 fields

Created: 02 Nov 2020

Status: **RESOLVED** 25 Nov 2020

I needed the latest XSD with the added COVID-19 fields. So I downloaded the latest version found at <https://www.ref.ac.uk/guidance/submission-system-data-requirements/> and selecting 'Download the XML schema for the REF 2021 import (34 KB)' which in effect is <https://www.ref.ac.uk/media/1431/ref2021data-sept2020.xsd>.

A number of changes has been made to the new XSD with COVID-19 fields. I found a few problems with the new XSD and some things I'm not sure is right. I've tried to list them below.

'outputAllocation3' has been removed from 'OutputType'

- I believe that this is an error as it still should be possible to set it according to the documentation where it should be possible to set this for UOA 12 (and only for UOA 12)

'statementDocument' has been removed from 'EnvironmentType'

- I'm not sure that this is correct...

'statementDocument' has been removed from 'EnvironmentStatementType'

- I'm not sure that this is correct...

'ImpactCaseStudyContactType' has changed element with name 'contactNumber' to 'number'

- Is this correct?

'RedactionStatusType' has changed enum value from 'Redacted' to 'RequiresRedaction'

- Is this correct?

'OpenAccessStatusType' has changed enum value for 'DepositException' to 'DispositException'

- Is this correct? The new value is misspelled...

We also found out that the following has been changed in the new XSD.

Previously it stated the following for 'ImpactCaseStudyType':

```
<xs:element name="covid19CaseStudyStatement" type="ref:FreeTextString" minOccurs="0"/>
```

This has been changed to:

```
<xs:element name="covid19Statement" type="ref:FreeTextString" minOccurs="0"/>
```

However, it should be the old value. We are able to submit if we change it to the old value and according to your swagger endpoint it should be the old value.

Uploading files

Created: 02 Nov 2020

Status: **RESOLVED** 23 Nov 2020

Hi

We have recently made changes to our integration with the REF2021 submission API. We did this after <https://ref2021.freshdesk.com/support/tickets/2193>, where we were advised to split our submission request into separate requests to avoid the issue with the submission API max size limit.

What we did was to

1. run a replace import without files
2. run a series of single requests to the submission API

So for REF2s, we are using the PUT endpoint, `/api/submissions/{submissionId}/outputs/{ref2Id}`

with a JSON body containing the fields that we want to update (i.e. the 'outputPdf' field). However, we would get a 400 status response with the message "Unable to update model because of a mismatch in identifiers." The same error would occur if we simplified this and tried to only update the title. Like this:

```
curl -X PUT "https://testsubmissionsapi.ref.ac.uk/api/submissions/0641d8f3-75d5-40e6-b22c-4097dc6b99ce/outputs/0178d38f-a6ce-4265-91cb-2e6786326198" -H "accept: application/json" -H "ref2021-apikey: Ed4evblog33ClpQFFPkbMOgzRa5AlmHQag6LPufK" -H "Content-Type: application/json-patch+json" -d '{"title": "baz"}'
```

What we then learned was that if we added some more fields, we would get a 200 status response:

```
curl -X PUT "https://testsubmissionsapi.ref.ac.uk/api/submissions/0641d8f3-75d5-40e6-b22c-4097dc6b99ce/outputs/0178d38f-a6ce-4265-91cb-2e6786326198" -H "accept: application/json" -H "ref2021-apikey: Ed4evblog33ClpQFFPkbMOgzRa5AlmHQag6LPufK" -H "Content-Type: application/json-patch+json" -d '{"ref2Id": "0178d38f-a6ce-4265-91cb-2e6786326198", "submissionId": "0641d8f3-75d5-40e6-b22c-4097dc6b99ce", "title": "Foo", "outputType": "D", "outputIdentifier": "149524420"}'
```

After that, we expected the REF2 to only be updated wrt. the fields that were specified in the JSON body. However, to our surprise, the fields that were not included in the JSON body were all cleared on the REF2.

Is it correctly understood that in order for us to update the PDF on a REF2, we will have to create JSON data containing all the fields that are already populated on the REF2 in the submission system, and then add the PDF to the JSON data?

If so, that is a big problem for us.


We have rewritten our REF2021 submission integration to avoid the problem with the request size limitation.


Having to build all our REF2, REF3 and REF5 data as JSON during our submission would be problematic. We have already built that data in XML format.

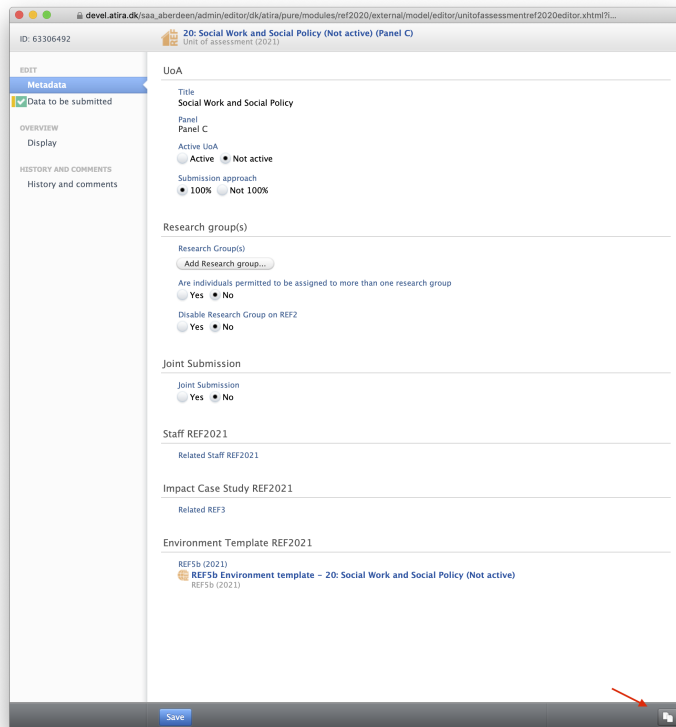
Multiple Submissions

Multiple Submission

The feature is only available to administrators, and must be enabled under "system settings" for REF2021, and is disabled by default. Open the editor for the UOA you want to make multiple submissions in and click the icon to the bottom right. You will now have an A and B version of the UOA. The A version has the same REF1s etc. as before, and the new B does not have anything associated. When a new UOA is created using the multiple submission new REF5bs and REF6 Unit Reductions are also created.

 Roles are never copied/moved and therefore you must assign new roles to the new UOA

 Please don't enable this before you have obtained permissions from Research England, as undoing the creation of multiple submission UOAs can be quite difficult



Standard Report Definitions



REF report definitions

As the REF submission preparation phase progresses, we will share (and we encourage customers to share) REF report definitions on this page. If you have create a report that you find useful and would like to share with other please just send the report to m.knudsen@elsevier.com and I will update this page

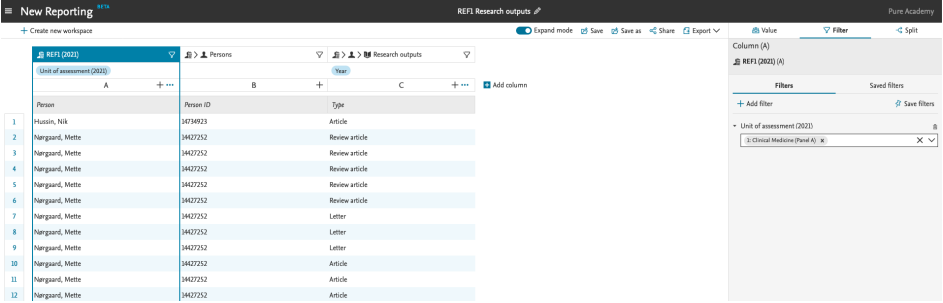
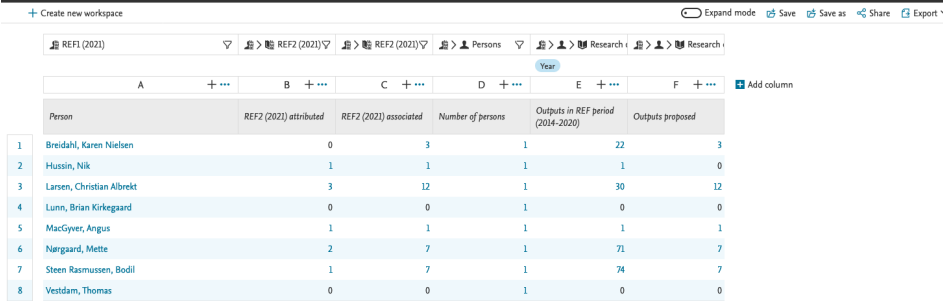
For the Classic report module - Note that where you wish to make use of a provided report definition, where filters / groupings / projections have not yet been 'enabled' in your local report configuration, these will come up as 'errors' or 'warnings' when you first import the report definition. It is recommended that you ensure all fields included in the report definition (as per the screenshots) are enabled prior to importing the report definition. Alternatively, you can choose to import the relevant configuration, where provided.

For most of the overview screens available within the REF2021 module an equivalent Report definition will be available as a standard workspace in the new report module. These reports can be accessed by navigating to REF2021 New Reporting Create new Shared by institution


The workspaces are ready to be run as they are or they can be altered to fit your current reporting needs.

	Title	Description	Version	Creator
1	Attribution Profile	The report contains information on ratings on REF2, aggregated on UoA level and on REF1 level. On UoA level you can find information: on # output required for submission, #outputs in the pool, #output attributed, #outputs not attributed, #outputs divided by grade and Staff category On Person level you can find information on: staff category, total FTE, #selected for pool, #attributed, #outputs divided, calculated GPA	5.15.0	Elsevier
2	REF1a summary	The report contains information on Staff REF1a both aggregated on UoA level and on REF1 level On UoA level you can find information on #eligible REF1a, #submitted REF1a divided by headcount and FTE On Person level you can find information inclusion status, eligibility, #outputs within REF period, #outputs pending publication, #REF2, #REF2 pending publication, #attributed REF2, #attributed REF2 pending publication	5.15.0	Elsevier
3	REF1b summary	The report contains information on Staff REF1b both aggregated on UoA level and on REF1 level On UoA level you can find information on #eligible REF1b divided by headcount and FTE On Person level you can find information inclusion status, eligibility, #outputs within REF period, #outputs pending publication, #REF2, #REF2 pending publication, #attributed REF2, #attributed REF2 pending publication	5.15.0	Elsevier
4	Individual profile	The report contains information on REF1 and an overview on their REF2, divided by Predicted grade and Selection status	5.15.0	Elsevier
5	REF2 Attribution	The report gives an overview on REF2s that is in the pool for attribution or has been attributed On UoA level the report provides information on, #output required for submission, #allowed non-compliant outputs attributed, #non-compliant output that has been attributed, GPA, #locked REF2s On Person level, it contains information on FTE, #non attributed REF2 in the pool, divided by predicted grade, #of attributed output, divided by predicted grade, Calculated GPA	5.16.0	Elsevier
6	UoA Summary	This report contains overview elements of all REF2021 content types (including REF6 data, that is only visible for roles with access to this content)	5.17.3	Elsevier
7	REF2 Summary	The report gives an overview on noteworthy elements in relation to REF2 submission. Can be used as a working tool for getting all REF2 meta data in place submitting to submission system. The report also contains information on validation errors	5.17.3	Elsevier

This section contains other useful REF related reports

	Title	Description	Version	Creator
1	Publications within REF period	<p>With this report you can locate all publications from within the REF period related to REF1.</p> <p>Report is filtered by UoA</p> 	5.17.3	Unknown User (uws_nhusin)
2	Publication within REF period + proposed outputs	<ol style="list-style-type: none"> REF1 the person this is about REF2 the outputs that have been attributed to that REF1 REF2 the outputs that are associated with the REF1 Person (column that has to be there, used to connect the REF1 with the Outputs) Outputs published where the REF1 (person) is contributor Outputs the REF1 (person) has proposed 	5.18.1	Elsevier

Note that some of these reports may have wider implications than REF2021, but it was felt they may be useful 😊

	Description	Report definition (for import directly into Pure)	
1	<p>Open Access : Electronic version details</p> <p>This report lists selected properties of electronic versions associated with each Research Output, one electronic version per line. The report includes:</p> <ul style="list-style-type: none"> Pure ID and output title Electronic version : File title Electronic version : DOI Electronic version : Link Properties of each electronic version: <ul style="list-style-type: none"> Document version Public access to file Embargo start / end dates Deposit and access dates (note that for files Deposit date is labelled 'created') Visible on portal date Open Access status 	<p>REF_OA_Compliance_Monitoring_-_All_Electronic_Versions.xml </p>	<p>Re rep co xml</p>

- Dates for selected publication statuses (note that where no day or month is provided in the Editor, the report returns the 1st; e.g. if only the Published year (2015) is provided, the report will return 01/01/2015)
 - Accepted / In press
 - ePub ahead of Print
 - Published
- Managing organisation
- REF OA compliance info:
 - REF OA compliance status
 - REF2021 exception
 - Earliest deposit date
 - Earliest access date
- Filters:
 - Organisations (note that this filter will need to be re-applied)
 - Only those with an Accepted / In press Publication state
 - 2015 to present (note that this filter may need to be re-applied, depending on when you have started monitoring REF OA compliance)
 - Journal Articles (note that this filter may need to be re-applied as many customers have unique output type classifications)

Note : you should ensure that 'All values' (i.e. outer join) is selected for all groupings (where available), to ensure that a row is returned even if a grouping value is null (otherwise, for example, unless the output has a file AND a DOI and a Link, it will not appear)



The report is grouped by Research Output ID, with one line per electronic version. Therefore, each Research Output may have multiple lines in the report.



2

Open Access : Publication state details

This report lists the separate day, month, and year of each Publication state for each output. The report includes:

- Pure ID and output title
- Each publication status recorded against each output, along with the day, month, and year recorded, each in a separate column
- Filters:
 - Organisations (note that this filter will need to be re-applied)
 - 2015 to present
 - Journal articles (note that this filter may need to be re-applied as many customers have unique output type classifications)

Note : you should ensure that 'All values' (i.e. outer join) is selected for all groupings (where available), to ensure that a row is returned even if a grouping value is null



The report is grouped by Publication state, with one line per Publication state per output. Therefore, each Research Output may have multiple lines in the report. It is suggested that once the output is downloaded to excel, you sort the data by ID to see all publication states input per output.

[OA_Publication_State_Details.xml](#)



3

Open Access : Funder details

This report lists selected properties of electronic versions associated with each Research Output, one electronic version per line, along with related funding information (whether it exists or not). The report includes:

- Pure ID and output title
- Author and Pure ID
 - Electronic version : File title
 - Electronic version : DOI
 - Electronic version : Link
 - Properties of each electronic version:
 - Document version
 - Public access to file

[OA_-_Electronic_versions_and_funding_info.xml](#)



- License
- Open Access status
- Dates for selected publication statuses (note that where no day or month is provided in the Editor, the report returns the 1st; e.g. if only the Published year (2015) is provided, the report will return 01/01/2015)
 - ePub ahead of Print
 - Published
- Journal details
 - Name
 - ISSN
 - Publisher
- Source, source ID, and additional source IDs
- Managing organisation
- Related Award info
 - Funder project reference
 - Pure Award ID
 - Funding organisation
 - Award title
- Filters:
 - Organisations (note that this filter will need to be re-applied)
 - Published and ePub ahead of print only
 - 2015 to present
 - Journal articles (note that this filter may need to be re-applied as many customers have unique output type classifications)

Note : you should ensure that 'All values' (i.e. Outer join) is selected for all groupings (where available), to ensure that a row is returned even if a grouping value is null



The report is grouped by Research Output ID, with one line per electronic version. Therefore, each Research Output may have multiple lines in the report.



4

Open Access : Only outputs with related Projects

This report lists all outputs with related Projects, showing selected properties of electronic versions associated with each Research Output, one electronic version per line. The report includes:

- Related Award info
 - Funder project reference
 - Funding organisation
 - Pure Award ID
 - Award title
- Output Pure ID and title
- Author and Pure ID
- Electronic version : File title
- Electronic version : DOI
- Electronic version : Link
- Properties of each electronic version:
 - Document version
 - Public access to file
 - License
- Open Access status
- Dates for selected publication statuses (note that where no day or month is provided in the Editor, the report returns the 1st; e.g. if only the Published year (2015) is provided, the report will return 01/01/2015)
 - ePub ahead of Print
 - Published
- Journal details
 - Name
 - ISSN
 - Publisher
- Source, source ID, and additional source IDs
- Managing organisation
- Filters:
 - Organisations (note that this filter will need to be re-applied)
 - Published and ePub ahead of print only
 - 2015 to present
 - Journal articles (note that this filter may need to be re-applied as many customers have unique output type classifications)
 - Selected funding organisations (this filter will need to be re-applied)

Note : you should ensure that 'All values' (i.e. Outer join) is selected for all groupings (where available), to ensure that a row is returned even if a grouping value is null

OA_-_Outputs_with_related_funding_info.xml





The report is grouped Funding, then with one line per electronic version attached to the related Output. Therefore, each Award and each Research Output may have multiple lines in the report.

Upgrading to the new REF2021 module



RELEASED : 5.3.0

Getting started with the REF2021 module

Getting started with the REF2021 module

The following steps describe what you should consider to get started with using the REF2021 module.

1. Decide on your desired configurations

First, you should consider how you would like to configure the module. For example:

- what should the default Category, Eligibility, and Submission status be for newly created REF1a/c records
- do you want to make use of REF2 predicted grade functionality
- from what date do you want to start monitoring REF Open Access compliance
- what rights should Personal users have for proposing new outputs, and under what circumstances

Details of all of the REF2021 configurations available are outlined in this wiki for each [content type](#).

2. Configure your Units of Assessment

Decide which Units of Assessment to make 'Active' (i.e. which you intend to submit to), and create Research Groups, where desired. All UoAs are 'active' by default.

3. Create REF1a/c records

The next step is to create REF1a/c records for all potentially eligible staff. This can be accomplished in a number of ways:

- Manually
- Creating REF1a/c records in bulk by importing a spreadsheet - see [REF1 - Person to UoA run once job](#)
- Creating REF1a/c records automatically based on Employment Type and Job Title - see [REF1 - Staff Synchronisation jobs](#)

4. Start using the module

Once Steps 1-3 have been completed, you can start using the module in earnest; proposing and reviewing outputs, uploading REF4 data, creating REF3b case studies, etc.

Locking the REF2021 module

Locking the REF2021 module

Customers who used the REF2014 module

Customers who used the REF2014 module

For those customers who used the REF2014 module, in order to continue to be able to edit Person and Research Output records, you must (as soon as possible following your upgrade) run a few jobs.

First, you should run the **Check content and files** job and resolve any data validation issues that are flagged by the job.



Then you should run the following 2 jobs:


In order to ensure that Person records for individuals with REF2014 REF1a/c records continue to be editable, you will need to run the **REF2014 : Update Person records to hold REF2014 submission status (as per REF1a/c (2014))** job to capture REF2014 submission status and UoA assignment. Further details on this job are available at:

- [REF1 - Capture REF2014 submission status on Person records](#)

In order to ensure that Research Output records for outputs with associated REF2014 REF2 records continue to be editable, you will need to run the **REF2014 : Update Research Output records to hold REF2014 submission status (as per REF2 (2014))** job which captures on the Research Output record whether the output was submitted to REF2014. Further details on this job are available at:

- [REF2 - Capture REF2014 submission status on Research Output records](#)

Further detail on UHI's initial discovery of this issue is available at


 UKPURE-9214 - Data cannot be retrieved due to an unexpected error.


, and further issues raised by Strathclyde and Edinburgh

In order to lock all REF2021 content for all users, you can enable the "Lock all REF2021 content for all users" setting in Administrator > System settings > REF2021.

When enabled, no users will be able to modify REF2021 content. Note that you must log out of Pure following saving this setting, to ensure that it takes full effect.

The purpose of this setting is to enable preparatory exercises to be closed off, then re-opened, as required


 UKPURE-9556 - Data cannot be retrieved due to an unexpected error.

 UKPURE-9558 - Data cannot be retrieved due to an unexpected error.

In order to migrate acceptance date data input into the Bibliographical Note field into Acceptance Date in the Publication State field, customers should run the Single Run Job "Migrates bibliographical note to accepted date" job. Further information on this job is available [here](#).

User Roles - CLOSED

REF2021 User roles

The REF2021 User roles are as per the REF2014 User roles, and are defined in the relevant sections of the [REF2014 user manual](#) (attached here) .

At present, the headers in the User editor do not show a distinction between the REF2014 and REF2021 UoA roles and rights - the **top** one is **REF2014** and the **bottom** one is REF2021.

Global roles and rights

No roles associated
[Add global roles...](#)

Organisational unit roles and rights ⓘ

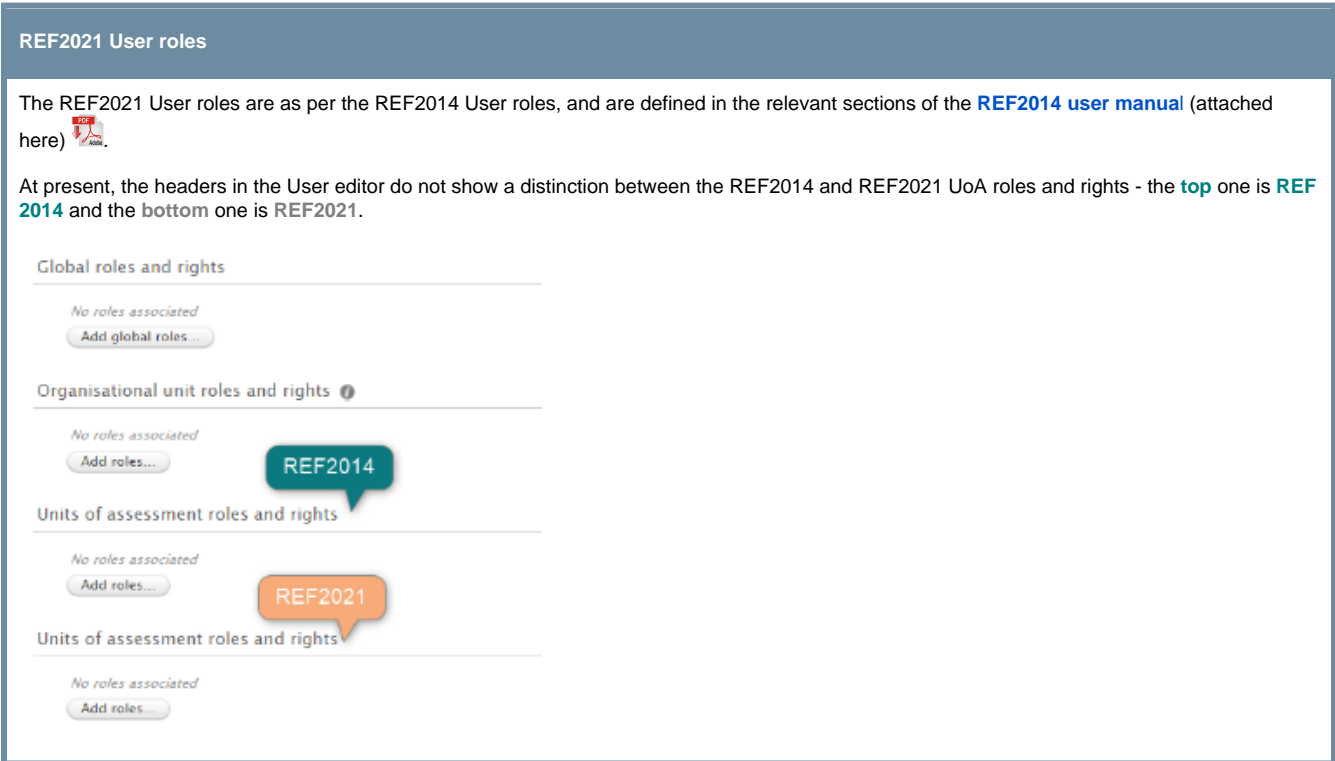
No roles associated
[Add roles...](#)

Units of assessment roles and rights

No roles associated
[Add roles...](#)

Units of assessment roles and rights

No roles associated
[Add roles...](#)



User Roles Overview



User Roles									
	UoA	Submission screen	REF1	Person	Propose output	REF2	REF2 DOI /PDF /Physical copy	REF2 attribution screen	Research Output
Administrator	R, U	C, R, U, D	C, R, U, D W: 1-3	C, R, U, D	C, R	C, R, U, D W: 1-3	R, U	C, R, U, D	C, R, U W: 1-4
REF2021 Administrator	R, U		C, R, U D (from version 5.19.3) W: 1-3	R, U	C, R	C, R, U, D W: 1-3	R, U	C, R, U, D	R, U
REF2021 reporter	R		R	R	R	R	R	R	R
Global Reporter of Unit of Assessment	R		R						
Editor of Unit of Assessment REF2021	R, U		C, R, U W: 1-2			C, R, U W: 1-2	R, U		R
Super Editor of Unit of Assessment REF2021	R, U		C, R, U W: 1-3			C, R, U W: 1-3	R, U	C, R, U, D	R
Editor of REF1			C, R, U, D W: 1-2						
Super Editor of REF1			C, R, U, D W: 1-3						
Editor of REF2			R			C, R, U W: 1-2	R, U		R
Super Editor of REF2			R			C, R, U W: 1-3	R, U	C, R, U, D	R
REF2 DOI /PDF /Physical copy tracker			R			R	R, U		R
Editor of REF3									
Administrator of REF4a									
Administrator of REF4b									
Admini									

[REF roles.xlsx](#)

Legend

C: Create

R: Read

U: Update

D: Delete

W: Workflow

strator of REF4c									
Editor of REF6			C, R, U W: 1-3						
Super Editor of REF6			C, R, U W: 1-3						
REF6 reporter	R		R	R	R	R	R		R

User roles Overview - Summary screens

	UoA summary	Submission to REF	REF1a summary	REF1b summary	REF2 summary	Individual profile	Attribution profile	Attribution algorithm	OA tracking	OA summary	REF4a summary	REF4b summary
Administrator	X	X	X	X	X	X	X	X	X	X	X	X
REF20 21 Administrator	X		X	X	X	X	X	X	X	X	X	X
REF20 21 reporter			X	X		X	X		X	X	X	X
Editor of Unit of Assessment REF20 21	X		X	X	X(5.18.0)	X	X		X	X		
Super Editor of Unit of Assessment REF20 21	X		X	X	X(5.18.0)	X	X	X	X	X		
Editor of REF1			X	X								
Super Editor of REF1			X	X								
Editor of REF2					X	X	X		X	X		
Super Editor of REF2					X	X	X	X	X	X		
REF2 DOI /PDF /Physical copy tracker						X	X		X	X		
Administrator of REF4a											X	
Administrator of REF4b												X
Administrator of REF4c												
Editor of REF6			X	X								
Super Editor of REF6			X	X								
REF6 reporter			X	X								

Individual REF content types

On the following pages, you can find information about the individual content types for REF2021 in Pure.

- [Units of Assessment](#)
- [REF1 - Staff](#)
- [REF2 - Research Outputs](#)
- [REF3 - Impact](#)
- [REF4a - Doctoral degrees awarded](#)
- [REF4b - Research Income](#)
- [REF4c - Research income-in-kind](#)
- [REF5 - Research environment](#)
- [REF6 - Reductions](#)

Units of Assessment



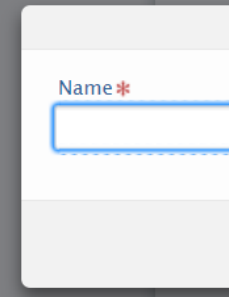
RELEASED : 5.3.0
 UPDATED : 5.14.0

All Units of Assessment by default exist in the REF module, with one record per UoA.

By default, all UoAs are selected as 'active' - you will need to update those UoAs in which you don't intend to submit and flag them as 'Not active'.

Units of Assessment

The new REF2021 UoA structure was implemented in Pure in the [5.10.1 release](#).

Section	Field	Notes
<p>UoA</p> <hr/> <p>UoA</p> <p>Title Clinical Medicine</p> <p>Panel Panel A</p> <p>Active UoA <input checked="" type="radio"/> Active <input type="radio"/> Not active</p> <p>Submission approach <input checked="" type="radio"/> 100% <input type="radio"/> Not 100%</p>	<p>Active UoA</p> <p>Submission approach <i>(new in 5.14.0)</i></p>	<p>Active = You will be submitting Not active = You will not be submitting, this UoA will not be produced.</p> <p>These values feed into the Eligibility and configurations):</p> <ul style="list-style-type: none"> If UoA submission approach = Pending, the Eligibility and configurations): <ul style="list-style-type: none"> If Eligibility = Eligible If Eligibility = Not eligible (to edit) If Eligibility = Pending If UoA submission approach = 100% <ul style="list-style-type: none"> If Eligibility = Eligible, value is as per research group If Eligibility = Not eligible (to edit) If Eligibility = Pending, value is as per research group
<p>Research Group(s)</p> <hr/> <p>Research group(s)</p> <p>Research Group(s) A: Clinical medicine Edit ↓ - B: Medical imaging Edit ↑ -</p> <p>Add Research group...</p> <p>Are individuals permitted to be assigned to more than one research group <input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p>Disable Research Group on REF2 <input type="radio"/> Yes <input checked="" type="radio"/> No</p>	<p>Research group(s)</p> <p>Are individuals permitted to be assigned to more than one research group</p>	<p>If you intend to assign REF1, it will automatically provide a research group</p>  <p>No = Each REF1 can only be assigned to one research group</p>


assigned to more than one research group

Research Group(s)

A: Clinical medicine

B: Medical imaging

Unit of Assessment

 1: Clinical Medicine
Unit of assessment


Yes = Each REF1 can be

Research Group(s)

A: Clinical medicine

B: Medical imaging

Unit of Assessment

 1: Clinical Medicine
Unit of assessment

Disable Research Group on REF2

If you only want to assign

Joint Submission

Joint Submission

Joint Submission
 Yes No

Lead Institution *
 Yes No

Home institution Cat A FTE
 1

Partner Cat A FTE *

Total indicative Cat A FTE
 1

Joint submission

Indicate whether this UoA

Lead institution

Indicate whether your institution expect REF3 case studies

Home institution Cat A FTE

The Cat A FTE of your institution

Partner Cat A FTE

The Cat A FTE of your partner value is used to determine case studies required and

Total indicative Cat A FTE

The sum of "Home institution

--	--	--	--

REF1 - Staff



REF1 Staff records are created in the REF module and are associated to Person records in Pure.

There are a number of means available for creating REF1 Staff records:

- Manual creation
- Bulk import
- Cron job

Creating and editing REF1 Staff content

Item	Released / updated
REF1 : Bulk creation of records by file import	5.3.0
REF1 : Automatic creation of records by cron job	5.3.0
REF1 - Date of birth bulk upload	5.17.3
	5.17.3

Additional REF1 guidance

Item	Released / updated
REF1 configurations	5.3.0
Capture REF2014 submission status on Person records	5.3.0

REF1 - Capture REF2014 submission status on Person records

RELEASE VERSION : 5.3.0

This page describes how to capture the REF2014 submission status (and UoA assignment and ECR status) on Person records (both for customers that used the Pure REF2014 module, and those that didn't). This will involve the use of one of two possible jobs:

- Customers that used the REF2014 module:
 - Single Run Job > **REF2014 : Update Person records to hold REF2014 submission status (as per REF1a/c (2014))**
- Customers that did not use the REF2014 module:
 - Cron Job > **REF2021 : Set Person REF2014 values**

These fields will only be visible / editable on the Person record by the following users:

- Administrator
- REF2014 Administrator
- REF2021 Administrator
- Administrator of Persons
- Editor of Persons

REF2014 : Update Person records to hold REF2014 submission status (as per REF1a/c (2014))

This Single Run Job is only for use by those customers that used the REF2014 module.

This job updates Person records to show whether the individual was submitted to REF2014, and the UoA to which they were assigned, as per the associated REF2014 REF1a/c records:

- Submit status = Submitted
- Eligibility status = Eligible
- Workflow = REF1a/c Confirmed

The job will also set the ECR status based on the associated REF2014 REF1a/c record (the REF1b record is not consulted).

There is no configuration required - the job simply needs to be started.



After the job has completed, to view the job log, go to Jobs > Job Log > Updates Person records to show whether the individual was submitted to REF2014, as per the associated REF1a/c (2014) record. It will also set the ECR status based on the associated REF1a/c (2014)

REF2021 : Set Person REF2014 values

This Cron Job is only for use by those customers that did not use the REF2014 module.

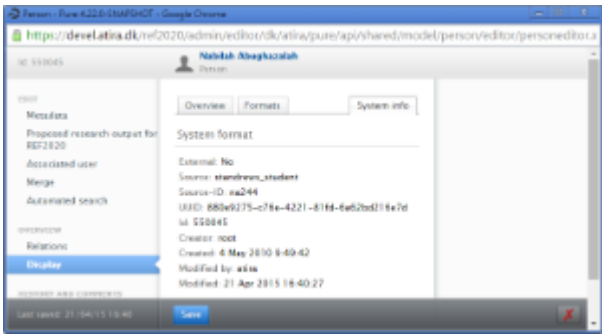
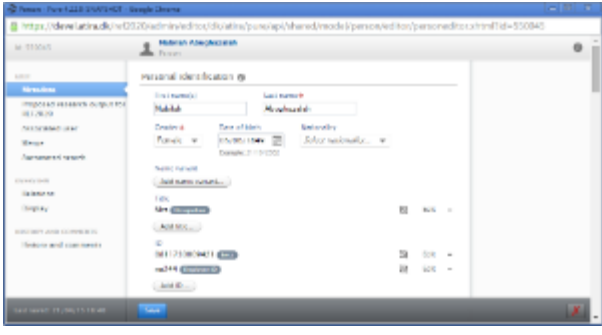
This job updates Person records included in the import file to show whether the individual was submitted to REF2014, and the UoA to which they were assigned. It will also set the ECR status, as per the import file.

This job acts as a 'sync once' function. Following the import, the REF2014 values will be editable by authorised users.

Creating the import file

The import file template is available at the bottom of this page. The columns required are:

Column	Expected values	Notes
Name		This column is for information only - it is not required to be populated
Pure ID		This is the Person's Pure ID, as found in the top left-hand corner of the Person Editor

Source	e.g. edinbur gh_person	This is typically the source where Persons are synchronised in from. This is shown in the Display tab under System Info, as Source or Secondary Sources. If a Source is not provided in the import file (but a Source ID is provided), the job will look at all Sources. 
Source ID		This is the ID relating to the named 'Source'. If Source is omitted, the job will look at all Sources. The less precise you are in the import file, the more likely it is that the job will make an incorrect match. In this case, after the Job has run, you can search the log for 'multiple matches for' and check to confirm that the correct ID match has been made.
Non explicit ID		To be used if you are using an ID from the Person which is only available under the ID list in the Person Editor, or when you are unsure of the type of ID you are providing. 
Submitted to REF2014	True / False	
Submitted to REF2014 as ECR	True / False	Only individuals submitted to REF2014 can be flagged as ECR. The import job functionality does not enable ECRs who were not submitted to REF2014 to be flagged as such.
Submitted in UoA	1 - 36	Multiple submissions cannot be captured

Uploading the Person REF2014 import file

As described above, this job will update the listed Person records with REF2014 data. To run this job, you must use the import file format described above (see the attached example below). If the import file is not valid, the job will fail to run.

1.	Set up the Job	<p>Administrator > Jobs > Create new job > REF2020 : Set Person REF2014 values</p> <ul style="list-style-type: none"> • As this job it intended to only be run once, you should change the schedule to Interval > Manual • Job configuration <ul style="list-style-type: none"> ◦ Select 'Default Configurations', then upload your import file
2.	Run the Job	

IMPORT FILE TEMPLATE for REF2020 : Set Person REF2014 values Job

File	Notes

[REF2014PersonMapping.xlsx](#)

- Can be uploaded as .xls or .xlsx file

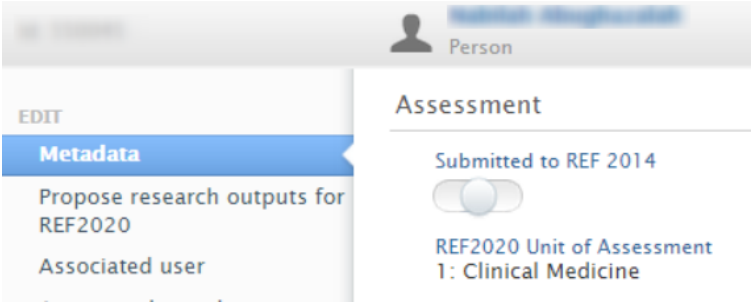
REF1 - Configurations



REF1a/b configurations

There are a number of REF1 configurations available at Administrator > System settings > REF2021

Setting	Description	Additional notes
Default value for Eligibility status when creating new REF1 records (either manually or via Jobs)	Select from: <ul style="list-style-type: none"> • Pending • Yes (Eligible) • No (Not Eligible) 	
Default value for Selection status when creating new REF1 records (either manually or via Jobs)	Select from: <ul style="list-style-type: none"> • Pending • Yes (Selected) • No (Not Selected) 	
Default Staff Category when creating new REF1 records (either manually or via Jobs)	Select from: <ul style="list-style-type: none"> • Pending • Cat A • Cat B 	
Include detailed description of why REF1 is not included in the submission	If set to true, it is possible to specify detailed reasons for non-inclusion, and report on these values	

		<p>Status: Eligibility & Inclusion in REF submission</p> <hr/> <p>Eligibility Eligible Reason <input type="text"/></p> <p>Inclusion in REF submission Not submitted Reason <input type="text"/></p> <hr/> <p>Reasons for non-inclusion</p> <p>Reason for non-inclusion Quality of research</p> <p>Has this member of staff declared individual circumstances? <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not set</p> <p>Have you informed the individual of the intended non-inclusion decision? It is recommended that individuals are informed face-to-face, followed by written confirmation <input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not set</p>
<p>Show 'Propose research output for REF2021' tab in Person editor when related REF1 is marked as Not Eligible</p>	<p>If set to false (default), where the related REF1 has been set to Not Eligible, the related Personal user and associated Editor(s) are no longer able to propose outputs for REF2. If set to true, the Personal user and associated Editor(s) are able to propose outputs for REF2 so long as there is an associated REF1 record.</p>	
<p>Show 'Propose research output for REF2021' tab in Person editor when related REF1 is marked as Not Submitted</p>	<p>If set to false (default), where a Person where the related REF1 has been set to Not Submitted, the related Personal user and associated Editor(s) are no longer able to propose outputs for REF2. If set to true, the Personal user and associated Editor(s) are able to propose outputs for REF2 so long as there is an associated REF1 record.</p>	
<p>REF2021 UoA assignment visible to Editor of Persons and Administrator of Persons</p>	<p>When enabled, the REF2021 UoA assignment is visible on the Person record to Editor of Persons and Administrator of Persons. The field is editable if the Person does not have a related REF1 record.</p>	

Person

EDIT

Metadata

Associated user

Automated search

OVERVIEW

Assessment

Submitted to REF 2014

REF2020 Unit of Assessment

No Value

Show REF4a, REF4b, and REF4c data on the REF1 Summary screen

REF1a/c (2021)

Unit of Assessment: Clinical Medicine

REF1A	ELIGIBILITY								PROPORTION OF CAT A SUBMITTED		REF1C	ELIGIBILITY				
	YES	NO	PENDING	TOTAL	FTE	H/C	FTE	H/C	FTE	H/C		YES	NO	PENDING	TOTAL	
Inclusion in REF Submission	Yes	0.0	0	0.0	0	0.0	0	0.0	0	0.0%	0.0%	Yes	0	0	0	0
	No	0.0	0	0.0	0	0.0	0	0.0	0	0.0%	0.0%	No	0	0	0	0
	Pending	23.9	27	0.0	0	0.0	1	23.9	28	100.0%	100.0%	Pending	0	0	0	0
	Total	23.9	27	0.0	0	0.0	1	23.9	28			Total	0	0	0	0

All figures below are based on the following staff status:

Inclusion in REF submission: Pending Yes No

Eligibility: Pending Yes No

REF1a - details

REF1a/c	Research Group(s)	FTE	Sensitive	Non-Lik based	Individual staff circumstances	RESEARCH OUTPUTS (01/01/14 - 31/12/20)					REF4a/B/C (13/14 - 18/19)			Submission status	
						Within REF period	REF1b Judgement	Proposed	Selected for review	Selected for REF2021	Not selected for REF2021	REF4a	REF4b		REF4c
Medicine, Research	Medicine	0.2				15 (4)	4	5	0	0	0	0.0	£0.00	£0.00	✓
Medicine, Research	Medicine	0.4				3 (1)	4	2 (1)	0	0	0	0.0	£0.00	£0.00	✓
Medicine, Research	Medicine	0				22	4	5	0	0	0	0.0	£0.00	£0.00	✗
Medicine, Research	Medicine	1				7 (1)	4	2	0	0	0	0.0	£0.00	£0.00	✓

■ Sufficient outputs in REF period
 ■ Not sufficient outputs in REF period
 ■ No outputs in REF period
 () Outputs in REF period without a "Published" date in Pure, includes content which has been published as "E-pub ahead of print"

+ = The number includes output requested to be "double weighted"
 [] outputs selected as reserve

■ Equal to the number of outputs to be returned without penalty
 ■ Greater than the number of outputs to be returned without penalty
 ■ Less than the number of outputs to be returned without penalty

REF1 - Date of birth bulk upload

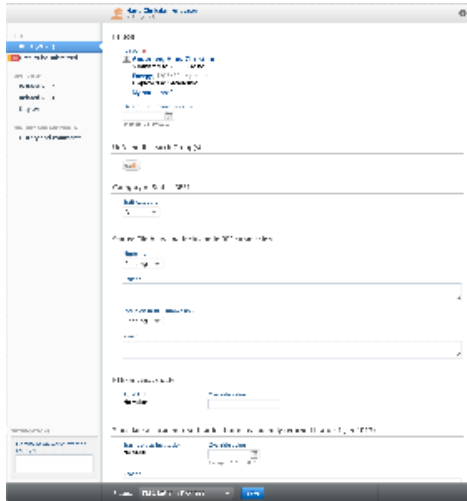
RELEASED: 5.17.3

UPDATED: 5.17.4

Bulk upload date of birth

Date of birth

It is possible to bulk upload date of birth for the staff (REF1), which is a mandatory field for the submission system. The date of birth is stored on the REF1 model, such that the relating person isn't updated, we have introduced a new field on the Staff REF1 which is called *Date of birth override value*



Upload file

Field	Description
REF1 ID	Pure ID of the staff REF1 that should be updated
Date of Birth (ddMMYYYY)	Date of birth in the form date month year, e.g. 29102004
Name	Name of the person, this is not being used but can be added to the Excel file to help read the file


Uploading date of birth

To upload the date of birth bulk file, go to Administrator REF2021 REF 1 Date of Birth bulk update.

Example file

[ref1-date-of-birth-example.xlsx](#)

Notice

 From 5.17.3, the functionality for bulk uploading date of birth, is found in the administrator page jobs page. Create a new cron job search for date of birth.

When configuring the job, the excel file can be uploaded there, and the format of the file follows what is described on this page.

Admin | Recent data | Planning | **RFPI2021** | RFPI2024 | Dashboard | Admin | **Change my profile**

Overview
Site
System settings
Security
RFPI2021
Messages and test resources
Documentation
Configuration
Times of agreement
Finance
Support
Certificate management
Data retention policy
Export to Excel
Training
Integrations
Bulk upload
Clipboard and subject folders
Linked Project Model
Programs
RFPI2021
RFPI2021 Configuration
RFPI test resource
RFPI Admin bulk creation
RFPI2021 Bulk update
RFPI21 Config Allocation bulk update

RFPI2021 Date of Birth bulk update

Upload RFPI2021 date of birth in an Excel spreadsheet. For the functionality, please see the subject, the RFPI2021 date of birth job will be initiated. You can check the progress of the job via the job log. Further information is available in the [RFPI2021](#) job log.

[RFPI2021 Date of Birth bulk update](#)

RFPI2021 Date of Birth bulk update document

[Help file in German about computer](#)

REF1 - Person to UoA run once job

RELEASE VERSION : 5.3.0
UPDATED : 24 Feb 2016 (to clarify columns required)

The name of the job in PURE is **REF2021 : Person to UoA Run Once Job**

This job will create REF1 records with UoA assignments for all Persons listed in the import file. The purpose of the job is to give you a good starting point for REF2021 submission preparation; after running this job it is expected that REF1 records will be created manually.

For each Person listed in the import file, a REF1 record and UoA association (if populated) will be created.

The default Eligibility, Selection, and Category values will be populated as defined in the following REF2021 Settings:

- Default value for Eligibility status when creating new REF1 records (either manually or via jobs)
- Default value for Selection status when creating new REF1 records (either manually or via jobs)
- Default Staff Category when creating new REF1 records (either manually or via jobs)

Creating the import file

Columns required are:

- name.firstName
- name.lastName
- employeeid (see **Set up the Job** in the table below)
- id (see **Set up the Job** in the table below)
- UoA

Note that you can choose to provide either the employeeid or the id - both are not required (but if they're both populated, that's fine) (see **Set up the Job** in the table below)

To create the import file, you may wish to first extract the list of Persons from Pure, as per the following steps:

- Log into your Pure installation as an administrator
- Go to the complete list of Persons
- Using filters, limit the Person list according to the desired criteria (e.g. current affiliations and certain employment types)
- Download the list to Excel (note that your export to excel must be configured to include at least the required columns - go to *Administrator > Export to Excel > Persons* to make any necessary changes)
- Save the Excel file to your computer and open it in Excel
- Remove all columns except: name.firstName, name.lastName, employeeid, id (note that the column headers may be labelled slightly differently (in which case, you'll need to update the headers to match those required here))
- Add a new column called UoA
- For each listed Person, add the desired UoA assignment. The value to place in this column should be the UoA number, e.g. 1, 2, 3 and so on. If you do not want to map a specific person to an UoA leave the field empty for this person.
- Save the file
- An example of the format for the Excel file has been attached to this page (see bottom of the page)

This document must afterwards be saved as an csv file which is used by the job. When editing the excel document you must save it as a .csv file, the following must be true for this .csv file:

- The encoding must be UTF-8
- The separator must be ;
- The text delimiter must be "
- It must not contain an empty line in the end of the file, i.e. the last line in the csv must contain text

Uploading the Person to UoA import file

As described above, this job will create REF1 records and UoA associations for listed Persons. To run this job, you must use the import file format described above (see the attached example below). If the import file is not valid, the job will fail to run.

1. Create a File Handle for the upload file Master Data > File Handles > + <ul style="list-style-type: none">• Usage = REF2021• Description = provide a description that will be useful to you (e.g. Person to UoA) Once the a File Handle has been created for this import file, you will be able to upload the file.
2. Set up the Job Administrator > Jobs > Create new job > Person to UoA run once job <ul style="list-style-type: none">• As this job it intended to only be run once, to get you started with your REF1 population, it is recommended that you change the schedule to Interval > Manual• Job configuration

- Select 'Default Configurations', then select the appropriate File Handle (e.g. Person to UoA)
- Select whether to use the Employee ID or the Pure ID from the import file (if you extracted your original list from Pure Persons, you will have both)
 - NOTE : the PURE id changes if you switch database, e.g. going from test to production. If you set this configuration to TRUE, the employeeld column is used, which is a synchronized value and should therefore not alter between test and production.

3. Run the Job

4. Job logic


- The Job reads the import file and validates it (e.g. correct amount of columns, the UoA fields are empty OR contains an integer between 1 and 36) - if the file fails validation, the job will fail.
- The Job checks each row. If the UoA field is specified, it will do the following:
 - If the Person does not already have an existing REF1 record, it will be created - otherwise, the existing REF1 will be used.
 - The UoA will be set as per the import file. If an existing REF1 already has a UoA assignment, the Job will not override this value, but instead will log that a UoA is already assigned.

File

Modified

Microsoft Excel Sheet person_to_uoa_mapping_example.xls

Apr 10, 2015 by manyabuchan

Drag and drop to upload or [browse for files](#) 

REF1 - Staff Synchronisation jobs

RELEASE VERSION : 5.3.0
UPDATED : 24 Feb 2016

In combination, these jobs will create REF1 records with UoA assignments for all Persons matching the Employment Type(s) and Job Title(s) defined in the configuration.

- **REF2021 : Staff Synchronisation Job (I)**
 - This job runs through all Persons in Pure and, based on your selected configuration, will create a REF1 record for each of them (if one does not already exist)
- **REF2021 : Staff Synchronisation Job (II)**
 - This job should immediately follow Job (I), and maps Organisation Units in Pure to REF2021 UoAs

The default Eligibility, Selection, and Category values will be populated as defined in the following REF2021 Settings:

- Default value for Eligibility status when creating new REF1 records (both manually and via jobs)
- Default value for Selection status when creating new REF1 records (both manually and via jobs)
- Default Staff Category when creating new REF1 records (both manually and via jobs)

Staff Synchronisation Job (I)

This job runs through all Persons in Pure and, based on your selected configuration, will create a REF1 record for each of them (if one does not already exist)

1. Set up the Job
Administrator > Jobs > Create new job > REF2021 : Staff Synchronisation Job (I) <ul style="list-style-type: none">• Set the schedule to the desired interval (e.g. Daily, weekly, manual (if you only want to create REF1s via this job as a manual push))• Job configuration<ul style="list-style-type: none">◦ Default Configurations<ul style="list-style-type: none">▪ Limit to persons with certain employment types<ul style="list-style-type: none">• Specify (using the last part of the URI of the classification) the employment types for which REF1 records should be created• If empty, REF1 records will be created for all employment types▪ Limit to persons with certain job titles<ul style="list-style-type: none">• Specify (using the last part of the URI of the classification) the job titles for which REF1 records should be created• If empty, REF1 records will be created for all job titles
2. Run the Job
3. Job logic <ul style="list-style-type: none">• The job only looks at the organisation(s) for the active staff association.

Staff Synchronisation Job (II)

This job should immediately follow Job (I), and populates UoA assignments of REF1 records created in Job (I), as per the Organisation unit to UoA mapping provided in the import file.

Creating the import file

The import file template is available at the bottom of this page. The columns required are:

Column	Expected values	Notes
name.text[en_GB]		<ul style="list-style-type: none">• This is the organisation name
organisationId		<ul style="list-style-type: none">• The job can be configured to either use the Pure ID or the Organisation ID
id		<ul style="list-style-type: none">• This is the Pure ID for the organisation• Note that this changes from database to database (e.g. going from TEST to PRODUCTION)• The job can be configured to either use the Pure ID or the Organisation ID

UoA	1-36	<ul style="list-style-type: none"> Identify the UoA to which the staff associated with the organisation should be assigned to
-----	------	--

To create the import file, you may wish to first extract the list of Organisations from Pure, as per the following steps:

- Log into your Pure installation as an administrator
- Go to the complete list of Organisations
- Download the list to Excel (note that your export to excel must be configured to include at least the required columns - go to *Administrator > Export to Excel > Organisational units* to make any necessary changes)
- Save the Excel file to your computer and open it in Excel
- Remove all columns except the following (note that the column headers may be labelled slightly differently (in which case, you'll need to update the headers to match those required here))
 - Organisational unit name > RENAME name.text[en_GB]
 - Ids > RENAME organisationId (and remove any identifying text in the cells (e.g. 'Organisation ID:'))
 - Id > RENAME id
- Add a new column called UoA
- For each listed Organisation, add the desired UoA mapping. The value to place in this column should be the UoA number, e.g. 1, 2, 3 and so on. If you do not want to map a specific Organisation to a UoA leave the field empty for this Organisation.
- Save the file
- An example of the format for the Excel file has been attached to this page (see bottom of the page)

This document must afterwards be saved as an csv file which is used by the job. When editing the excel document you must save it as a .csv file, the following must be true for this .csv file:

- The encoding must be UTF-8
- The separator must be ;
- The text delimiter must be "
- It must not contain an empty line in the end of the file, i.e. the last line in the csv must contain text

Uploading the Staff Synchronisation import file

As described above, this job will populate UoA assignments of REF1 records created in Job (I), as per the mapping provided in the import file. To run this job, you must use the import file format described above (see the attached example below). If the import file is not valid, the job will fail to run.

1.	<p>Create a File Handle for the upload file</p> <p>Master Data > File Handles > +</p> <ul style="list-style-type: none"> Usage = REF2021 Description = provide a description that will be useful to you (e.g. Organisation to UoA mapping) <p>Once the File Handle has been created for this import file, you will be able to upload the file. If you need to make a subsequent upload, you just need to edit the existing File Handle with the updated import file.</p>
2.	<p>Set up the Job</p> <p>Administrator > Jobs > Create new job > Staff Synchronisation Job (II)</p> <ul style="list-style-type: none"> Set the schedule to the desired interval (e.g. Daily, weekly, manual (if you only want to create REF1s via this job as a manual push)) Job configuration <ul style="list-style-type: none"> Select 'Default Configurations', then select the appropriate File Handle (e.g. Organisation to UoA mapping) as the mapping document Select whether, if more that one active organisation is found for the Person, the first one should be used or whether no UoA should be assigned Limit to persons with certain employment types <ul style="list-style-type: none"> Specify (using the last part of the URI of the classification) the employment types for which UoA assignments should be made If empty, UoA assignments will be made for all REF1 records Limit to persons with certain job titles <ul style="list-style-type: none"> Specify (using the last part of the URI of the classification) the job titles for which UoA assignments should be made If empty, UoA assignments will be made for all REF1 records Select whether to use the Organisation ID or the Pure ID from the import file (if you extracted your original list from Pure Organisations, you will have both) <ul style="list-style-type: none"> NOTE : the Pure ID changes if you switch database, e.g. going from test to production. If you set this configuration to TRUE, the Organisation ID column is used, which is a synchronized value and should therefore not alter between test and production.
3.	<p>Run the Job</p>
4.	<p>Job logic</p> <ul style="list-style-type: none"> The Job reads the import file and validates it (e.g. correct amount of columns, the UoA fields are empty OR contains an integer between 1 and 36) - if the file fails validation, the job will fail. The job checks all REF1 records in Pure

File	Notes
StaffSynchronisation_OrgUoAMapping.csv	<ul style="list-style-type: none">• Must be a .csv file

REF2 - Research Outputs



REF2 Research Output records are created in the REF module and are associated to Research Output records in Pure.

There are two means available for creating REF2 Research Output records:

- Manual creation
- Bulk import

Description of new REF2 framework delivered in 5.14

Open Access compliance

- [Open Access compliance](#)

REF2 Summary screens

- REF2 Summary screen
- REF2 Summary statistics screen
- [REF2 Candidates Open Access compliance summary](#)
- [REF2 Candidates Open Access real-time tracking](#)



REF2FunctionalityDescription_5.14

REF2 in work | REF2 per UWA

For the best in accessibility visit the REF2021 User REF2 Functionality document

The screenshot displays the REF2 Research Output interface, which is annotated with various callouts and boxes. At the top, there are two callout boxes: one for 'Propose REF2' and another for 'REF2 already exists in that unit'. Below these, a box indicates 'REF2 created in each unit of work in REF2 per UWA system (REF2 per UWA)'. The main interface is divided into several sections: 'Research Output', 'Details', 'Related Research Output', and 'Actions'. The 'Details' section contains a 'Description' field with a text area and a 'Title' field. The 'Related Research Output' section lists other outputs with their titles and dates. The 'Actions' section includes buttons for 'Propose', 'Cancel', and 'Save'. The interface is annotated with numerous red and yellow boxes and arrows, highlighting specific features and fields. A 'continue' button is visible at the bottom of the page.

Creating and editing REF2 Research Output content

Item	Released / updated
REF2 : Manually create records (propose)	5.12.0

outputs for submission)	
REF2 : Bulk creation of records by file import	5.14.0
REF2 : Bulk editing of content	5.14.0
REF2 - Bulk upload output allocation	5.18.0

Additional REF2 guidance

Item	Released / updated
REF2 Predicted grades	5.14.0
REF2 Output type and metadata field mapping	5.3.0
REF2 Restrictions	5.12.1
Capture REF2014 submission status on Research Output records	5.3.0
'Compliant outputs with 'No exception' selected' editorial task	5.13.0

Open Access compliance



Open Access compliance

- [Open Access compliance](#)
- [REF OA Configurations](#)
- [Open Access compliance monitoring screens](#)

Getting started with Open Access

Getting started with the Open Access logic in Pure [REF2021 Open Access Status Flag](#) is a really good starting point.

REF Open Access compliance details



RELEASED : 5.4.0

UPDATED : 5.4.1, 5.5.0, 5.6.0, 5.6.1, 5.7.0, 5.10.0, 5.13.0, 5.17.0

Introduction

When initially released, Pure's REF OA compliance functionality monitored compliance against the acceptance date, as per the originally published policy. It was agreed to continue to monitor against the acceptance date until further details of the final policy are published. With the publication of the [REF2021 Decisions on staff and outputs](#), we received confirmation that the policy requires outputs to be deposited no later than 3 months after the date of **acceptance** from 1 April 2018. Outputs accepted between 1 April 2016 and 31 March 2018 (inclusive) require outputs to be deposited no later than 3 months after the date of **publication**. Pure's REF OA compliance was therefore updated in 5.13.0 to monitor against Publication date for outputs accepted between 1 April 2016 and 31 March 2018. Outputs accepted on or after 1 April 2018 continue to be monitored against the acceptance date.

REF2021 OA compliance is monitored on the Research Output record, outwith the REF2021 module (thereby ensuring that all relevant outputs can be monitored, not just those proposed for REF).

Logic for application of REF OA Status

The Suggested REF OA Status is derived based on logic which is described [here](#). There are 5 statuses available:

Status	Description
Indeterminate	No deposit or access yet, but still within eligibility window (i.e. within 3 months of acceptance date and/or within 1 month of deposit date / embargo end date) AND REF exception is 'Not set'
Compliant	OA status ok (as per REF OA policy) OR REF exception has been input (i.e. any value other than 'Not set' or 'No exception')
NOT compliant - confirm exception applicability	OA status not ok (as per REF OA policy) AND REF exception is 'Not set'
NOT compliant - confirmed	OA status not ok (as per REF OA policy) AND REF exception is 'No exception'
No full publication date input	Outputs in 'Publication date' phase of policy where OA status cannot be determined as no full Publication date (ePub / Published) has been input

Note that the status should update dynamically in the editor as content changes. But if ever a status is not making sense to you after you have updated other fields, please try saving the record and opening it again to ensure that the status has a chance to update.

It is possible to overwrite the suggested OA compliance, using the drop-down in the field "REF Open Access Compliance status" - This field will be reflected in the REF2 editor

Research output editor

The Research Output editor (also displayed on REF2, as read-only fields) includes a number of elements to support the calculation of the REF OA status

Acceptance date

Where the REF2021 module is enabled, when inputting an Acceptance date, the user is advised that the full Acceptance date is required in order to determine the output's REF eligibility

- Applicable only to:
 - Contribution to journal
 - Contribution to specialist publication
 - Chapter in Book / Report / Conference proceeding > Conference contribution

Publication status ?

Publication statuses and dates *

Year * Month Day -

Accepted/In press ▾ Current

[Add publication status and date...](#)

The full Acceptance date is required in order to determine this output's REF eligibility (if accepted after Apr 1 2016)

Electronic version(s), and related files and links

Where the REF2021 module is enabled and an electronic version has been added to the record, the user is advised that editing existing electronic versions and/or their associated properties may impact on the output's REF eligibility.

Electronic version(s), and related files and links ?

Content input in this section indicates that this work is openly accessible:
Accepted author manuscript – Open (Embargo ended 27/01/2016)

REF Open Access compliance
Editing existing electronic versions and/or their associated properties may impact on this research output's REF eligibility. It is recommended you consult with your local support team prior to making any changes in this section.

▶ RoMEO color: Green
Can archive pre-print and post-print or publisher's version/PDF
[Read more »](#)

Electronic version(s) of this work
ACCEPTED AUTHOR MANUSCRIPT

Full Text Example File 1 Show Edit -

Accepted author manuscript

Open Embargo ended: 27/01/16
81 KB | atira | 28 Jan 2016 12:22

[Add electronic version \(file, DOI, or link\)...](#)

Other links
[Add other link...](#)

Other files
[Add other file...](#)

Assessment section

REF2021 OA compliance is monitored on the Research Output record, outwith the REF2021 module (thereby ensuring that all relevant outputs can be monitored, not just those proposed for REF).

The relevant content is displayed in the 'Assessment' section, and is accessible to users as per the following (only if the REF2021 module is installed):

Assessment section field	Admin / Editors (configurable)	Personal Users (configurable)
Suggested REF Open		

Access Compliance Status		
REF Open Access Compliance Status		
Applicable OA policy phase		
Date output became available in the public domain		
Earliest deposit date		
Earliest access date		
REF2021 exception		
Submitted to REF2014		

The Assessment section is only present when one of the REF2021 Open Access Status Flag, the REF2021 Exception field, or the Submitted to REF2014 field are present.

* It is possible to restrict visibility of the REF OA compliance fields using the 'REF2021 OA compliance visible to roles' and 'Enable REF2021 Exception field to be editable by / visible to Personal Users' [setting](#).

Applicable OA policy phase

Indicates which 'phase' of the REF OA policy applies to the output:

- Published date: Acceptance date is between 1 April 2016 and 31 March 2018 (inclusive), and therefore deposit must be made within 3 months of the date of publication (earliest of ePub ahead of print or Published).
- Acceptance date: Acceptance date is between 1 April 2018 and 31 December 2020 (inclusive), and therefore deposit must be made within 3 months of the date of acceptance.

The date displayed adheres to the following logic:

- Published date
 - Date displayed is ePub ahead of print date, or if empty, the Published date.
 - If neither is available, 'no value' is displayed.
 - Where no day is input, '1' will be displayed for the day; where no month is input, '1' will be displayed for the month (so an output with a Publication date of just 2017 will be cited here as 01/01/2017).
- Acceptance date
 - Date displayed is Accepted/In press date

Date output became available in the public domain

The date the output became available in the public domain is derived from the earliest of:

- Publication date
- Publisher's early online date

Assessment

REF Open Access Compliance Status

REF OA Compliance MET

Applicable OA policy phase

Acceptance date – 08/01/2018

Date output became available in the public domain

10/05/2018

Earliest deposit date

10/05/2018

Earliest access date

10/05/2018

REF2021 exception

No value ▼

If this output does not comply with the REF2021 Open Access Policy criteria (i.e. eligible version, 3 months of acceptance, and made accessible within one month of deposit/end of embargo period), please select whether one of the following exceptions apply. If no exception applies, please select "No exception applies".

<ul style="list-style-type: none"> Eligible document version earliest access date (i.e. Author accepted manuscript, Publisher's version or Proof) (via document, link or DOI) 	
<p>Earliest deposit date</p> <p>See description of logic applied below.</p>	
<p>Earliest access date</p> <p>See description of logic applied below.</p>	
<p>REF2021 exception</p> <p>Users can capture an exception if the output does not comply with the REF2021 Open Access Policy criteria (i.e. eligible version deposited within 3 months of publication / acceptance (depending on the policy phase), and made accessible within one month of deposit / end of embargo period).</p> <p>When an exception has been applied, the REF OA compliance status will be updated to 'Compliant'.</p> <hr/> <p><i>'No exception'</i></p> <ul style="list-style-type: none"> If no exception applies and the output has NOT complied with the policy, 'No exception' should be selected, which will flag the output as 'NOT compliant - confirmed'. Outputs that are compliant with the REF OA policy in their own right (by meeting the Deposit and Access requirements) but where the 'No exception' exception has also been selected in error, these outputs are counted in the "Compliant - Exception applies" column of the REF OA Monitoring: Overall compliance summary screen, resulting in an overstatement of the Exception rate. Such records can be identified using the "Compliant outputs with 'No exception' selected" editorial task (for Administrators and REF Administrators). <hr/> <p><i>Notes</i></p> <ul style="list-style-type: none"> The draft guidance no longer includes the 'The output was published as 'gold' open access (which was introduced in the July 2015 update of the REF OA policy). Instead, it appears as though such outputs do not need to be specifically flagged, and are to simply be returned as 'Compliant'. Pure retains this as an exception. At the point of generating the submission XML file, we will ignore this exception value and simply return the status of 'Compliant'. 	<p>Assessment</p> <hr/> <p>REF Open Access Compliance Status</p> <p>REF OA Compliance NOT MET – Confirm exception applicability</p> <p>Applicable OA policy phase</p> <p>Acceptance date – 06/12/2018</p> <p>Date output became available in the public domain</p> <p>01/01/2018</p> <p>Earliest deposit date</p> <p>No value</p> <p>Earliest access date</p> <p>No value</p> <p>REF2021 exception</p> <p>No value</p> <div style="border: 1px solid #ccc; padding: 5px; margin-top: 5px;"> <p>No value</p> <p>No exception</p> <p>Deposit exceptions</p> <p>Access exceptions</p> <p>Technical exceptions</p> <p>Other</p> </div> <p>There are no associations</p> <p>Add ASJC Scopus Subject</p> <div style="border: 1px solid #ccc; padding: 5px; margin-top: 5px;"> <p>Individual was unable to secure the use of a repository at the time of submission</p> <p>Individual experienced a delay in securing the final peer-review</p> <p>Individual was not employed by a UK HEI at the time of submission</p> <p>It would be unlawful to deposit, or request deposit of, the output</p> <p>Depositing the output would present a security risk</p> <p>The output was published as 'gold' open access</p> <p>Deposited within 3 months of publication</p> </div>
<p>Submitted to REF2014</p> <p>Details on how to capture whether an output was submitted to REF2014 in bulk are detailed on the REF2 - Capture REF2014 submission status on Research Output records page. Outputs flagged as 'Submitted to REF2014' can not be proposed for REF2021 (as from 5.6.1).</p> <p>The Submitted to REF2014 field only appears for outputs with a Published or ePub ahead of print date of between 1 Jan 2007 and 31 Dec 2014 (the REF2014 REF2 census period +/- one year).</p>	

Earliest deposit date

The earliest deposit date is derived from the earliest deposit of:

- Author accepted manuscript, OR
- Proof, OR
- Publisher PDF

from EITHER a **document** (created date) or a **link** (manually input Deposit date)

Earliest access date

Earliest access date

The earliest access date is derived from the earliest access to:

- Author accepted manuscript, OR
- Proof, OR
- Publisher PDF

from a **document** (where the record visibility = Public), a **DOI**, or a **link**

DOIs and Links

Where the REF2021 module is installed, the Editor:

- derives the Access date for DOIs

◦ derived from EITHER the earliest of the Publisher's

According to the archiving policy described in RoMEO an electronic version of the work can

Edit link to an electronic version

Link *

Document version
Author final version (postprint) ▾

Public access to file
Open ▾

License to document
Select license... ▾

Visible on portal date
27/09/2015

Deposit date

Example: 21/10/2002

Access date

Example: 21/10/2002

Cancel Update

According to the archiving policy described in RoMEO an electronic v

Edit DOI of an electronic version

DOI (Digital Object Identifier) *

Example: 10.1000/182

Document version
Publisher version ▾

Public access to file
Open ▾

License to document
Select license... ▾

Visible on portal date
27/09/2015

Access date
15/06/2015

n t d a t e O R , P u b l i s h e d d a t e , w h e r e P u b l i c a c c e s s t o f i l e = O p e n , O R f r o m t h e e m b a r g o e n d d a t e , w h e r e P u b l i c a

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- enables the manual input of Deposit and Access dates for **Links** (in order to enable compliance monitoring against outputs deposited and made accessible via subject repositories)

These dates then feed into the earliest deposit and access dates described above.

For these fields to appear:

- Document version must be Author accepted manuscript

OR
 Proof
 OR
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 PDF
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 acces
 s to
 file
 must
 be
 Open
 OR
 Embar
 goed

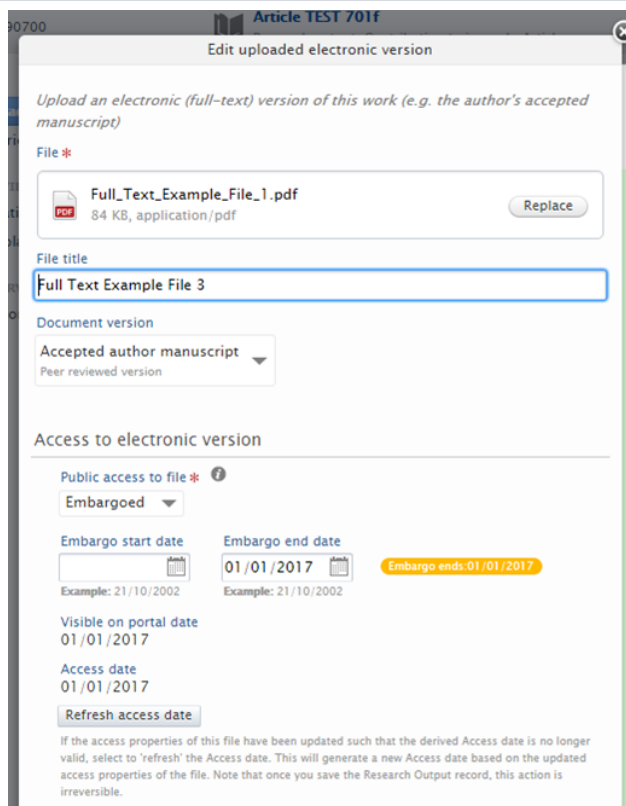
Files

'Access date'

Prior to 5.6, the REF 'Earliest Access Date' looked to the 'Visible on Portal' (VoP) dates for files in order to determine the earliest access to the output. However, as the 'VoP' date is used for other purposes elsewhere in Pure, we felt it would be safer to create a new, REF-specific access date to ensure that any changes made to the logic of the 'VoP' date did not impact on the REF-eligibility of outputs.

This new REF-specific Visible on Portal date is called 'Access date', and the logic for deriving the value displayed is as follows:

- First, the 'VoP' date is derived:
 - Upon initial creation of the electronic file version, if the Visibility of the Research Output record = Public:
 - If Public Access to file = Open, 'VoP' = today's date
 - If Public Access to file = Embargoed AND Embargo end date is in the future, 'VoP' = embargo end date
 - If Public Access to file = Embargoed AND Embargo end date is in the past, 'VoP' = today's date
 - Otherwise, or if the Visibility of the Research Output is not Public, 'VoP' = NULL
- Then 'Access date' is copied from the 'VoP' date



- If the accessibility properties of the electronic file version are updated, 'Access date' is updated as follows:
 - If the original Access date is in the past, 'Access date' will not be updated and will remain as originally derived
 - If the original Access date is in the future, 'Access date' will be updated as follows:
 - If Public Access to file is changed to Closed, 'Access date' will not be updated and will remain as originally derived
 - If Public Access to file is changed to Open, 'Access date' will be updated to today's date
 - If Public Access to file is changed to Embargoed with an end date in the past, 'Access date' will be updated to today's date
 - If Public Access to file is changed to Embargoed with an end date in the future, 'Access date' will be updated to the new Embargo end date
 - If the original Access date is NULL
 - If Public Access to file is changed to Open, 'Access date' will be updated to today's date
 - If Public Access to file is changed to Embargoed with an end date in the past, 'Access date' will be updated to today's date
 - If Public Access to file is changed to Embargoed with an end date in the future, 'Access date' will be updated to the new Embargo end date

- If the Visibility of the Research Output record is updated, 'Access date' is updated as follows:
 - If the original Visibility = Public and is changed to Restricted,

'Access date' will not be updated and will remain as originally derived

- If the original Visibility = Restricted and is changed to Public (and Public Access to file is Open), 'Access date' will be updated to today's date

Please note that 'Access date' does not take Validation state into account.

'Refresh' function

Clicking 'Refresh access date' updates the 'Access date' to reflect the new accessibility properties of the file. If upon selecting 'Refresh', you realise you have made a mistake, you can simply select 'Cancel', and the action will be undone. It is only upon saving the Research Output record that the 'refresh' action is irreversible.

The logic is as follows:

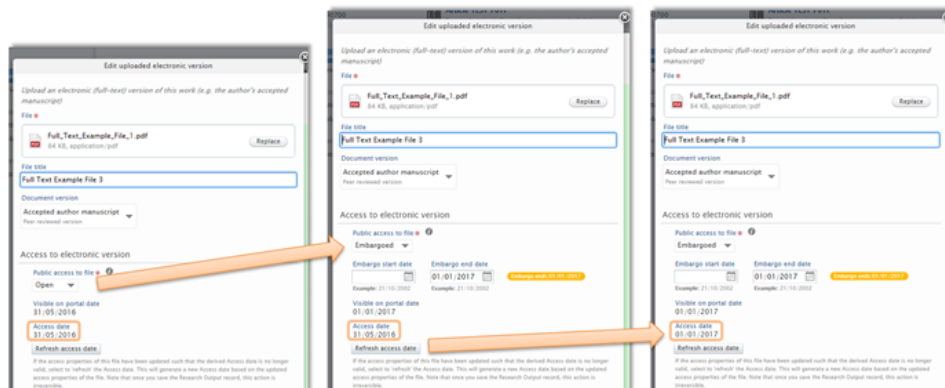
If public access to the file is closed :

- The date is set to null, i.e. is not set

If public access to the files is open or embargoed:

- The access date will be the embargo end date if the file is under embargo, otherwise
- the access will be the creation date of the electronic version

With this change, any electronic version that has been incorrectly created can now be corrected without the access date to be set to today's date.



REF2021 Open Access Status Flag

UPDATE 5.17.0

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- [Definitions](#)
- [Changes that might effect access date](#)
- [When do open access rules apply?](#)
- [REF OA Compliance Statuses](#)
- [REF2021 OA Calculation: Extra Conditions Relating to Embargo Period](#)
- [Calculating OA status](#)
- [Location the information in Pure](#)
- [Who can see the section in the editor](#)
- [Who can overwrite the OA Compliance Status](#)

About this page

The following describes the logic implemented to determine the REF2021 Open Access Status Flag for Research Outputs.

This document should be read in conjunction with the [REF Open Access compliance details wiki page](#).

Introduction

The logic for determining the REF2021 Open Access Status Flag has been updated to reflect the confirmed final REF OA policy, with the first 2 years of the policy monitoring against Published date, and the remaining years monitoring against Acceptance date.

In Pure we calculate the *Suggested open access compliance status* based on the following rules. The suggestion can be overwritten in the dropdown *REF Open Access Compliance Status*. All Open Access compliance is calculated on the Research Output and copied as read-only on the related REF2

Definitions

Term	Shown at location	Logic
Eligible version		Document version = Author final version (postprint) OR Proof OR Publisher version
Earliest deposit date	REF2 editor window > Metadata > Open access compliance status	Derived field, from either document OR link, earliest of: <ul style="list-style-type: none"> • author postprint, OR • proof, OR • publisher PDF
Earliest access date	REF2 editor window > Metadata > Open access compliance status	Derived field, from document OR link OR DOI, earliest of: <ul style="list-style-type: none"> • author postprint, OR • proof, OR • publisher PDF • Published date: Date of acceptance is April 2016 to 31 March 2018 (inclusive) - full acceptance date must be provided in Pure Note: In Pure, this is calculated as the date at which Publication status is set to <i>ePub ahead of print</i>, or if <i>ePub ahead of print</i> is empty, uses the <i>published</i> date. • Acceptance date: Date of acceptance is 1 April 2018 to 31 December 2020 (inclusive) - full acceptance date must be provided in Pure Note: In Pure, this is calculated as the date at which Publication status is set to <i>Accepted/In press</i>.
Date output first became available in the public domain	REF2 editor window > Metadata > Open access compliance status	Earliest of (via document or link): <ul style="list-style-type: none"> • publication date • publisher's early online date • eligible document version earliest access date (i.e. Author Accepted Manuscript, Proof, or Publisher's version)

Changes that might effect access date

If you make changes to the above fields, clicking on 'refreshing will update the access date on the electronic versions based on the following rules:

If public access to the file is closed :

- The date is set to null, i.e. is not set

If public access to the files is open or embargoed:

- The access date will be the embargo end date if the file is under embargo, otherwise
- the access will be the creation date of the electronic version

When do open access rules apply?

The REF OA status flag only applies to the following outputs, and therefore only appears for (both criteria must be met):

- Research outputs with the following types:
 - Contribution to journal
 - Contribution to specialist publication
 - Chapter in Book/Report/Conference proceeding > Conference contribution (Note: Compliance is monitored for **all** Conference contributions, regardless of whether there is an ISSN, because at the time of acceptance, it may not be known whether there is an ISSN. *This rule will be changed in 5.17.1. Afterwards we are only looking at compliance on contributions to books that also has an ISSN Number.*)
- Needs a full acceptance date, that is after 1st of April 2016

REF OA Compliance Statuses

There are five separate REF OA Compliance Statuses, defined below:

REF OA Status	Color	Description
Indeterminate	White	<p><i>No deposit or access yet, but still within eligibility window (i.e. within 3 months of acceptance/publication date (depending on policy phase) and/or within 1 month of deposit date / embargo end date) AND REF exception is 'Not set'</i></p> <p>No deposit or access yet, but still within eligibility window (i.e. within 3 months of acceptance/publication date (depending on policy phase))</p> <p>OR</p> <p>No access yet made, but still within 1 month of Earliest deposit date / Embargo end date</p> <p>AND</p> <p>REF exception is 'Not set'</p>
Compliant	Green	<p><i>OA status OK (as per REF OA policy) OR REF exception has been input (i.e. any value other than 'Not set' or 'No exception')</i></p> <p>Earliest deposit date of eligible version is within 3 months of Acceptance/Publication date (depending on policy phase)</p> <p>AND</p> <p>Earliest access date to eligible version is within 1 month of Deposit date OR within 1 month of Embargo end date</p> <p>OR</p> <p>REF exception is NOT EQUAL TO 'Not set' or 'No exception'</p>
NOT compliant - Confirm exception applicability	Red	<p><i>OA status not ok (as per REF OA policy) AND REF exception is 'Not set'</i></p> <p>Earliest deposit date of eligible version is NOT within 3 months of Acceptance/Publication date (depending on policy phase)</p>

		<p>OR</p> <p>Earliest access date to eligible version is NOT within 1 month of Deposit date OR NOT within 1 month of Embargo end date</p> <p>AND</p> <p>REF exception is EQUAL TO 'Not set'</p>
NOT compliant - confirmed	Grey	<p><i>OA status not OK (as per REF OA policy) AND REF exception is 'No exception'</i></p> <p>Earliest deposit date of eligible version is NOT within 3 months of Acceptance/Publication date (depending on policy phase)</p> <p>OR</p> <p>Earliest access date to eligible version is NOT within 1 month of Deposit date OR NOT within 1 month of Embargo end date</p> <p>AND</p> <p>REF exception is EQUAL TO 'No exception'</p>
No full publication date input	Yellow	<p><i>Outputs in 'Publication date' phase of policy where OA status cannot be determined as no full Publication date (Publication status = ePub ahead of print/Published) has been input</i></p> <p>Acceptance date is between 1 April 2016 and 31 March 2018 (inclusive)</p> <p>AND</p> <p>ePub ahead of print is populated, but incomplete</p> <p>OR</p> <p>ePub ahead of print is not populated, but Published is populated but incomplete</p> <p>OR</p> <p>Neither ePub ahead of print nor Published is populated</p>

These REF OA Statuses are determined by the OA status calculated on the Research output in Pure (including the extra conditions for REF - see underneath), plus the REF exception status:

Main Value	Sub-value
Not set	
No exception	
Deposit exception	Individual was unable to secure the use of a repository at the point of acceptance
	Individual experienced a delay in securing the final peer-reviewed text
	Individual was not employed by a UK HEI at the time of submission for publication
	It would be unlawful to deposit, or request deposit of, the output
	Deposit of the output would present a security risk
	The output was published as "gold" open access
	Deposited within 3 months of publication
Access exception	Output depends on the reproduction of 3rd party content for which open access rights could not be granted
	Publication concerned requires an embargo period that exceeds the stated maxima, & was the most appropriate publication for the output
	Publication concerned actively disallows open-access deposit, & was the most appropriate publication for the output
Technical exception	At the point of acceptance, the individual was at a different UK HEI which failed to comply with the criteria
	The repository experienced a short-term technical failure that prevented compliance with the criteria
	An external service provider failure prevented compliance

	Output is a conference proceeding, but not within definition
Other	

REF2021 OA Calculation: Extra Conditions Relating to Embargo Period

In calculating the Open Access compliance status, the embargo period is also taken into consideration, for that we check the UoA of the related REF1 /REF2

This requirement is:

- If your publication is in Panel A or B then the embargo period must be 12 months or less for the research output to be considered Compliant.
- If your publication is in Panel C or D then the embargo period must be 24 months or less.

Note: 24 months is the default maximum embargo period in Pure, so if the embargo period on the Research output record is longer than 24 months, it is already considered Not Compliant before this extra filtering is applied.

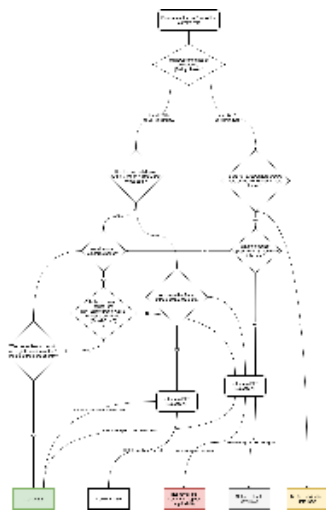
According to the GoS 250 Interdisciplinary research outputs returned in a UOA in Main Panel A or B that span boundaries with a UOA in Main Panel C or D may respect the longer of the two embargo periods. Therefore if a Research Output is related to a UoA in main panel A or B and at the same time related to a REF1 in mail panel C and D, the output will be compliant if the embargo period is less than 24 months.

Notice if the REF1/REF2 change UoA the compliance status of the Research output might change.

Note: 24 months is the default maximum embargo period in Pure, so if the embargo period on the Research output record is longer than 24 months, it is already considered Not Compliant before this extra filtering is applied.

Calculating OA status

You can follow this flowchart to see how the OA status is calculated (this is a visual representation of the written rules above).



Calculated OA Status (REF rules)(1).drawio.xml

Location the information in Pure

The status is calculated in the Research output editor window > Metadata > Assessment section. When this record is saved, the REF OA Status is determined/updated.

It is then shown (read-only) in the REF2 editor window > Metadata > Open access compliance status. The status is 'dynamic' and updates automatically if changes are made in the Research output editor window.

Who can see the section in the editor

On the Administration tab System settings REF2021 REF2021 OA compliance visible to roles you can indicate which roles you have access to see the open access section in the Research Output editor

The following roles can be added (insert as a comma separated list)

- administrator
- claim-administrator
- publication-administrator
- publication-deduplicator
- ref2020-administrator
- publication-editor
- localReporter
- publication-reporter
- publication-submitter
- publication-validator
- ref2020-ref2-editor
- ref2020-ref2-tracker
- ref2020-ref2-administrator (supereditor of REF2)
- ref2020-unitofassessment-supereditor

Who can overwrite the OA Compliance Status

The following roles has access to change the Open Access Compliance Status:

- Administrator
- REF Administrator
- Administrator of Research Output

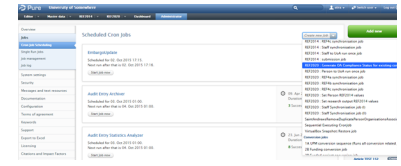


We have interpreted 1 month = 31 days(In consultation with Research England, we have interpreted 1 month = 31 days)

Generate OA Compliance Status For Existing Content

RELEASE VERSION : 5.4.0

The **REF2021 : Generate OA Compliance Status for existing content** job determines the REF2021 Open Access Compliance status for all existing Research Outputs. After the job is run, the REF2021 Open Access Compliance status will be determined upon content creation / modification. This job should be run following any update of the **REF2021 OA compliance start date** setting (see [REF2021 Open Access compliance](#) for further details on this Setting). **It is also recommended that you set this job to run on a nightly basis**, to ensure that the most recent logic is applied, and to ensure that the REF OA Compliance Status updates as different stages are passed.

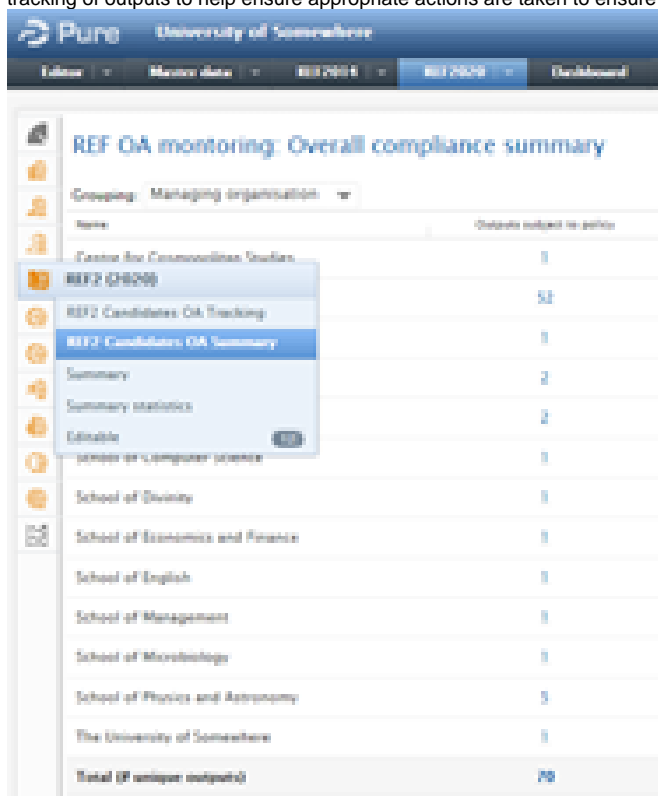


Open Access compliance - Monitoring screens

Introduction

The REF2021 Open Access compliance monitoring screens are available in the REF2021 module, in the REF2 navigation.

The purpose of the screens is to give users an overview of the compliance status of all outputs subject to the policy, and to enable real-time tracking of outputs to help ensure appropriate actions are taken to ensure eligibility, in terms of compliance with the published REF OA policy.



REF OA Monitoring : Real-time tracking

This screen enables users to identify those outputs that require action (either in the form of Deposit or Access) in order to ensure the REF-eligibility of outputs, in terms of compliance with the published REF OA policy.


The screen highlights:

- Deposit:
 - outputs accepted in the last 3 months
 - outputs where no eligible version has been deposited yet, split into 3 levels of 'urgency':
 - 2-3 months remaining to deposit an eligible version
 - 1-2 months remaining ...
 - less than 1 month remaining
- Access:
 - outputs where an eligible version has been deposited within the last month or the embargo period has ended within the last month
 - outputs where no eligible version has yet been made accessible

Outputs are listed by either:

- Managing organisation of the output
 - Can choose the hierarchical level on which to group
 - Down to Level 5 (default) - anything beyond L5 is rolled up to be included in its parent value(s)
- REF2021 UoA of the author(s)
 - Where authors are assigned to different UoAs, a single output will be listed in multiple UoAs
- REF2021 UoA of associated REF2(s)
 - Where there are multiple REF2s across different UoAs, a single output will be listed in multiple UoAs

Notes:

- In order for an output to be captured in this screen, the FULL acceptance date must be input (DD/MM/YY)
- Once the period has passed for action to be taken on an output, it will no longer be listed on this screen - it will be visible in the 'Overall compliance summary' screen in the 'NOT compliant - confirm exception applicability' column
- Further specific detail of the logic employed in each column is available [here](#) 

REF OA monitoring: Real-time tracking

Grouping: Managing organisation Hierarchy limit: 5 Views

Name	Deposit				Access: No embargo			Access: Embargoed	
	Outputs accepted within last 3 months	No eligible version deposited yet (and no exception input). 2-3 months remaining	No eligible version deposited yet (and no exception input). 1-2 months remaining	No eligible version deposited yet (and no exception input). Less than one month remaining	No eligible version deposited yet (and no exception input). % of outputs	Outputs deposited within last month	Not accessible (and no exception output) % of output	Outputs where embargo period ended within last month	Not accessible (and no exception output)
Faculty of Science									
Department of Computer Science	3	1	0	1	67%	1	1	100%	0
Faculty of Social Science	2	1	1	0	100%	0	0	0%	0
Total (# unique outputs)	5	2	1	1	80%	1	1	100%	0

REF OA Monitoring : Overall compliance summary

This screen summarises the current compliance state of all outputs subject to the REF OA policy. On this screen, outputs requiring further action are those in the following columns:

- Potentially subject to policy
- No full publication date set
- Indeterminate
- NOT compliant - confirm exception applicability

The screen also summarises the overall compliance rate of all eligible outputs, and the exception rate (of those that are Compliant, how many are so due to exceptions).

Outputs are listed by either:

- Managing organisation of the output
 - Can choose the hierarchical level on which to group
 - Down to Level 5 (default) - anything beyond L5 is rolled up to be included in its parent value(s)
- REF2021 UoA of the author(s)
 - Where authors are assigned to different UoAs, a single output will be listed in multiple UoAs
- REF2021 UoA of associated REF2(s)
 - Where there are multiple REF2s across different UoAs, a single output will be listed in multiple UoAs

Notes:

- Further specific detail of the logic employed in each column is available [here](#) 

REF OA monitoring: Overall compliance summary

Grouping: **Managing organisation** Hierarchy limit: **5**

Views 

Name	Potentially subject to policy	Outputs subject to policy	No full publication date set	Indeterminate	Compliant	Compliant (exception applies)	NOT compliant - confirm exception applicability	NOT compliant - confirmed	Compliance rate	Exception rate
Faculty of Health Science										
Department of Clinical Medicine	49	0	0	0	0	0	0	0	0%	0%
Faculty of Science										
Department of Computer Science	0	4	2	0	1	0	1	0	25%	0%
Faculty of Social Science										
Department of Library and Information Science	0	9	2	0	0	0	7	0	0%	0%
Department of Politics	15	2	0	0	1	0	1	0	50%	0%
Welfare studies	0	2	2	0	0	0	0	0	0%	0%
Total (# unique outputs)	64	17	6	0	2	0	9	0	12%	0%

User access to monitoring screens

User role	View screens	Navigate through to Research Output records	Notes
Administrator			
REF2021 Administrator			
Editor of UoA		NO*	See full screen, not just UoA to which they have access
SuperEditor of UoA		NO*	See full screen, not just UoA to which they have access
Editor of REF2		NO*	See full screen, not just UoA to which they have access
SuperEditor of REF2		NO*	See full screen, not just UoA to which they have access
REF Reporter		NO*	See full screen, not just UoA to which they have access
Administrator of Research Output	NO	NO	
Editor of Research Output	NO	NO	
Personal user	NO	NO	

* when combined with Editor / Administrator of Research Output, the user can navigate through to Research output records

Open Access compliance - Notes and issues CLOSED

UPDATED : 31 May 2016

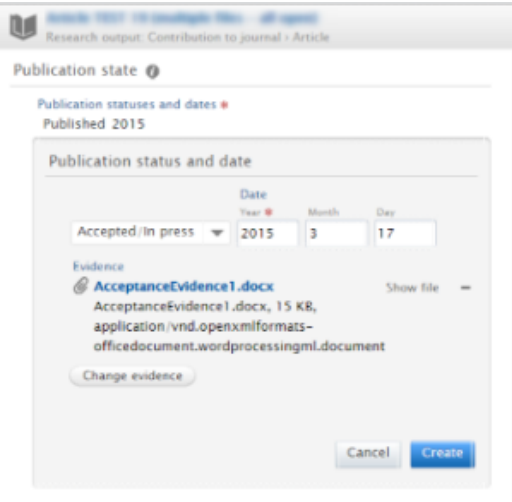

The following is a summary of known issues and suggestions for workarounds (where available)

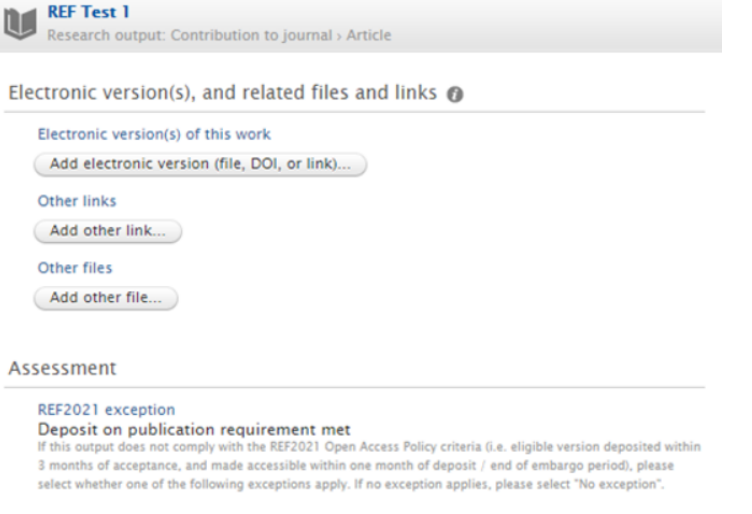
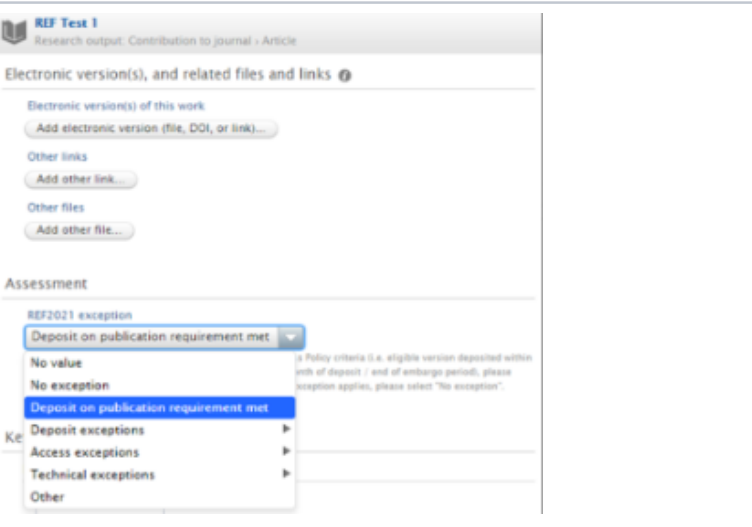
	Issue	Description	Resolved
1	Stated 'Date output became available in the public domain' may not be correct	<p>The date the output became available in the public domain should be derived from the earliest of:</p> <ul style="list-style-type: none"> • Publication date • Publisher's early online date • Eligible document version earliest access date (i.e. Author accepted manuscript or Publisher's version) (via document or link) <p>However, this may not always be the case (e.g. the treatment of DOIs may not follow the logic described above).</p> <p>As this field is not currently used in any of the logic, but will be used in future to determine the overall eligibility of outputs and the ability to propose for REF2, we will leave it as is for the time being. We will update the logic as necessary once the REF2021 requirements are known, and the definition for an output becoming available in the public domain has been published.</p>	
2	Earliest access date continues to be populated, even after access has been withdrawn	<p>In order to be able to support the following scenario:</p> <p><i>Author accepted manuscript deposited and made accessible first (and determines the REF eligibility). Then later, the Publisher PDF is uploaded. The user only wants the Publisher PDF available on the Portal, so makes the Author accepted manuscript Closed. The REF dates continue to look to the earliest deposit and access in order to determine REF eligibility.</i></p> <p>we have unfortunately introduced the possibility of 'false positives', as per the following scenario:</p> <p><i>Author accepted manuscript deposited and made accessible. Then, later, the Public access to file is changed to Closed. While there is now a break in access, we are still showing an 'Earliest access date', even though the output is no longer accessible.</i></p> <p>We have agreed that we must support the first scenario, at the expense of the second scenario. This will mean that 'false positives' will be generated - making outputs appear to be compliant with the REF policy that aren't. Users can deal with this using reporting, and we are looking to help identify these records through summary screens.</p>	<p>5.6.0 (June 2016) release</p> <p>See Open Access compliance</p>
3	'Earliest access date' can be inaccurate when a DOI exists on the record	<p>When deriving the 'earliest access date', the DOI should only be included in the logic if:</p> <ul style="list-style-type: none"> • Document version = Author accepted manuscript OR Publisher PDF • Public access to file = Open OR Embargoed <p>And the access date to be returned for the DOI is the earliest of the 'ePub ahead of print' or 'Published' dates, if Open, or the embargo end date, if Embargoed.</p> <p>Then, to determine the 'earliest access date' for the output, the logic should look to all access dates and return the earliest. So, if the DOI access date is after the attached document, the access date of the document becomes the 'earliest access date'.</p> <p>However, it appears as though the logic currently employed is not taking Public access to file state into account and is deriving the 'earliest access date', using DOIs that are closed. Additionally, the logic is not considering Author accepted manuscripts.</p> <p>We hope to have this issue resolved in a 5.5 bug-fix release.</p>	<p>5.5.3 (May 2016) release</p>

REF OA configurations

REF Open Access configurations

There are a number of REF OA configurations available at Administrator > System settings > REF2021

Setting	Description	Additional notes
Whether you can upload evidence to publication status	When enabled, it will be possible to upload Acceptance date evidence on the Research Output record. Please note, that this is for the Accepted/In Press status only	 
REF2021 OA compliance visible to roles	A comma separated list of roles for which the REF OA compliance fields are visible. Note that the REF2021 Exception field is always visible (unless configured otherwise, as per below). Roles that can be added is listed here	
Enable REF2021 Exception field to be visible to Personal Users 5.10.0	When enabled, the REF2021 Exception field will be visible, but not editable, by Personal users.	

		 <p>REF Test 1 Research output: Contribution to journal › Article</p> <p>Electronic version(s), and related files and links ⓘ</p> <p>Electronic version(s) of this work</p> <p>Add electronic version (file, DOI, or link)...</p> <p>Other links</p> <p>Add other link...</p> <p>Other files</p> <p>Add other file...</p> <p>Assessment</p> <p>REF2021 exception Deposit on publication requirement met If this output does not comply with the REF2021 Open Access Policy criteria (i.e. eligible version deposited within 3 months of acceptance, and made accessible within one month of deposit / end of embargo period), please select whether one of the following exceptions apply. If no exception applies, please select "No exception".</p>
<p>Enable REF2021 Exception field to be editable by Personal Users</p> <p>5.10.0</p>	<p>When enabled, the REF2021 Exception field will be editable by Personal users. 'Enable REF2021 Exception field to be visible to Personal Users' setting must also be enabled.</p>	 <p>REF Test 1 Research output: Contribution to journal › Article</p> <p>Electronic version(s), and related files and links ⓘ</p> <p>Electronic version(s) of this work</p> <p>Add electronic version (file, DOI, or link)...</p> <p>Other links</p> <p>Add other link...</p> <p>Other files</p> <p>Add other file...</p> <p>Assessment</p> <p>REF2021 exception Deposit on publication requirement met</p> <p>No value</p> <p>No exception</p> <p>Deposit on publication requirement met</p> <p>Deposit exceptions</p> <p>Access exceptions</p> <p>Technical exceptions</p> <p>Other</p> <p>Policy criteria (i.e. eligible version deposited within 3 months of deposit / end of embargo period), please select whether one of the following exceptions apply. If no exception applies, please select "No exception".</p>
<p>REMOVED</p> <p>REF2021 OA compliance start date</p>	<p>From 5.13 and the implementation of the final policy logic, all REF OA compliance is monitored from 1 April 2016 Acceptance date.</p> <p>Change the acceptance date from which REF OA compliance is monitored. The default is as per the published policy : 1 April 2016. The date should be input in the YYYY-MM-DD format. Note that if this date is changed, the job "REF2021 : Generate OA Compliance Status For Existing Content" must be run.</p>	

'Compliant outputs with 'No exception' selected' editorial task

'Compliant outputs with 'No exception' selected' editorial task

The 'Compliant outputs with 'No exception' selected' editorial task identifies those outputs that are compliant with the REF OA policy in their own right (by meeting the Deposit and Access requirements) but where the 'No exception' exception has also been selected in error (the 'No exception' exception should only be applied when confirming that an output that has not met either the Deposit or Access requirements, and no exception applies - making the output non-compliant).

Add new

My editorial tasks

- Duplicate organisation names **57**
- Duplicate organisation IDs **21**
- Datasets with former employed contact persons **1**
- Compliant outputs with 'No exception' selected** **5**

Outputs that are compliant with the REF OA policy in their own right (by meeting the Deposit and Access requirements) but where the 'No exception' exception has also been selected in error, are counted in the "Compliant - Exception applies" column of the [REF OA Monitoring: Overall compliance summary](#) screen, resulting in an overstatement of the Exception rate.

Notes:

- This Editorial task is by default DISABLED, but can be enabled via the My editorial tasks 'gear' icon.

Add new

My editorial tasks



Duplicate organisation names **57**

Duplicate organisation IDs **21**

Datasets with former employed contact persons **1**

▼ **Research output**

Editorial task

- Claim/disclaims
- Compliant outputs with 'No exception' selected
- Duplicates
- Workflow: Entry in progress
- Workflow: For validation – Creation/forwarding
- Workflow: For validation – Returning
- Workflow: For re-validation – Returning

REF2 affiliations

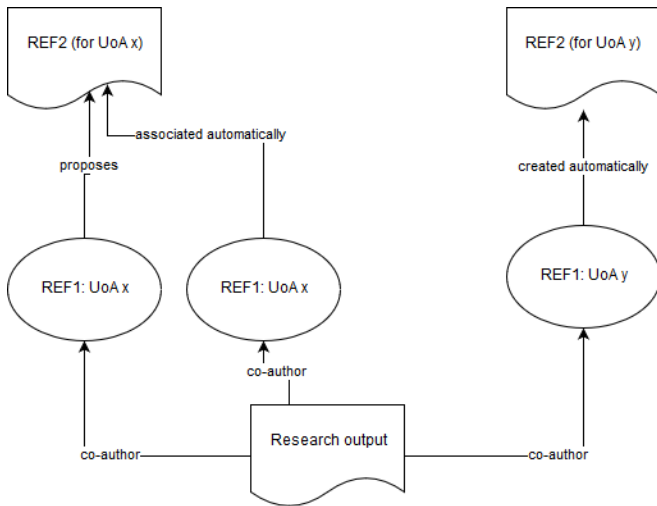
Page status: Currently under construction ([Unknown User \(jamesk\) Knudsen, Malene \(ELS-AAL\)](#))

Version: This document was reviewed in conjunction with Pure 5.15.0. - updated with version 5.16.2

Overall framework

For each Research output in Pure, multiple REF2 records may be created - this number is equal to the number of unique UoAs that the Research output's associated REF1s (co-authors) are associated with.

Once one of the authors (REF1) proposes the Research output, all required REF2 records are created for this Research output.



The REF2 records are created when the Research output is proposed by one of the authors.

If the associated REF1 has no UoA assignment, the REF2 will be created but with no UoA assignment.

Introduction of 'Attribution status'

Outputs will go through three stages of consideration for REF2021:

- Proposal
- Review / Contribution assessment
- Attribution

The 'Proposal' stage is, that the researcher proposes outputs for REF (or this is done in bulk via the 'REF2: Bulk creation job'), and associated REF2s are created.

The 'Review / Contribution assessment' stage deals with considerations of quality / is it research, and whether a sufficient contribution was made by at least one of the associated REF1s, ultimately getting to an answer as to whether the output is suitable for submission to REF, and therefore whether or not it is to be included in the UoA's pool of outputs.

The 'Attribution' stage deals with considerations of each individual's contribution to that output and whether it is appropriate for the output to be attributed to them in the submission, and would need to adhere to the submission rules of a minimum of 1, maximum of 5, and a total of 2.5 per Cat A FTE.

A new 'Attribution status' field will be introduced, with the following statuses:

- Attributed
- Not attributed
- Cannot be attributed (no individuals have been flagged as 'Appropriate to be attributed to this REF1')

Elsewhere in the REF module (e.g. via a summary screen) we should capture:

- Individuals who have >5 outputs attributed to them
- Individuals who have 0 outputs attributed to them

- Where the UoA is 'full' – has sufficient outputs selected for the pool
- Where the UoA is 'done' – has sufficient outputs attributed appropriately to eligible and submitted individuals
- Some sort of graphic would be helpful here to indicate progress towards 'fullness' and 'done-ness'

These summary screen developments are not planned for 5.14 – 5.14 focuses on the delivery of a single REF2 per UoA and updates to the REF2 editor. However, as the existing summary screens do not function with this new REF2 framework without significant revisions, we have disabled the existing summary screens in 5.14. Updated screens will be re-introduced in 5.15 that reflect the updated submission requirements. In the interim, tabular views of the REF1 and REF2 editable lists, have been introduced in 5.14 that enable some submission content to be viewed in summary.

Minor updates to the OA Monitoring summary screens have been made to ensure the recently introduced 'UoA of associated REF2' grouping continues to function as expected.

'Additional information' fields

As described in Annex B of the draft Panel criteria, there are 4 separate statement types that are to be captured as 'Additional information

Note: "Request to double-weight an output" and "Abstract for outputs in languages other than English" are expected to be separate fields already, as per REF2014 submission requirements.

- Outputs that include significant material published prior to 1 Jan 2014
- Researcher's contribution to a co-authored / co-produced output
- Information about the research process and/or content
- Factual information about the significance of the output

We have made representations to the REF team to separate out these different 'Additional information' sections into separate fields. If they choose not to deliver this, Pure will simply collate the different sections together when constructing the submission XML (each section separated by a line break).

There are a few reasons why we think separating these sections out into different fields will be helpful:

- Enables more granular reporting and identification of missing content requested by panels
- Enables dynamic population of Researcher's contribution, depending on who the output is attributed to (see below)
 - It is envisioned that re-attribution of outputs will continue right up until the submission deadline – and without any link between researchers and statements about their contribution, there would be a very high risk that statements relating to other co-authors (against whom the output may have previously been attributed) will be submitted.

Updates to the Additional information fields will not be delivered until the final submission guidance is published and therefore won't be delivered in 5.14.

Researcher's contribution to a co-authored / co-produced output

A statement on the researcher's contribution to a co-produced output can be captured against each eligible REF1. Upon attribution to the individual, the contribution field will be populated with the relevant individual's contribution statement (post 5.14 development). This will enable more safe late attribution and re-attributions, giving users confidence that they don't need to re-check that the contribution statement to be returned in the submission relates to the attributed author, as this will be done automatically.

Research Group

For REF2014, if the UoA chose to assign REF2s to Research groups (as per the configuration in UoA editor), the REF2 Research group assignment was taken from the associated REF1. Where a REF1 had more than one Research group assignment, the user could select the REF2 Research group from the REF1's Research group assignments.

On the assumption that REF2 Research group assignments will work the same way as they did for REF2014, this creates some issues as the Research group assignment will need to be as per the attributed REF1 – so may change if the REF2 is re-attributed. We therefore need to update the REF2 Research group functionality to tie it to the attributed REF1 (and if that REF1 has more than 1 Research group assignment, then the ability to select the appropriate RG assignment on the REF2).

For 5.14 the REF2 Research group functionality will be disabled, and will be re-introduced in a future phase of development, following the publication of the submission requirements.

Peer comments

In 5.14, REF2 Peer comments have been moved from individual REF2 records to be held on the single associated Research Output record, to ensure a single location for all Peer comments (i.e. where there are multiple REF2s across UoAs).

These REF2 Peer comments are not be visible on the Research Output record, but on the REF2 record as per the mockup (thereby ensuring appropriate security of the content). Having this single common storage of Peer comments on the Research Output enables:

- Greater transparency of peer comments and grades
- Reduction in duplicated content across REF2s
- Ease of movement across UoAs (see below)

Users will continue to input Peer grades and comments directly on the REF2 (or in bulk via the 'REF2 Peer Comments job'). The only difference is that Peer grades and comments input for the same Output in another UoA will be visible in all associated REF2s. For all users other than Administrator and REF Administrator, Peer grades and comments for a particular UoA can only be edited in the REF2 against which they were recorded.

When there is a change of the UoA of a REF1, we can end up in a situation where the managing organisation of the peer comment on the REF2, no longer is the same as the UoAs mentioned on the REF2. The consequence of this is, that it is only users with global roles on REF2 that can see these peer comment.

In order to locate these "orphan peer comment" and correct these, we have introduced a new filter. The filter is called "REF2s related to peer comments" and can be found under REF2 and as a fixed filter in the left side menu

Migration of existing content

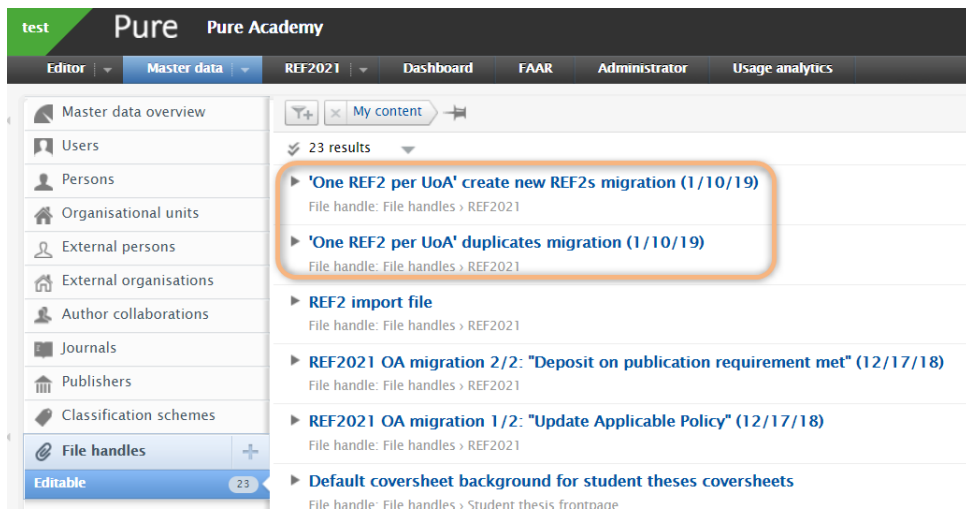
Upon upgrade to 5.14, all existing REF2 content will be migrated to the new framework, resulting in the merging of existing REF2s and the creation of new ones, as per the following logic.

Given the nature of this REF2 re-work and the nature of the content being migrated, this is a 'high risk' migration. We therefore strongly urge you to test your 5.14 upgrade in a pre-production environment prior to upgrading your production environment.

You are also strongly encouraged to generate a report on your REF2 content prior to upgrading to 5.14, and immediately following the upgrade, in order to give yourself confidence that all content has migrated as expected. Important fields to report on include:

- REF2 ID
- Research Output Pure ID
- Associated REF1 details
- UoA assignment

All migrations are logged via file handles (accessible via Master data > File handles):



Creation of new REF2 records

Where, prior to upgrade to 5.14, not all of the co-authors (that have an associated REF1 record) of an eligible output proposed it for REF2, during the migration process:

- Where the co-authors are in the same UoA as the original proposer(s), they will be added to the existing REF2 record
- Where the co-authors are not in the same UoA as the original proposer(s), new REF2s will be created in those UoAs
- These are logged via the 'One REF2 per UoA create new REF2s migration' file handle

	A	B
1	REF2 ID	Unit of Assessment
2	14659617	1
3	14659620	15
4	14659622	2
5	14659626	1
6	14659628	4
7	14659631	2
8		
9		

Created REF2s

Merging of 'duplicate' REF2s

The rules for the migration of existing 'duplicate' REF2s (REF2s in the same UoA relating to the same Research Output) to the new single REF2 are as follows:

- The single REF2 is populated with the most 'advanced' REF selection state (Proposed < Selected for review < Selected for UoA pool of outputs < Not selected for UoA pool of outputs)
- If there are multiple overall predicted grades input, the single REF2 is populated with the highest overall predicted grade
- The single REF2 is populated with the highest 'Total no. of authors override'
- When merging 'duplicate' REF2s, the 'target' REF2 is the 'oldest' REF2 record (in terms of creation date (i.e. lowest Pure ID)) – therefore the Pure ID of the merged REF2 will be that of the 'target' REF2
- The following fields are populated with the 'target' REF2 values:
 - All 'Information to sub-panel' fields (e.g. 'Additional information', double-weighting request, cross-referral requests, etc.)
 - Workflow state

These are logged via the 'One REF2 per UoA duplicates migration' file handle.

	A	B	C	D		A	B	C
1	REF2 ID	UoA			1	REF2 ID	Replaced by REF2 (ID)	
2	14658270	2			2	14657244	14657238	
3	14657754	1			3	14657232	14657228	
4	14658264	2			4	14657220	14657214	
5	14657238	2			5	14657108	14657102	
6	14657748	1			6	14657096	14657090	
7	14658258	2			7	14657120	14657114	
8	14657742	1			8	14657084	14657078	
9	14658252	2			9	14657072	14657066	
10	14657226	1			10	14657060	14657054	
11	14657736	1			11	14657364	14657358	
12	14658246	2			12	14657346	14657340	
13	14657730	1			13	14657382	14657376	
14	14658240	2			14	14657310	14657304	
15	14657790	1			15	14657298	14657292	
16	14658300	2			16	14657280	14657274	

- The 'Migrated REF2s' sheet lists all existing REF2s that continue to exist post-migration, and their assigned UoA
- The 'Deleted REF2s' sheet lists those 'duplicate' REF2s that have been deleted, with the REF1 associations (and relevant content) merged into the new, single REF2 for the UoA, listed in the 'Replaced by REF2 (ID)' column

Migration of Peer comments and grades

The rules for the migration of existing Peer comments, grades, and names to the associated Research Output record are as follows:

- All Peer comments, grades, and names migrate to the associated Research Output record, with a UoA assigned per peer item, as per the UoA of the original REF2
- No Peer comments, grades, or names are merged together, even if all three fields are an exact match

Movement across UoAs

The behavior when associated REF1a/bs move UoAs is as follows:

One of the co-authors moves UoA (UoA A), to a UoA where the REF2 doesn't already exist (UoA B) (and co-authors remain in UoA A)

- REF1a/b is removed from UoA A REF2
- Pure creates new REF2 in UoA B (note will mean a new Pure ID for that REF2), with REF1a/b attached
- Copy all relevant data (e.g. selection status, allocation data, Info for sub-panel) to new REF2 in UoA B

The author moves UoA (UoA A), to a UoA where the REF2 doesn't already exist (UoA B) (and no co-authors remain in UoA A)

- Only thing that changes is the UoA assignment of the REF2 – record stays exactly as is otherwise

One of the co-authors moves UoA (UoA X), to a new UoA where the REF2 already exists (UoA Y) (and co-authors remain in UoA X)

- REF1a/b is removed from UoA X REF2
- REF1a/b is added to UoA Y REF2
- The only data migrated is as follows – all other data from the UoA X REF2 is not migrated to the UoA Y REF2:
 - Individual attribution status for the REF1a/b
 - Researcher's contribution to co-authored / co-produced output for the REF1a/b

The author moves UoA (UoA X), to a new UoA where the REF2 already exists (UoA Y) (and no coauthors remain in UoA X)

- UoA X REF2 is deleted
- REF1a/b is added to UoA Y REF2

- The only data migrated is as follows – all other data from the UoA X REF2 is not migrated to the UoA Y REF2:
 - Individual attribution status for the REF1a/b
 - Researcher's contribution to co-authored / co-produced output for the REF1a/b

Personal user experience

The Personal user's overall experience does not change significantly. If an output is proposed by another co-author, they will see a label indicating that the output was proposed by another user (not named) (and the text of this message can be edited via text resources).

Upon initial proposal of the output by the single actual proposer, the mandatory proposal fields will be populated as follows for all other co-authors:

- Ranking = Alternate
 - Note: It is acknowledged that giving a ranking of 'Alternate' to outputs proposed by co-authors may not be the most appropriate terminology. If you wish to change this terminology, you can do so via text resources.
- Reason for proposing = '-'

The ability for a Personal user to remove a proposed output (whether they proposed it themselves or not) is removed / hidden, so that any one individual cannot remove a REF2 through this means.



Comments

Due to the complexity of re-working the comments functionality to align with the new REF2 framework, and given that very few (if any) institutions used this functionality (as it depends upon Personal users receiving notifications from Pure), we have removed the facility to 'Write a comment to the submitter', and for Personal users to add comments to existing proposals.

Submitters reason for proposing and comments

Submitters reason for proposing

-

Submitters rank

1st

No comments have been sent to the submitter

Write a comment to the submitter

Nicola Adams
Person

Research outputs in the period 2014 to 2020

Proposed 5 All 11

5 results

1st

Article Test 4
Van wijk, T. & Adams, N., 2018, In : Journal of Clinical Oncology.
Research output: Contribution to journal > Article > Research > peer-review

Submitters reason for proposing
-

12/6/18 5:04 PM

Can you provide information on why you proposed this output for consideration for REF

Rank this output * 1st Predicted grade 3

Add comment

Submitters reason for proposing and comments

Submitters reason for proposing

-

Submitters rank

1st

Nicola Adams

12/6/18 5:08 PM

Proin a lacinia eros. Curabitur eleifend non nisl a tincidunt. Cras non nunc at ipsum hendrerit consequat. Ut viverra lorem in sapien lacinia, quis ultrices neque euismod. Mauris ut magna neque. Cras vulputate posuere rutrum. Aliquam nisl ipsum, suscipit volutpat dignissim vitae, bibendum ac ligula. Suspendisse euismod aliquam elit, et consequat eros lobortis iaculis.

Earlier comments...

Write a comment to the submitter

Reporting

REF2 reporting has been updated. We have focused our efforts in the new Reporting module, while continuing to enable basic REF2 reporting in the 'classic' module.

Existing report definitions in the 'classic' module that include REF2 content are very likely to no longer generate any content (due to the significant changes to the underlying REF2 datamodel described in this document). You should examine any such reports upon upgrade to 5.14 – you will likely need to re-build these in the new reporting module.

REF2 jobs

All REF2 jobs (e.g. REF2 bulk creation job, Peer comments job) have been updated such that the functionality offered aligns with the new REF2 functionality (e.g. for the REF2 bulk creation job, it is only necessary to include an output once in the import job – all associated REF2s will be created from that single Output ID (so long as there is at least one associated REF1)). Further detail is available in the relevant areas of the REF wiki.

REF OA Compliance status

Given the current guidance that UoAs can submit a maximum of 5% of in-scope outputs that don't meet the policy requirement or do not have an exception applied, Pure does not restrict the selection / attribution process based on REF OA compliance status. Instead, this will be monitored via the REF2 Summary Stats screen (when re-introduced in 5.15).

User roles and permissions

With this updated framework, we have ensured that all user roles are updated to ensure continued appropriate access to REF2 based on relevant user roles.

Note that we have updated the REF roles such that those roles that have access to edit REF2 (Super/Editor of REF2, Super/Editor of Unit of Assessment, REF Administrator, Administrator) are also able to edit the Research Outputs associated with the REF2s to which they have access.

Deleting REF2s

As REF2 records are automatically created upon initial proposal, the function to delete a REF2 as it currently works (where any user with access to the REF2 record can delete it) would no longer function (as a REF2 would simply be automatically created again).

We have therefore removed the 'delete' function for all users other than Administrator and REF Administrator. The delete function should ONLY be used when the associated Research Output is to be deleted (e.g. because it is a duplicate). In which case, all associated REF2s should first be deleted, then the Research Output can be deleted. Otherwise, where the desire is to simply remove a REF2 from consideration from the REF submission, the user should record its selection status as 'Not selected for UoA pool of outputs'.

Notifications / Tasks

We have reviewed the notifications and tasks currently generated for REF2 actions and confirm that they continue to function as expected in light of the updated functionality.

Validation rules

Note that submission validation continues to be implemented on the REF2 form. While the rules applied are still those from REF2014 (and will need to be updated upon publication of the REF2021 validation rules (expected early 2020)), it is expected that many of the rules will remain consistent (e.g. expected format of a DOI, expected number of characters in an ISSN, etc.), and therefore we saw some value in retaining validation. However, users should not get too stuck on any record that appears to be failing validation at this stage as the updated REF2021 rules are still to be applied.

REF2 Output Metadata

Test 11

This form does not fulfil the REF Submission System data requirements

Data source	Field	Value	
Person	ORCID iD	<not set>	
	REF1	Self identifier <not set>	
	Research Output	Title	Test 11
		Place	<not set>
		Publisher	<not set>
		Volume title	Clinical Psychology
		Volume	<not set>
		Issue	<not set>
		First page	<not set>
		Article number	<not set>
		ISBN	<not set>
		ISSN	0144-6808
	DOI	<not set>	
	PDF	<not set>	
Acquisition of hard copy	Patent number	<not set>	
	Year	2016	
	URL	<not set>	
	Media of output	<not set>	
	REF2	Output identifier	14560801
		Number of additional authors	2
Output type		0	

Metadata

Data to be submitted

Overview

Display

History and comments

History and comments

Metadata responsible for handling

REF2 Attribution

Introduction

The 'Attribution' functionality enabling users to record attribution information on the individual (or individuals) to whom the REF2 should be attributed in the UOA.

The 'Attribution' stage deals with considerations of each individual's contribution to that output and whether it is appropriate for the output to be attributed to them in the submission, and would need to adhere to the submission rules of a minimum of 1, maximum of 5, and a total of 2.5 per Cat A FTE.

Where can I see it in Pure?

Attribution for each REF2

In the **REF2 Editor window > Metadata > Attribution** section you can see which REF1s are attributed to this REF2.

Overall view of attribution

On the tab **REF2021 > REF2 > Attribution profile** you can see an overview for each UoA of which REF2s are attributed or have not yet been attributed.

On the tab **REF2021 > REF2 > Attribution algorithm** you can run an algorithm that calculates the best way to attribute REF2s to REF1s to maximise your predicted grade or view the results of attributions performed via a spreadsheet upload.

How do I attribute REF2s?

You can attribute REF2s using:

- Manual attribution (in REF2 editor > Metadata > Attribution), see also [Manual attribution](#)
- Spreadsheet upload (Administrator > REF2021 > Attribution bulk creation, see also [Upload of attribution file \(Bulk attribution\)](#))
- Attribution algorithm (REF2021 > REF2 > Attribution algorithm), see also [Running the algorithm in Pure](#)

You can also use a combination of these three strategies, though you must remember to "Lock" any manual attributions (using the "Lock attribution" toggle in the REF2 Editor window) when you create them, else they will be overwritten by the spreadsheet upload or the attribution algorithm.

Bulk lock

When a REF2 is "locked" it means that the attribution that has been entered cannot be changed.

When you run the Attribution algorithm or spreadsheet upload, these overwrite all values that they change unless these values are locked.

You can lock records manually in the REF2 editor window, but you can also use the "Bulk edit" functionality. To do this, navigate to REF2 content list > Select the ones to bulk edit > Bulk edit > Lock/Unlock attribution.

When is my attribution complete?

You can tweak the attribution right up to the point that you make your submission to REF2021.

When you submit, you should ensure that on the scorecard on the **REF2021 > REF2 > Attribution algorithm** the number of "Outputs attributed" is equal to "Outputs required for submission" for each UoA.

Manual attribution

See also: [Release notes - Pure 5.15.0 \(4.34.0\)#Pure5.15.0\(4.34.0\)-REF2Attribution](#)

In the REF2 Editor > Metadata > Attribution section you can view (and potentially edit) information about the attribution of the REF2 to its authors (REF1s).

You can see:

- Whether the attribution is locked (field available from version 5.16.0).
This means that the attribution cannot be changed by a bulk import of attribution, or by the attribution algorithm. This is set automatically when you set the REF1 attribution.
- Listing of internal authors (REF1) taken from the related Research Output
This includes both the REF1s assigned to the UoA of the REF2, and also the REF1s related to other UoAs. Note: only REF1s of the same UoA as the REF2 can be attributed
- Indication of significant contribution
Note: This is only shown for the REF1 Staff members assigned to the UoA of the REF2.
- REF1 attribution
This is possible when staff members are marked as eligible for REF2021 and have a significant contribution.
Note: For REF2 belonging to Panel A, B and C only one author can be attributed. For REF2 belonging to Panel D you can as default also only select one author, but there is a check box with which we allow you to attribute 2 authors.
- Attribution notes (For all authors belonging to the UoA of the REF2, for internal purposes and will not be sent to the REF submission system.)
- Colour coding:
 - Green indicates a REF1 assigned the the UoA of the REF2 has been attributed.
 - Red indicates a REF1 assigned the the UoA of the REF2, but not attributed.
 - Gray indicates a REF1 not related to the UoA of the REF2.

Attribution

Locked attribution



Internal authors

Significant contribution

REF1 attribution

Attribution notes (internal)

Steen Rasmussen, Bodil (Steen Rasmussen, B.) 11: Computer Science and Informa... Staff category: Category A Eligibility : Yes Inclusion in REF submission: Yes	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	<div style="border: 1px solid #ccc; height: 60px;"></div>
11: Computer Science and Informa... Staff category: Category A Eligibility : Yes Inclusion in REF submission: Yes	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<div style="border: 1px solid #ccc; height: 60px;"></div>
1: Clinical Medicine Staff category: Category A Eligibility : Yes Inclusion in REF submission: Yes			

You can see an overview of how all the REF2s are attributed for each UoA on the **REF2021 > REF2 > Attribution algorithm** screen.

Running the algorithm in Pure

Updated: 5.18.1

What is the attribution algorithm?

The attribution algorithm is an automatic process of assigning REF2s that maximises the GPA for each UOA.

It processes all REF2s that is in the **Workflow for selection to REF2021 Selected for the pool**, and are not locked, and takes locked outputs into account when maximising the GPA.

The Attribution Algorithm helps you reach the highest possible GPA for a specific UOA, given the selected REF1s and the selected pool of outputs. If you want to attribute specific outputs to individuals, you can do so by locking the output manually on the page of the output. The algorithm will then respect that and calculate the highest GPA under those circumstances.

The algorithm works as follows:

1. Researchers with only one output in the pool has this output attributed to them and the output is no longer available to be attributed in the pool. This step is repeated while the available outputs in the pool are still shrinking. For every attribution made during step 2 and 3, step 1 is carried out again.
2. Researchers without an output attributed get their top graded output attributed to them. Where the grade is the same, outputs that are Open Access compliant with fewer attributable contributors are prioritized. Step two completes when each researcher has been attributed to minimum one output.
3. Out of the remaining outputs, the strongest output is selected with the same prioritisation as in step 2 (outputs by former members of staff are included in this). To spread the outputs most evenly over researchers the output is attributed in the following prioritization order:
 - a. Researchers in Category A over researchers in Category B
 - b. Researchers with fewer attributed outputs over researchers with more outputs
 - c. Researchers with fewer outputs in the pool over researcher with more outputs in the pool
 - d. If all things are the same, we compare using the Pure ID of the researchers to have a reproducible result.

The algorithm continues to run until either the required number of outputs have been attributed until the pool is empty or until the pool stops shrinking, whichever happens first.



Since 5.18.1 ([PURESUPPORT-65616](#)) the algorithm will only attribute outputs to former staff if the REF1 record has an eligible contract with a period overlapping the time when the output was made publicly available. Adding REF-eligible contracts to the REF1 records will make the REF1 records eligible for attribution.

How is the "Required Pool" calculated?

- $2 \frac{1}{2}$ x FTE assigned to the UOA or the number headcount in the UOA (whatever count is highest) - (only REF1a eligible + submitted are taken into account)
- REF6 zero outputs (Application approved = Yes) are deducted, as well as general unit reductions.
- Any staff without any attributable output will be subtracted since they must have a minimum of one unless they have a REF6a reduction to zero outputs.

How can I run the algorithm?

You can run the algorithm if you have (one of) the following roles:

- Pure administrator
- REF2021 administrator
- Supereditor of UOA
- Supereditor of REF2

To run the algorithm, navigate to **REF2021 > REF2 (2021) > Attribution algorithm**. Select the UOA to run the algorithm for (each UOA is handled separately), then click **Run attribution**.



The attribution could take up to several minutes to complete, depending on the number of outputs in the UOA. You can follow the status bar at the bottom of the page to see progress.

Once it is finished you can see the date/time it last completed below the "Run attribution" button (and this can also be seen in Administrator > Jobs > Job log > REF2020AttributionService, where any errors are also shown).

The next time that the attribution algorithm is run for this UOA, run all non-locked attributions are removed and recalculated. If you want to preserve any particular attribution from the previous run, you must lock that particular attribution.

How can I see the results of the algorithm?

Once you have run the attribution algorithm the results are shown on the **REF2021 > REF2 (2021) > Attribution algorithm** screen:

- The scorecard is updated to the new **Calculated GPA** for this UOA.
- The column "Attributed REF2s" is updated (split out into sub-columns for the predicted grades of the outputs).
- The columns "Attributed" and "Calculated GPA" is filled.

The results from this algorithm are **not** locked - the attributions can be overridden or reset - either manually, by spreadsheet upload, or if you run the algorithm again.

If you encounter an unexpected result or want to check that the algorithm performed without errors, you can check the job log at Administrator > Jobs > Job log > REF2020AttributionService.

If you are not satisfied with the results of the algorithm and want to reset these values so you do not see the current calculation of the attribution (all attributions that are not locked are set to 0 and derived values are updated) you can click the **Reset** button.

Guide on attribution created by Marlis Barraclough [Pure REF Module Algorithm.docx](#)

Upload of attribution file (Bulk attribution)

From version 5.16 you can create attributions based on a CSV input file. Uploading the CSV file triggers a job that performs the attributions defined in the file.

Creating the import file

The CSV input file must contain the IDs of REF2s that need attributions and the Staff IDs that need to be attributed.

Note: Different UoAs do not need to be handled as separate steps, you can upload them all at the same time.

You can view an example file with the correct structure on the **Administrator > REF2021 > Attribution bulk creation tab**. Or downloaded from here: [Example file](#)

Please use the template file provided (remove example data). All columns in the template file must be populated.

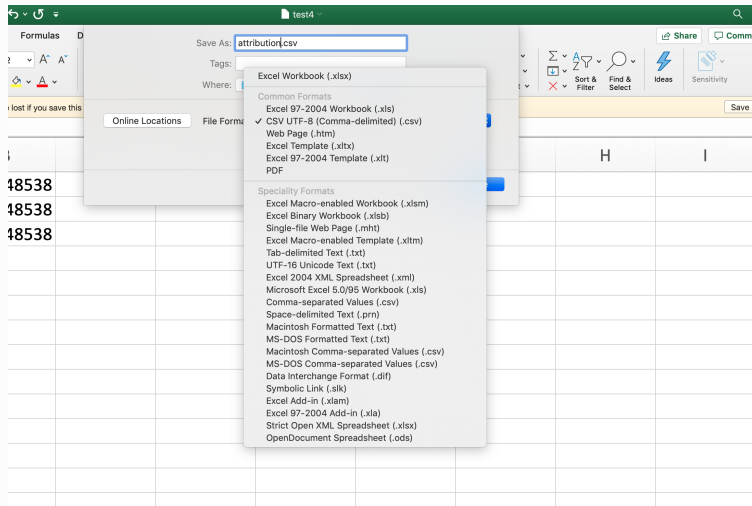
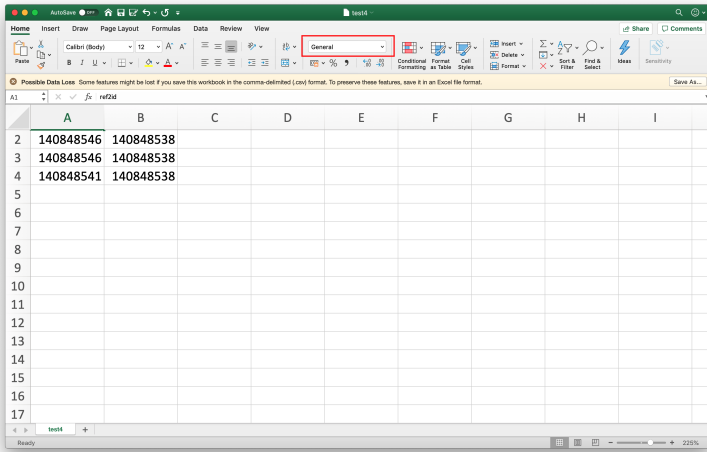
Column	Expected content	Required?	Notes
ref2id	Pure Output ID (e.g. 201457893)	Yes	This is the ID of the REF2 for which you wish to be attributed.
ref1id	Pure REF1 staff ID	Yes	This is the ID of the staff for which you wish to attribute.



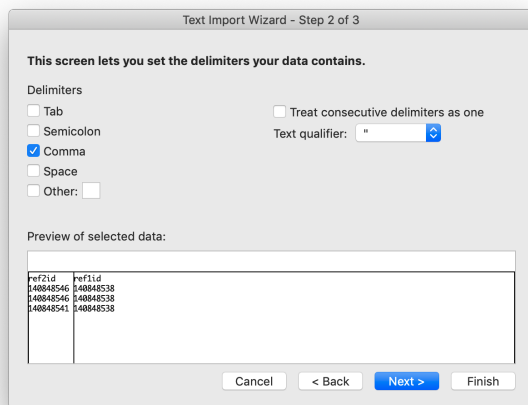
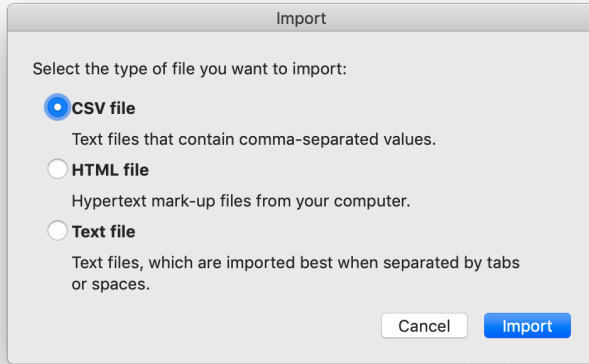
Using Excel for CSV files

If Excel is used to prepare the CSV file special care should be used when selecting the format of the cells.

It is important that the format of the cells are **General** as number format adds language-specific formatting on the numbers, such as thousand separators and decimal separator.



To import the example CVS file in Excel, please create a new document and use the *import* function



Which records are affected?

1. The REF1 that is being attributed must have set the selection status to submitted. Otherwise, the entry will be skipped by the job.
2. The REF2 workflow for selection to REF2021 must be "Selected for UoA pool".
3. The REF2 cannot be submitted as a reserve.

If you have previously attributed records, whether, through the attribution algorithm, or a previous CSV upload, these will be overwritten.

Tip: We recommend that you use the bulk edit function (**REF2 content list > Bulk edit > Remove attribution from selected REF2s**) to remove existing non-locked attributions before importing, so that you are not confused about which changes are the result of the algorithm and which of the bulk import.

Performing the import

Upload the CSV file you want to use on the **Administrator > REF2021 > Attribution bulk creation tab**.

Once you upload the CSV file the attributions are performed immediately.

Bulk attribution

Create attributions as per the uploaded CSV file. Immediately upon file upload, the Bulk Creation of attribution job will be initiated. You can check the progress of the job via the job log. Further information, including the import file template, is available in [the REF2021 wiki](#).



[Simple Attribution creation example file](#)

Attribution bulk creation file.



Drag file or **browse** your computer.

You can view the job log to see the results of the bulk attribution at **Administrator > Jobs > Job log > Bulk creation of Attributions**.

Name	Start	Duration (hours)	User	Status
Bulk creation of Attributions	26. Aug 2019 16:25	0:00:00	root	Errors

Further information about this job can be found [here](#).

See the results

You can see the results on the REF2021 > REF2 > Attribution algorithm tab or REF2021 > REF2 > Attribution profile. Select the UoA you want to view, and you can see the attribution statistics in the table.

REF2 - Bulk creation



RELEASED : 5.11.1
UPDATED : 5.14.0

REF2 : Bulk creation job

The **REF2 : Bulk creation job** enables the creation of REF2 records in bulk, using an import file.

REF2 Bulk Creation

Create REF2 Research Output records as per the uploaded excel file. Immediately upon file upload, the Bulk Creation of REF2 Records job will be initiated. You can check the progress of the job via the job log. Further information, including the import file template, is available in the REF2021 wiki.

REF2 bulk creation file.



Drag file or [browse](#) your computer.



This page describes the updated REF2 : Bulk creation job from 5.14. If you are on an older version of Pure, you should refer to the [previous wiki page](#) for instructions.

REF2 : Bulk creation job : Import file template



[REF2 Bulk creation file template](#)

Notes for successful use of the REF2 bulk creation job

- For a REF2 record to be created, the associated output must exist in Pure, and must have authors with associated REF1 records in the REF module
- The newly created REF2 record(s) will be assigned the 'Proposed' selection workflow state, and the 'REF2 Entry in Progress' workflow state
- The newly created REF2 record(s) will be assigned the author ranking of 'Alternate' for all associated REF1s
- If a REF2 record already exists for that output, the job will skip this output and generate an error in the log
- If an output is outwith the REF2021 publication period, the job will **not** log this as an error and will create the associated REF2(s)
- If an output was submitted to REF2014 (as captured on the associated Research Output record), the job will **not** log this as an error and will create the associated REF2(s)
- The job ignores any settings in the 'Lock ability to propose outputs' configurations
- This is a 'sync once' job - after running the job, you will be able to edit content manually in Pure as required

Creating the import file

Please use the template file provided above (and remove rows 2-7 of exemplar data). All columns in the template file must exist, but not all must be populated - see details below.

You'll notice that the fields available in the import file replicate those available in the Proposal editor:

Proposed **All** 12 Propose output

Conceptualizing, measuring and evaluating constructs of the adolescent neighbourhood social environment: a systematic review

Martin, G., Gavine, A., Inchley, J. & Currie, C. Dec 2017 In: SSM - Population Health. 3, p. 335-351 17 p.

Research output: Contribution to journal | Review article

Proposed for REF2021 Rank this output

Give your reason for proposing this output:

words 0

Additionally:

- Where this is not evident within the output (e.g. non-text or practice-based outputs), provide information about the research process and/or content.
- Does the output include significant material in common with an output published prior to 1 January 2016? If yes, explain how for the earlier work was revised to incorporate new material.
- As per any local instructions they be most applicable in tasks 11-20, provide factual information about the significance of the output:
 - Evidence about how an output has gained recognition, led to further developments or has been applied.
 - Information about nationally or internationally awarded prestigious prizes or similar significant recognition.

Has this output arisen from interdisciplinary research?

Co-authored output?

Please describe your contribution:

words 0

Would you like to propose this output for double-weighting?

Please provide a statement justifying the proposal:

words 0

Cancel Update

Workflow for selection to REF2021

Selected for REF2021 *

Proposed Selected for review Selected for REF2021 Not selected for REF2021

Submitters reason for proposing and comments

Submitters reason for proposing

Changed discipline standards. Top 1% citations.

Submitters rank

Alternate

Has this output arisen from interdisciplinary research?

Yes

Please describe your contribution

I was the lead author

Would you like to propose this output for double-weighting?

Scale and scope is sufficient to justify this

Column	Expected content	Required?	Notes
Pure Output ID	Pure Output ID (e.g. 201457893)	Y	This is the ID of the Output for which you wish to create REF2 record(s)
Output Title	The title of the research output	N	Pure ignores any text input here - this column is here to help users read the content

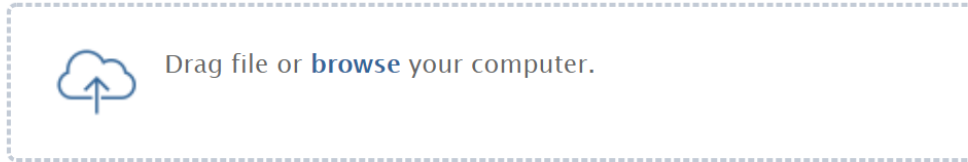
Uploading the import file

Go to Administrator > REF2021 > REF2 Bulk Creation, and upload your import file.

REF2 Bulk Creation

Create REF2 Research Output records as per the uploaded excel file. Immediately upon file upload, the Bulk Creation of REF2 Records job will be initiated. You can check the progress of the job via the job log. Further information, including the import file template, is available in the REF2021 wiki.

REF2 bulk creation file.



This will automatically initiate the **Bulk creation of REF2 Records** job. You can check the progress of the job via Administrator > Jobs > Job log.

test Pure University of UK

Editor Master data REF2021 REF2014 Dashboard Administrator Usage analytics

Overview
Jobs
Cron Job Scheduling
Single Run Jobs
Job management
Job log

Job log

30 results

Name	Start	Duration (hours)	User	Status
Bulk creation of REF2 Records	04. Mar 2018 21:28	0:00:00	root	Errors
auditRetentionPurgerCronJob	27. Feb 2018 02:00	0:00:01	root	Success

REF2 - Bulk creation - OLD

REF2 : Bulk creation job

The **REF2 : Bulk creation job** enables the creation of REF2 records in bulk, using an import file.

REF2 Bulk Creation

Create REF2 Research Output records as per the uploaded excel file. Immediately upon file upload, the Bulk Creation of REF2 Records job will be initiated. You can check the progress of the job via the job log. Further information, including the import file template, is available in the REF2021 wiki.

REF2 bulk creation file.



Drag file or [browse](#) your computer.



This page describes the **OLD** REF2 : Bulk creation job, previous to 5.14. If you are on a version of Pure 5.14 or older, you should refer to the [new wiki page](#) for instructions.

REF2 : Bulk creation job : Import file template



[REF2 Bulk creation file template](#)

Notes for successful use of the REF2 bulk creation job

- For a REF2 record to be created, the associated output must exist in Pure, and the Person against whom you wish to assign the REF2 record must exist in the REF module with a REF1a/c record, and must be a named author on the output
- The newly created REF2 record will be assigned the 'Proposed' selection workflow state, and the 'REF2 Entry in Progress' workflow state
- The newly created REF2 record will be assigned the author ranking of 'Alternate'
- If a single output is to be assigned to multiple REF1a/cs, there should be one line per REF1a/c
- If a REF2 record already exists for that output for that Person, the job will skip this output and generate an error in the log
- If an output is outwith the REF2021 publication period, the job will **not** log this as an error and will create the associated REF2
- If an output was submitted to REF2014 (as captured on the associated Research Output record), the job will **not** log this as an error and will create the associated REF2
- The job ignores any settings in the 'Lock ability to propose outputs' configurations
- This is a 'sync once' job - after running the job, you will be able to edit content manually in Pure as required

Creating the import file

Please use the template file provided above (and remove rows 2-3 of exemplar data). All columns in the template file must exist, but not all must be populated - see details below.

You'll notice that the fields available in the import file replicate those available in the Proposal editor:

Proposed output

Conceptualizing, measuring and evaluating constructs of the adolescent neighbourhood social environment: a systematic review

Martin, G., Gavine, A., Inchley, J. & Currie, C. Dec 2017 In : SSM - Population Health. 3, p. 335-351 17 p.

Research output: Contribution to journal > Review article

Proposed for REF2021 Rank this output **Select ranking**

Give your reason for proposing this output: *

words 0

Additionally:

- Where this is not evident within the output (e.g. non-text or practice-based outputs), provide information about the research process and/or content
- Does the output include significant material in common with an output published prior to 1 January 2014? If Yes, explain how far the earlier work was revised to incorporate new material.
- As per any local instructions (may be most applicable in UoA's 11-36), provide factual information about the significance of the output:
 - Evidence about how an output has gained recognition, led to further developments or has been applied.
 - Information about nationally or internationally awarded prestigious prizes or similar significant recognition.

Has this output arisen from interdisciplinary research?

Co-authored output?
Please describe your contribution *

words 0

Would you like to propose this output for double-weighting?
Please provide a statement justifying the proposal *

words 0

Cancel Update

Workflow for selection to REF2021

Selected for REF2021 *

Proposed
 Selected for review
 Selected for REF2021
 Not selected for REF2021

Submitters reason for proposing and comments

Submitters reason for proposing
Changed discipline standards. Top 1% citations.


Submitters rank
Alternate

Has this output arisen from interdisciplinary research?
Yes

Please describe your contribution
I was the lead author

Would you like to propose this output for double-weighting?
Scale and scope is sufficient to justify this

Column	Expected content	Required?	Notes
Output ID	Pure Output ID (e.g. 201457893)	Y	This is the ID of the Output for which you wish to create a REF2 record
Output Title	The title of the research output	N	Pure ignores any text input here - this column is here to help users read the content
REF1 ID	Pure REF1a/c ID (e.g. 203457858)	Y*	This is the REF1a/c ID of the individual to whom you wish to assign this REF2 record. Mandatory if the Person ID is not provided.
Person ID	Pure Person ID (e.g. 1042567)	Y*	This is the Person ID of the individual to whom you wish to assign this REF2 record. Mandatory if the REF1 ID is not provided.
Person Name	The name of the individual against whom to assign the REF2	N	Pure ignores any text input here - this column is here to help users read the content
Reason for proposing	The researcher's reason for proposing the output for REF2021	Y	As this is a mandatory field in the editor, some value must be provided in this field (even if it is just something like -)

 NOTE that if you have a record where you have not provided the Reason for proposing, the error message will be a little odd (we plan to fix this in an upcoming release).

As you may have seen in other jobs, when citing the row in the job log, Pure tends to ignore the column header row. So, when content is in row 6 in Excel, Pure would cite this as row 5. To deal with this, we tried to add 1 to the row number in our logic, so that the row number Pure cited was the same as the Excel row number. Unfortunately, we didn't implement this quite right and instead of a calculation, what is getting reported is a string. So, for example, if the error is in Excel row 6, Pure is citing the error in row 51.

Unfortunately, we didn't pick this up until quite late in our testing. To fix it would have resulted in a delay to the delivery of this functionality, so we decided to proceed with release with this known issue. Again, we will resolve this in an upcoming release.

Interdisciplinary	Y / N (or blank)	N	If left blank or populated with N, the field will hold the value of 'null'. Just like when manually proposing an output, this information only populates the 'Submitter's reason for proposing and comments' section of REF2 and is not included in the actual submission.
Co-author contribution	The researcher's description of their contribution to a co-authored output	N	If left blank, the field will hold the value of 'null'. Just like when manually proposing an output, this information only populates the 'Submitter's reason for proposing and comments' section of REF2 and is not included in the actual submission.
Double-weighting justification	The researcher's justification for proposing the output is considered for double-weighting	N	If left blank, the field will hold the value of 'null'. Just like when manually proposing an output, this information only populates the 'Submitter's reason for proposing and comments' section of REF2 and is not included in the actual submission.

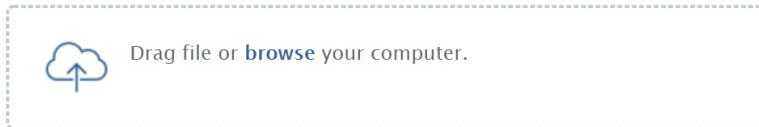
Uploading the import file

Go to Administrator > REF2021 > REF2 Bulk Creation, and upload your import file.

REF2 Bulk Creation

Create REF2 Research Output records as per the uploaded excel file. Immediately upon file upload, the Bulk Creation of REF2 Records job will be initiated. You can check the progress of the job via the job log. Further information, including the import file template, is available in the REF2021 wiki.

[REF2 bulk creation file.](#)



This will automatically initiate the **Bulk creation of REF2 Records** job. You can check the progress of the job via Administrator > Jobs > Job log.

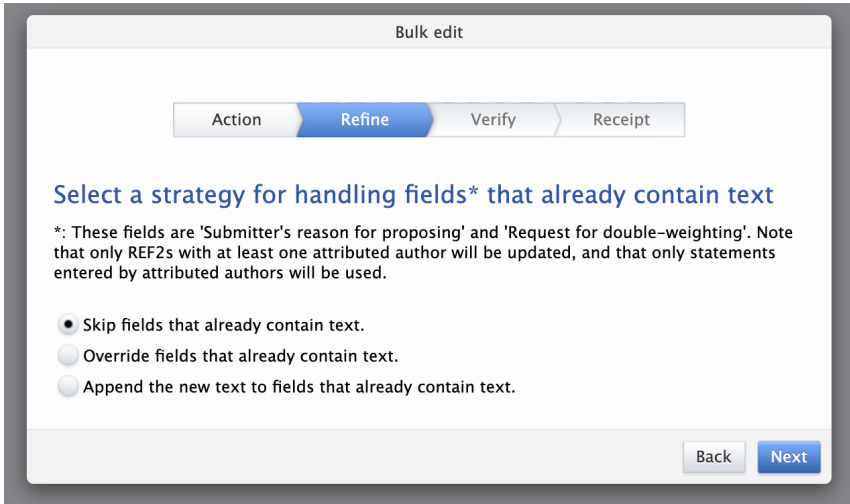
The screenshot shows the 'Pure University of UK' interface. The top navigation bar includes 'test', 'Pure University of UK', a search icon, and a user profile 'root'. Below the navigation bar, there are tabs for 'Editor', 'Master data', 'REF2021', 'REF2014', 'Dashboard', 'Administrator', and 'Usage analytics'. The 'Administrator' tab is active. On the left, a sidebar menu shows 'Overview', 'Jobs', 'Cron Job Scheduling', 'Single Run Jobs', 'Job management', and 'Job log' (which is selected). The main content area is titled 'Job log' and shows '30 results'. A table lists job entries:

Name	Start	Duration (hours)	User	Status
Bulk creation of REF2 Records	04. Mar 2018 21:28	0:00:00	root	Errors
auditRetentionPurgerCr...	27. Feb 2018 02:00	0:00:01	root	Success

REF2 - Bulk editing of content

REF2 : Bulk editing

The following REF-related bulk actions are available for Research outputs and REF2 records. When the action has been completed, you should make sure to read the log file of the bulk operation to confirm all actions were processed as expected (note that there may be multiple sheets in the log file).

Content type	Action	Notes
REF2	Change workflow	
REF2	Remove attribution from selected REF2s	
REF2	Change selection for UoA pool of outputs status	
REF2	Lock /Unlock attribution	This will lock or unlock the REF2's attribution, if this is locked and not attributed, then the algorithm cannot attribute this REF2
REF2	Copy 'Submitter's reason for proposing' /'Request for double-weighting'	<p>It is possible to specify how existing information should be treated</p> 
Research outputs	Change REF2021 Exception	Can be used to aid users in actioning the "Compliant outputs with 'No exception' selected" editorial task , enabling authorised users to edit REF2021 OA exceptions in bulk. When using this bulk action to remove the 'No exception' value from otherwise compliant outputs, select 'No value' for the 'REF2021 Exception'. This will remove the 'No exception' value, retain the Compliant status for the output(s), move the output(s) from the 'Compliant (exception applies)' column in the REF OA Monitoring: Overall compliance summary screen to the 'Compliant' column, and the Exception rate will be re-calculated.

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Editor Master data REF2021 Dashboard FAAR Administrator Usage analytics

Overview

- Units of assessment (2021)
- REF1a/c (2021)
- REF1b (2021)
- REF2 (2021)
 - Summary
 - Summary statistics
 - REF2 candidates OA tracking
 - REF2 candidates OA summary
 - Editable 26
- REF3a (2021)
- REF3b (2021)
- REF4a (2021)
- REF4b (2021)
- REF4c (2021)
- REF5 (2021)
- Report definitions

Search for REF2 (2021)

My content

3 of 26 items selected. Select none or Cancel Bulk edit Analyse Research Outputs in SciVal

26 results

1 > Clinical Medicine > Bloggs Current Censur, Joe

- Article 100
 - Bloggs Current Censur, Joe (Bloggs Current Censur, J.)
 - 1: Clinical Medicine (Panel A)
 - Research output: Contribution to journal > Article > Research > peer-review – Accepted/In press (D – REF2 (Output REF2021))
 - REF2 ENTRY IN PROGRESS PROPOSED
- Article 101
 - Bloggs Current Censur, Joe (Bloggs Current Censur, J.)
 - 1: Clinical Medicine (Panel A)
 - Research output: Contribution to journal > Article > Research > peer-review – Accepted/In press (D – REF2 (Output REF2021))
 - REF2 ENTRY IN PROGRESS PROPOSED
- Article 3
 - Bloggs Current Censur, Joe (Bloggs Current Censur, J.)
 - 1: Clinical Medicine (Panel A)
 - Research output: Contribution to journal > Article > Research > peer-review – Published (D – Journal > ...)

Bulk edit

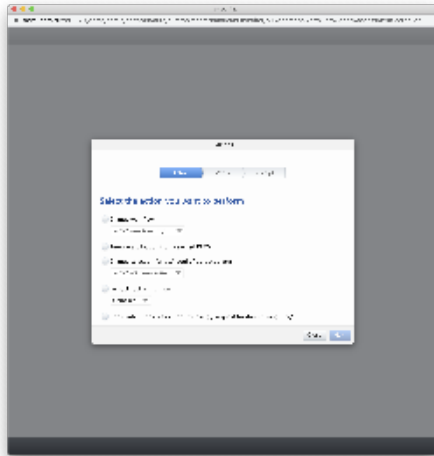
Action Verify **Receipt**

The following content has been successfully updated

3 REF2 (2021)

Download log file of the bulk operation

Close



REF2 - Bulk upload output allocation



RELEASED: 5.18.0

Bulk upload output allocation

REF2 output allocation

The output allocation set out by Research England on their [web site](#), specify a number of output allocation that must be specified on the REF2, and this is a required field in the submission system. It is possible to bulk upload the output allocations to the REF2.

Upload file

The upload file have a tab for each of the unit of assessment where an output allocation can be added. The file have a drop down for the output allocation to ensure that a valid option is chosen.

Field	Description
REF2 ID	ID for the REF2 to upload allocation to, repeat this up to three times to add more allocations on the REF2
Allocation	Select from the dropdown the allocation to assign to the REF2
Output Allocation information	When other is selected in <code>allocation</code> write what other information should be assigned
Keyword	Keyword to assign, this is only applicable for UOA 10

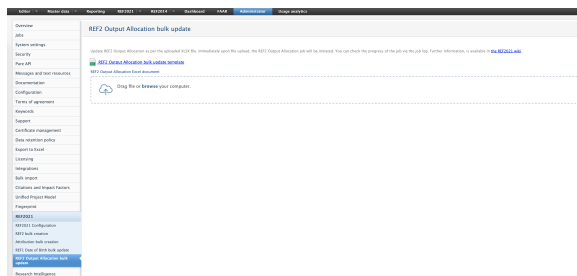


To assign more than one output allocation to a REF2, just add another row with the REF2 ID.

If more than the allowed number of allocations is present in the file, a warning will be logged, and the first allocations will be used, up to the allowed number

Uploading output allocation

To upload the date of birth bulk file, go to Administrator REF2021 REF 2 Output Allocation bulk update



Example file

Use this template on 5.19.2 and later versions: [ref2-output-allocation-example-5.19.2-and-later.xlsx](#)

Use this template on versions up to and including 5.19.1: [ref2-output-allocation-example-up-to-5.19.1.xlsx](#)

REF2 - Capture REF2014 submission status on Research Output records

RELEASE VERSION : 5.3.0

This page describes how to capture the REF2014 submission status on Research Output records (both for customers that used the Pure REF2014 module, and those that didn't). This will involve the use of one of two possible jobs:

- Customers that used the REF2014 module:
 - Single Run Job > **REF2014 : Update Research Output records to hold REF2014 submission status (as per REF2 (2014))**
- Customers that did not use the REF2014 module:
 - Cron Job > **REF2021 : Set research output REF2014 values**

These fields will only be visible / editable on the Person record by the following users:

- Administrator
- REF2014 Administrator
- REF2021 Administrator
- Administrator of Research Outputs
- Editor of Research Outputs

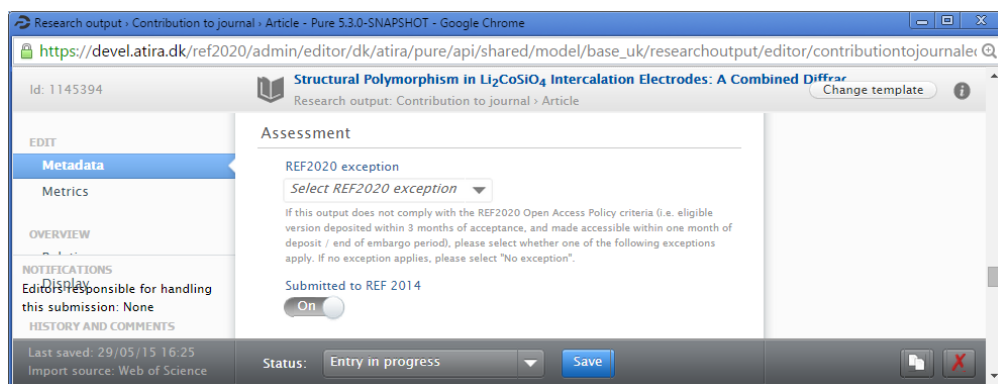
REF2014 : Update Research Output records to hold REF2014 submission status (as per REF2 (2014))

This Single Run Job is only for use by those customers that used the REF2014 module.

This job updates Research Output records to show whether the output was submitted to REF2014, as per the associated REF2014 REF2 record(s):

- Submit status = Submitted
- Workflow = REF2 Confirmed

There is no configuration required - the job simply needs to be started.



After the job has completed, to view the job log, go to Jobs > Job Log > Updates Research Output records to show whether the output was submitted to REF2014, as per the associated REF2 (2014) record(s)

REF2021 : Set research output REF2014 values

This Cron Job is only for use by those customers that did not use the REF2014 module.

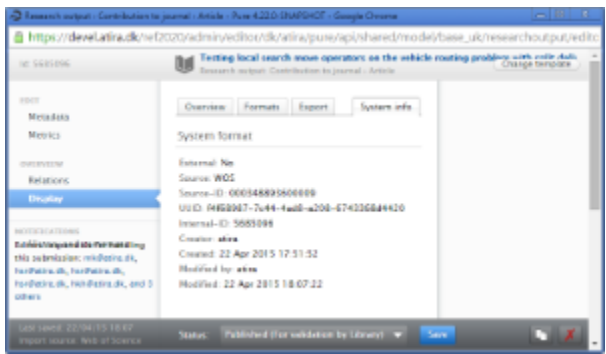
This job updates Research Output records included in the import file to show whether the output was submitted to REF2014.

This job acts as a 'sync once' function. Following the import, the REF2014 value will be editable by authorised users.

Creating the import file

The import file template is available at the bottom of this page. The columns required are:

Column	Expected values	Notes
Name		This column is for information only - it is not required to be populated
Pure ID		This is the Research Output's Pure ID, as found in the top left-hand corner of the Research Output Editor

Source	e.g. WOS	This is typically the source where the Output was synchronised in from (e.g. Web of Science, Scopus, legacy import). This is shown in the Display tab under System Info, as Source or Secondary Sources. If Source is omitted (but a Source ID is provided), the job will look at all Sources. 
Source ID	e.g. 000348893600009	This is the ID relating to the named 'Source'. If Source is omitted, the job will look at all Sources. The less precise you are in the import file, the more likely it is that the job will make an incorrect match. In this case, after the Job has run, you can search the log for 'multiple matches for' and check to confirm that the correct ID match has been made.
Non explicit ID		To be used if you are unsure of the type of ID you are providing.
Submitted to REF2014	True / False	

Uploading the Research Output REF2014 import file

As described above, this job will update the listed Research Output records with REF2014 data. To run this job, you must use the import file format described above (see the attached example below). If the import file is not valid, the job will fail to run.

1.	<p>Set up the Job</p> <p>Administrator > Jobs > Create new job > REF2021 : Set research output REF2014 values</p> <ul style="list-style-type: none"> • As this job it intended to only be run once, you should change the schedule to Interval > Manual • Job configuration <ul style="list-style-type: none"> ◦ Select 'Default Configurations', then upload your import file
2.	<p>Run the Job</p>

IMPORT FILE TEMPLATE for REF2021 : Set research output REF2014 values Job

File	Notes
REF2014OutputMapping.xlsx	<ul style="list-style-type: none"> • Can be uploaded as .xls or .xlsx file

REF2 - Manually create records



UPDATED : 5.12.0

Proposing outputs for submission to REF2021

When an individual proposes an output for submission to REF2021, a REF2 record is created.

Outputs can be proposed for submission to REF2021 by both the Personal user or any other user with access to the Person record (e.g. Editor of Persons, Administrator).

Only those outputs produced during the REF2021 publication period are available for proposal. Upon initial creation, the REF2 is assigned the 'Proposed' selection state.

REF2021 publication period is 01 January 2014 to 31 Dec 2020 (both days included). (Looking at "Current publication state")

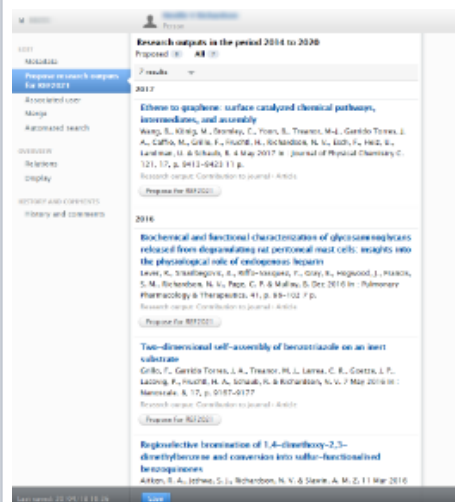
Outputs submitted for REF2014 are not eligible and not shown as candidates in the person editor

Personal user

The Personal user can propose outputs either directly from their Personal overview screen, or via their Person record:

Other users

Other users can propose outputs via the Person record



Here as well, unless given separate REF roles, use with access to the Person record see nothing further that outputs have been proposed for REF.

The screenshot shows a user interface for managing research outputs. At the top, there are navigation tabs: 'My research', 'My profile', 'Supervision', and 'Propose outputs for REF2021'. Below this, a section titled 'Research outputs in the period 2014 to 2020 (19)' contains a button to 'Propose research outputs for REF2021'. A list of outputs is displayed, including:

- 2018**
 - Compulsivity in opioid dependence** (Research output: Contribution to journal - Article)
 - Alcohol use disorders in People With Intellectual Disability** (Research output: Contribution to journal - Review article)
 - Opioid prescribing practices, their association with chronic pain, and co-prescribing of benzodiazepines: a primary care data linkage study** (Research output: Contribution to journal - Article)
- Proposed for REF2021 (6)**
 - 1st (Predicted grade: 3+)**
 - Compulsivity in opioid dependence - [redacted]** (REF2 (Output REF2021))
 - 2nd (Predicted grade: 4-)**
 - Multifaceted impairments in impulsivity and brain structural abnormalities in opioid dependence and abstinence - [redacted]** (REF2 (Output REF2021))
 - 3rd (Predicted grade: 3)**
 - Neuropsychological functioning and chronic methadone use - [redacted]** (REF2 (Output REF2021))

Below the list is a detailed view of a specific output for 2017: 'Ethene to graphene: surface catalyzed chemical pathways, intermediates, and assembly' by Wang, S., King, M., Semley, C., Yuan, B., Treaner, M.J., Gerbó Torres, J. A., Caffo, M., Grief, F., Huo, H., Reichardt, N. U., Koch, F., He, S., Landmeier, S., & Schaub, R. (4 May 2017). *Journal of Physical Chemistry C*, 121, 17, p. 9413-9423 (11 p.).

Following initial proposal, Personal users see nothing further than that outputs have been proposed for REF, and potentially the predicted grade assigned to the output (as per the relevant [configuration](#)). Unless given separate REF roles, they are unable to access REF2 records directly and are not notified of the eventual selection status of any output.

When proposing an output, the user is asked to provide the following information:

Field	Notes
Proposed for REF	Automatically selected. If the user decides to subsequently remove this proposal, they can un-tick 'Proposed for REF2021'. If the user un-ticks 'Proposed for REF2021', the associated REF2 record will be deleted (see restrictions below)
Ranking	The user is asked to provide their ranking for the output - is it their best (1st), second best (2nd), etc. This field is MANDATORY. In 5.12, we've made the following changes: <ul style="list-style-type: none"> By default, the ranking 'Alternate' is selected, which the user can then overwrite if they so wish (prior to 5.12, the ranking was not set and required the user to make a selection, which in many institutions caused untold confusion) Rankings now extend from 1st to 5th + Alternate, to reflect the new submission requirements
Give your reason for proposing this output	The user is asked to give their reason for proposing the output. Once individual Panel Criteria are known, we can edit this screen to give further guidance as to what we would like to know from authors (e.g. information on the research process and/or content, factual information about significance). This field is MANDATORY.
Has this output arisen from interdisciplinary	Once further guidance on how to interpret 'interdisciplinarity' is available, we can edit this screen accordingly.

research	
Is this a co-authored output?	If selected, the user is asked to describe their contribution (MANDATORY).
Would you like to propose this output for double-weighting?	If selected, the user is asked to provide a statement justifying the proposal (MANDATORY).

Configurations for restrictions

There are a couple of settings available that restrict individuals' ability to edit existing proposals and/or propose further outputs. These are available at Administrator > System settings > REF2021:

Restrict users' ability to edit Proposal text and ranking based on REF2 selection status

It is possible to restrict users' ability to edit existing REF2 proposals based on the selection status of the REF2 (i.e. whether it is in the Proposed, Under review, Selected for REF2021 selection state). You may wish to introduce such restrictions to ensure that outputs, for example, Selected for REF2021 cannot be removed from the REF module by the individual.

Restrict users' ability to edit Proposal text and ranking based on REF2 selection status

Selecting "Proposed" will allow users to only edit the Proposal text and ranking for REF2 records in the "Proposed" selection state. Selecting "Review" will allow users to only edit the Proposal text and ranking for REF2 records in the "Proposed" and "Under Review" selection states. Selecting "Selected" will allow users to edit the Proposal text and ranking for REF2 records in the "Proposed", "Under Review", and "Selected" selection states. If "NotSelected", users will always be able to edit their choices.

The user will be presented with the following in the Propose outputs for REF2021 tab, depending on the selection state of the REF2:

No restriction (e.g. REF2 still in Proposed state)	Restriction (e.g. REF2 in Selected for REF2021 state)

Alternate

Abnormal brain activity during a reward and loss task in opiate dependent patients receiving methadone maintenance therapy

Grady, V. E., Saitta-Chees, A. M., Ashford, D., Matthews, G. & Strack, J. D. (2014) In: *Neuroscience & Biomedicine*, 15, 4, p. 401-404 12 p.

Research output: Contribution to journal > Article

Submitters reason for proposing

Important experimental study of international significance

Has this output arisen from interdisciplinary research?

Yes

Please describe your contribution

I lead this project

Rank this output * Alternate ▼

Predicted grade 4

Edit

2nd

Multifaceted impairments in impulsivity and brain structural abnormalities in opioid dependence and abstinence

Grady, V. E., Saitta-Chees, A. M., Ashford, D., Matthews, G. & Strack, J. D. (2014) In: *Neuroscience & Biomedicine*, 15, 4, p. 401-404 12 p.

Research output: Contribution to journal > Article

Submitters reason for proposing

International status, experimental and unique methodologies

Has this output arisen from interdisciplinary research?

Yes

Please describe your contribution

Leading this project from conception, recruitment, analysis and writing manuscript

Rank this output * 2nd ▼

Predicted grade 4-

Add comment

Restrict users' ability to propose further outputs for REF2021

It is possible to restrict users' ability to propose further outputs for REF2021. You may wish to introduce such restrictions as you near the submission deadline, to ensure adequate control over the process. There is one configuration per UoA (including no UoA assignment), thereby allowing for different stages of submission preparation across the institution.

Lock ability to propose outputs (Persons with no UoA association)

Select the appropriate status. 'OpenAllUsers'? all users can continue to propose outputs for submission to REF. 'ClosedPersonalUsers'? Personal Users can no longer propose outputs for submission (but Person Editor / Administrator, REF2021 Administrator, and Administrator) can continue to do so. 'ClosedAllUsers'? no users can propose outputs for submission to REF. NOTE when this function is disabled, the ability to modify existing selections or comment through the Person editor is also disabled. The REF2 editor continues to function as usual.

OpenAllUsers ▼

Lock ability to propose outputs (Persons associated to UoA 1)

Select the appropriate status. 'OpenAllUsers'? all users can continue to propose outputs for submission to REF. 'ClosedPersonalUsers'? Personal Users can no longer propose outputs for submission (but Person Editor / Administrator, REF2021 Administrator, and Administrator) can continue to do so. 'ClosedAllUsers'? no users can propose outputs for submission to REF. NOTE when this function is disabled, the ability to modify existing selections or comment through the Person editor is also disabled. The REF2 editor continues to function as usual.

OpenAllUsers ▼

Lock ability to propose outputs (Persons associated to UoA 2)

Select the appropriate status. 'OpenAllUsers'? all users can continue to propose outputs for submission to REF. 'ClosedPersonalUsers'? Personal Users can no longer propose outputs for submission (but Person Editor / Administrator, REF2021 Administrator, and Administrator) can continue to do so. 'ClosedAllUsers'? no users can propose outputs for submission to REF. NOTE when this function is disabled, the ability to modify existing selections or comment through the Person editor is also disabled. The REF2 editor continues to function as usual.

OpenAllUsers ▼

Lock ability to propose outputs (Persons associated to UoA 3)

Select the appropriate status. 'OpenAllUsers'? all users can continue to propose outputs for submission to REF. 'ClosedPersonalUsers'? Personal Users can no longer propose outputs for submission (but Person Editor/Administrator,

- 'OpenAllUsers' : all users can continue to propose outputs for submission to REF
- 'ClosedPersonalUsers' : Personal Users can no longer propose outputs for submission (but Person Editor / Administrator, REF2021 Administrator, and Administrator) can continue to do so
- 'ClosedAllUsers' : no users can propose outputs for submission to REF.
 - NOTE when this level is selected, the ability to modify existing selections or comment through the Person editor is also disabled.
 - The REF2 editor continues to function as usual.

The user will be presented with the following if restricted from proposing further outputs:



Alexander Marc Silliman-Holt
 ID: 10000000000000000000
 My portal profile
 Edit profile...

- My research
- My profile
- Supervision
- Propose outputs for REF2021

Research outputs in the period 2014 to 2020 (20)

It is no longer possible to propose new or modify existing outputs for REF2021.

- 2020**
- TEST 2020**
 Research output: Contribution to journal > Article
- 2018**
- Compulsivity in opioid dependence**
 Research output: Contribution to journal > Article
- Alcohol use disorders in People With Intellectual Disability**
 Research output: Contribution to journal > Review article

- Proposed for REF2021 (6)
- 1st** (Predicted grade: 3+)
- Compulsivity in opioid dependence -**
 REF2 (Output REF2021)
- 2nd** (Predicted grade: 4-)
- Multifaceted impairments in impulsivity and brain structural abnormalities in opioid dependence and abstinence -**
 REF2 (Output REF2021)
- 3rd** (Predicted grade: 3)
- Neuropsychological functioning and chronic methadone use -**
 REF2 (Output REF2021)

- id
- EDIT
- Metadata
- Propose research outputs for REF2021
- Associated user
- Automated search
- OVERVIEW
- Relations
- Display
- HISTORY AND COMMENTS
- History and comments

Person

It is no longer possible to propose new or modify existing outputs for REF2021.

Research outputs in the period 2014 to 2020

Proposed 6 All 20

6 results

1st

Compulsivity in opioid dependence
 Silliman-Holt, A.M., Holt, A.M., & Silliman-Holt, A.M. (2018). Compulsivity in Opioid Dependence. *Journal of Clinical Psychopharmacology & Therapeutics*, 47, p. 222-228. [View full text](#)

Research output: Contribution to journal > Article

Submitters reason for proposing
International impact. Experimental using neuroimaging and neurocognitive variables

Has this output arisen from interdisciplinary research?
 Yes

Please describe your contribution
 I lead this research portfolio and my involvement is from inception to writing the manuscript

Predicted grade 3+

2nd

Multifaceted impairments in impulsivity and brain structural abnormalities in opioid dependence and abstinence
 Silliman-Holt, A.M., Holt, A.M., & Silliman-Holt, A.M. (2018). Multifaceted Impairments in Impulsivity and Brain Structural Abnormalities in Opioid Dependence and Abstinence. *Psychological Medicine*, 48, p. 2021-2032.

Research output: Contribution to journal > Article

REF2 Output type and metadata field mapping


RELEASED : 5.3.0

Output type mapping

REF type	Pure research output templates	Notes
A - Authored book	Book/Report	
B - Edited book	Book/Report Special issue (type)	The special issue is a type on the Contribution to specialist publication template
C - Chapter in book	Chapter in Book/Report /Conference contribution	
R - Scholarly edition	Book/Report	
D - Journal article	Contribution to journal Contribution to specialist publication	
E - Conference contribution	Chapter in Book/Report /Conference contribution Contribution to conference Contribution to journal	
U - Working paper	Working paper	
L - Artefact	Non-textual form	
P - Devices and products	Non-textual form	
M - Exhibition	Non-textual form	
I - Performance	Non-textual form	
F - Patent/published patent application	Patent	
J - Composition	Non-textual form	
K - Design	Non-textual form	
N - Research report for external body	Book/Report	
O - Confidential report for external body	Book/Report	If the output is confidential and commissioned report or other report the type must be O
G - Software	Non-textual form	
H- Website content	Non-textual form	
Q - Digital or visual media	Non-textual form	
S - Research data sets and databases	Non-textual form	
V - Translation	All templates	
T - Other	Entry for encyclopedia/dictionary (type) Other contribution	The Entry for encyclopedia/dictionary is a type on the Chapter in Book/Report /Conference contribution template

REF2021 - REF2 Output type and metadata field mapping

In the first instance, the REF2 form in the REF2021 module makes use of the REF2 mappings agreed for REF2014. This will be updated once the REF2021 data requirements are known.

Document	Notes
REF2014 REF2 Output type and metadata fields mapping 	<ul style="list-style-type: none">• 'Mapping' tab shows the mapping of REF2014 output type to Pure output type, and the mapping of individual metadata fields• 'Requirements' tab shows the REF2 data requirements

REF2 - Predicted grades



UPDATED : 5.12.0

Enabling REF2 predicted grades

Enabling predicted grades allows for the following to be captured on REF2 records:

- Overall predicted grade (one per REF2)
- Peer predicted grades, comments, and names (multiple per REF2)

Enable predicted grade and peer comments for REF2

Whether to allow specifying predicted grade and peer comments on REF2. If disabled the fields are no longer visible, and are not shown on the REF2 summary page

On

Workflow for selection to REF2021

Selected for REF2021 *

- Proposed
 Selected for review
 Selected for REF2021
 Not selected for REF2021

Predicted grade and peer comments

Peer Comments

- Reviewer: JB Edit -
 Predicted grade: 3-
 Modified: 18/05/18
 Description: Mauris condimentum quis mauris vel feugiat. Ut consequat massa dolor, sed viverra massa commodo eu. Ut eleifend nunc ut mollis varius. Sed ac efficitur neque.
- Reviewer: JH Edit -
 Predicted grade: 3+
 Modified: 18/05/18
 Description: Pellentesque vitae neque pellentesque, iaculis lacus vel, vehicula erat. Fusce pretium metus gravida leo rutrum lobortis. Lorem ipsum dolor sit amet, consectetur adipiscing elit.

[Add peer comment](#)

Predicted Grade

REF2 predicted grade scales

From 5.12.0, there are two REF2 predicted grade scales available:

5-point (default)	n/g (not graded)	U/C	1	2	3	4								
13-point	n/g (not graded)	U/C	1-	1	1+	2-	2	2+	3-	3	3+	4-	4	4+

By default, the 5-point predicted grade scale is enabled*. To enable the 13-point scale, go to Administrator > Settings > REF2021 > Enable 13-point scale for REF2 predicted grades:

Enable 13-point scale for REF2 predicted grades

If enabled, the 13-point scale for REF2 predicted grades will be employed. If disabled, the standard 5-point scale will be employed. Further information is available in the REF2021 wi

On

When the 13-point scale is enabled:

- The REF2 summary screen continues to display indicative quality profiles using the 5-point scale
- If you decide to revert to the 5-point scale after having captured predicted grades on the 13-point scale, existing values on the 13-point scale will be maintained on the record and will not be migrated to the 5-point scale

* Prior to 5.12.3, the 13-point scale was enabled by default, in error. From 5.12.3, the 5-point scale is enabled by default.

Visibility of REF2 predicted grades

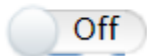
By default, REF2 predicted grades are only visible to those users with access to the REF2 record (e.g. Editor of REF2, REF Administrator). It is possible, if desired, to enable overall predicted grades to be visible to Personal users (note only OVERALL predicted grades - it is not possible to make peer predicted grades and comments visible to Personal users):

The screenshot shows a user interface for managing REF2 records. At the top, there are navigation tabs: 'My research', 'My profile', 'Supervision', and 'Propose outputs for REF2021'. Below the tabs, there is a section titled 'Research outputs in the period 2014 to 2020 (19)'. A button labeled 'Propose research outputs for REF2021' is visible. The main content area displays a list of research outputs, each with a predicted grade and a title. A red arrow points to the first entry: '1st (Predicted grade: 3+)' with the title 'Compulsivity in opioid dependence - Baldacchino, Alexander Mario'. Other entries include '2nd (Predicted grade: 4-)', '3rd (Predicted grade: 3)', and '4th (Predicted grade: 3-)'.

To enable overall predicted grades to be visible to Personal users on their Personal overview screen, go to Administrator > Settings > REF2 > Enable predicted grades for REF2 to be visible to Personal users:

Enable predicted grades for REF2 to be visible to Personal users

Enable to make REF2 Predicted grades visible to Personal users



Inputting / Editing REF2 predicted grades

Manually inputting / editing REF2 predicted grades

REF2 predicted grades can be manually input / edited by any user with access to REF2 (i.e. Editor / SuperEditor of REF2, REF2 Administrator, Editor / SuperEditor of UoA, REF Administrator, Administrator). Predicted grades are captured directly on the REF2 record. Predicted grades can be input once the REF2 has moved out of the 'Proposed' selection state:

Workflow for selection to REF2021

Selected for REF2021 *

Proposed Selected for review Selected for REF2021 Not selected for REF2021

Predicted grade & peer comments

Peer Comments

Predicted Grade

Peer Comments

Peer name

Predicted grade

Peer Comment

words 26

Workflow for selection to REF2021

Selected for REF2021 *

Proposed Selected for review Selected for REF2021 Not selected for REF2021

Predicted grade and peer comments

Peer Comments

Reviewer: JB Edit —
Predicted grade: 3-
Modified: 18/05/18
Description: Mauris condimentum quis mauris vel feugiat. Ut consequat massa dolor, sed viverra massa commodo eu. Ut eleifend nunc ut mollis varius. Sed ac efficitur neque.

Reviewer: JH Edit —
Predicted grade: 3+
Modified: 18/05/18
Description: Pellentesque vitae neque pellentesque, iaculis lacus vel, vehicula erat. Fusce pretium metus gravida leo rutrum lobortis. Lorem ipsum dolor sit amet, consectetur adipiscing elit.

Predicted Grade

Inputting / editing REF2 predicted grades in bulk

- [REF2 - Predicted Grade job](#) (bulk upload OVERALL predicted grades)
- [REF2 - Peer Comments job \(5.14 and later\)](#) (bulk upload peer names, comments, and predicted grades)
- [REF2 - Peer Comments job \(pre 5.14\)](#) (bulk upload peer names, comments, and predicted grades)

REF2 - Predicted Grade Job (5.14 and later)



RELEASED : 5.6.0
 UPDATED : 5.12.0, 5.14.0

REF2 : Predicted grade job

The **REF2 : Predicted grade job** enables the bulk addition of overall predicted grades to REF2 records, using an import file.

Workflow for selection to REF2021

Selected for REF2021 *

Proposed
 Selected for review
 Selected for REF2021
 Not selected for REF2021

Predicted grade and peer comments

Peer Comments

[Add peer comment](#)

Predicted Grade

4-



This page describes the updated REF2 : Predicted grade job from 5.14. If you are on an older version of Pure, you should refer to the [previous wiki page](#) for instructions.

REF2 : Predicted grade job :

Import file template



[REF2 predicted grade file template 5.14](#)

[REF2 predicted grade file template 5.17](#)

Notes for successful use of the REF2 predicted grade job

- REF2 records not included in the upload file will not be altered
- Any REF2 record included in the import file where the 'Workflow for selection to REF2021' is set to '**Selected for REF2021**' or the overall workflow status is '**REF2 Confirmed**', the REF2 record will not be altered.
- Any REF2 record included in the import file where the 'Workflow for selection to REF2021' is '**Proposed**', the selection status will be moved to '**Selected for Review**' and the overall predicted grade provided input (except where the 'predictedGrade' field is empty, in which case 'Not graded' will be selected as the Predicted grade, and the 'Workflow for selection to REF2021' will remain as '**Proposed**').
- This job acts as a 'sync once' function. Following the import, the overall predicted grade value will be editable by authorised users.
- **This job automatically overwrites any existing overall predicted grades on REF2 records included in the import file**

Creating the import file

Please use the template file provided above (and remove rows 2-10 of exemplar data). All columns in the template file must exist, but not all must be populated - see details below.

The file can be uploaded as .xls, .xlsx, or .csv file

- If using a .csv file, the following must be true for this .csv file:
 - The encoding must be UTF-8
 - The separator must be ;
 - The text delimiter must be "
 - It must not contain an empty line in the end of the file, i.e. the last line in the csv must contain text

Column	Expected content	Required?	Notes
outputID	e.g. 6343954	Y	This is the Research Output Pure ID (note NOT the REF2 ID) (with the new framework, Pure REF2 IDs are more volatile as REF2s are merged / deleted as REF1s move UoAs)
Output title	The title of	N	This column is for information only - it is not required to be populated, but it is required to exist (with the

	the Research Output		header). Where no title is provided or the title doesn't match that of the REF2 record, a WARNING will be generated, indicating that the title does not match.																																																																
UoA	e.g. 17	Y	This is the UoA number, which is used in combination with the outputID to identify the appropriate REF2 against which to assign the indicated predicted grade																																																																
UoA mult sub code	Capital letter - e.g. 'A'	Required if multiple submission is in affect for the given UoA	Added in 5.17 If multiple submission is in affect for the given UoA number then a capital letter is used here (in conjunction with the 'Peer Reviewer UoA' in the previous column) to indicate which multiple submission UoA this is for.																																																																
Predicted Grade	Examples: <ul style="list-style-type: none"> • unclassified • One • 3 	N	Note if the field is left empty "Not Graded" will be selected. Supported values for this column are the following: <table border="1" data-bbox="609 451 1453 1967"> <thead> <tr> <th colspan="2">5-point scale</th> <th colspan="2">13-point scale</th> </tr> <tr> <th>Actual value in REF2 editor</th> <th>Allowable values in import file</th> <th>Actual value in REF2 editor</th> <th>Allowable values in import file</th> </tr> </thead> <tbody> <tr> <td>Not graded</td> <td> <ul style="list-style-type: none"> • ng • n/g • na • n/a • notGraded • blank (i.e. no value in the field) </td> <td>Not graded</td> <td> <ul style="list-style-type: none"> • ng • n/g • na • n/a • notGraded • blank (i.e. no value in the field) </td> </tr> <tr> <td>Unclassified</td> <td> <ul style="list-style-type: none"> • u • u/c • uc • unclassified </td> <td>Unclassified</td> <td> <ul style="list-style-type: none"> • u • u/c • uc • unclassified </td> </tr> <tr> <td></td> <td></td> <td>1-</td> <td> <ul style="list-style-type: none"> • 1- • OneMinus </td> </tr> <tr> <td>1</td> <td> <ul style="list-style-type: none"> • 1 • One </td> <td>1</td> <td> <ul style="list-style-type: none"> • 1 • One </td> </tr> <tr> <td></td> <td></td> <td>1+</td> <td> <ul style="list-style-type: none"> • 1+ • OnePlus </td> </tr> <tr> <td></td> <td></td> <td>2-</td> <td> <ul style="list-style-type: none"> • 2- • TwoMinus </td> </tr> <tr> <td>2</td> <td> <ul style="list-style-type: none"> • 2 • Two </td> <td>2</td> <td> <ul style="list-style-type: none"> • 2 • Two </td> </tr> <tr> <td></td> <td></td> <td>2+</td> <td> <ul style="list-style-type: none"> • 2+ • TwoPlus </td> </tr> <tr> <td></td> <td></td> <td>3-</td> <td> <ul style="list-style-type: none"> • 3- • ThreeMinus </td> </tr> <tr> <td>3</td> <td> <ul style="list-style-type: none"> • 3 • Three </td> <td>3</td> <td> <ul style="list-style-type: none"> • 3 • Three </td> </tr> <tr> <td></td> <td></td> <td>3+</td> <td> <ul style="list-style-type: none"> • 3+ • ThreePlus </td> </tr> <tr> <td></td> <td></td> <td>4-</td> <td> <ul style="list-style-type: none"> • 4- • FourMinus </td> </tr> <tr> <td>4</td> <td> <ul style="list-style-type: none"> • 4 • Four </td> <td>4</td> <td> <ul style="list-style-type: none"> • 4 • Four </td> </tr> <tr> <td></td> <td></td> <td>4+</td> <td> <ul style="list-style-type: none"> • 4+ • FourPlus </td> </tr> </tbody> </table>	5-point scale		13-point scale		Actual value in REF2 editor	Allowable values in import file	Actual value in REF2 editor	Allowable values in import file	Not graded	<ul style="list-style-type: none"> • ng • n/g • na • n/a • notGraded • blank (i.e. no value in the field) 	Not graded	<ul style="list-style-type: none"> • ng • n/g • na • n/a • notGraded • blank (i.e. no value in the field) 	Unclassified	<ul style="list-style-type: none"> • u • u/c • uc • unclassified 	Unclassified	<ul style="list-style-type: none"> • u • u/c • uc • unclassified 			1-	<ul style="list-style-type: none"> • 1- • OneMinus 	1	<ul style="list-style-type: none"> • 1 • One 	1	<ul style="list-style-type: none"> • 1 • One 			1+	<ul style="list-style-type: none"> • 1+ • OnePlus 			2-	<ul style="list-style-type: none"> • 2- • TwoMinus 	2	<ul style="list-style-type: none"> • 2 • Two 	2	<ul style="list-style-type: none"> • 2 • Two 			2+	<ul style="list-style-type: none"> • 2+ • TwoPlus 			3-	<ul style="list-style-type: none"> • 3- • ThreeMinus 	3	<ul style="list-style-type: none"> • 3 • Three 	3	<ul style="list-style-type: none"> • 3 • Three 			3+	<ul style="list-style-type: none"> • 3+ • ThreePlus 			4-	<ul style="list-style-type: none"> • 4- • FourMinus 	4	<ul style="list-style-type: none"> • 4 • Four 	4	<ul style="list-style-type: none"> • 4 • Four 			4+	<ul style="list-style-type: none"> • 4+ • FourPlus
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Uploading the import file

Go to Administrator > Jobs > Create new job > REF2021 : REF2 Predicted Grade job

- It is recommended that you change the schedule to Interval > Manual, as it is expected that this job will be run only on demand, when new predicted grades are available for upload
- Job configuration
 - Select 'Default Configurations', then upload your import file

REF2021 : REF2 Predicted Grade Job

Sets the predicted grade on REF2 based on the provided mapping document. REF2 not included in this document will not be altered. NOTE REF2 where the 'Workflow for selection to REF2021' is set to 'Selected for REF2021' or status is 'REF2 Confirmed' the REF2 will not be altered. Please see the wiki for further documentation, including the format of the document and how to produce it.

Last run logged **14** success starting at 16. May 2018 19:50, running for 0:00:01 hours.

Runs job Ref2020REF2PredictedGradeSyncJob as user root

Schedule

Automatic cron job execution based on schedules is currently disabled.

[Change schedule](#) [Start Job now](#)

Configuration

Configure which user to run the job as, and any additional settings that apply to this job.

[Edit configuration](#)

Log entries

Start	Duration (hours)	Success	Warnings	Errors	Fatal errors
16. May 2018 19:50	0:00:01	14	0	0	0
16. May 2018 19:24	0:00:01	20	0	0	0
16. May 2018 19:13	0:00:01	20	0	0	0
30. Apr 2018 22:21	-----	2	0	0	1

REF2 - Predicted Grade Job - OLD



RELEASED : 5.6.0
 UPDATED : 5.12.0

REF2 : Predicted grade job

The **REF2 : Predicted grade job** enables the bulk addition of overall predicted grades to REF2 records, using an import file.

Workflow for selection to REF2021

Selected for REF2021 *

Proposed
 Selected for review
 Selected for REF2021
 Not selected for REF2021

Predicted grade and peer comments

Peer Comments

Predicted Grade

4-



This page describes the **OLD** REF2 : Predicted grade job, previous to 5.14. If you are on a version of Pure 5.14 or older, you should refer to the [new wiki page](#) for instructions.

REF2 : Predicted grade job :

Import file template



REF2 predicted grade

file template



Notes for successful use of the REF2 predicted grade job

- REF2 records not included in the upload file will not be altered
- Any REF2 record included in the import file where the 'Workflow for selection to REF2021' is set to **'Selected for REF2021'** or the overall workflow status is **'REF2 Confirmed'**, the REF2 record will not be altered.
- Any REF2 record included in the import file where the 'Workflow for selection to REF2021' is **'Proposed'**, the selection status will be moved to **'Selected for Review'** and the overall predicted grade provided input (except where the 'predictedGrade' field is empty, in which case 'Not graded' will be selected as the Predicted grade, and the 'Workflow for selection to REF2021' will remain as **'Proposed'**).
- This job acts as a 'sync once' function. Following the import, the overall predicted grade value will be editable by authorised users.
- **This job automatically overwrites any existing overall predicted grades on REF2 records included in the import file**

Creating the import file

Please use the template file provided above (and remove rows 2-5 of exemplar data). All columns in the template file must exist, but not all must be populated - see details below.

The file can be uploaded as .xls, .xlsx, or .csv file

- If using a .csv file, the following must be true for this .csv file:
 - The encoding must be UTF-8
 - The separator must be ;
 - The text delimiter must be "
 - It must not contain an empty line in the end of the file, i.e. the last line in the csv must contain text

Column	Expected content	Required?	Notes
staffREF20 20. staffREF20 20	The name of the individual against whom the REF2 is assigned	Y	This column is for the Person's name - the individual (REF1a/c) to whom this REF2 is associated.

researchOutput. researchOutput	The title of the Research Output	N	This column is for information only - it is not required to be populated, but it is required to exist (with the header). Where no title is provided or the title doesn't match that of the REF2 record, a WARNING will be generated, indicating that the title does not match.																																																																
id	e.g. 6343954	Y	This is the REF2 record's Pure ID, as found in the top left-hand corner of the REF2 Editor (and as found in REF2 Reporting under System info > Id)																																																																
predictedGrade	Examples: <ul style="list-style-type: none"> • unclassified • One • 3 	N	<p>Note if the field is left empty "Not Graded" will be selected. Supported values for this column are the following:</p> <table border="1"> <thead> <tr> <th colspan="2">5-point scale</th> <th colspan="2">13-point scale</th> </tr> <tr> <th>Actual value in REF2 editor</th> <th>Allowable values in import file</th> <th>Actual value in REF2 editor</th> <th>Allowable values in import file</th> </tr> </thead> <tbody> <tr> <td>Not graded</td> <td> <ul style="list-style-type: none"> • ng • n/g • na • n/a • notGraded • <i>blank (i.e. no value in the field)</i> </td> <td>Not graded</td> <td> <ul style="list-style-type: none"> • ng • n/g • na • n/a • notGraded • <i>blank (i.e. no value in the field)</i> </td> </tr> <tr> <td>Unclassified</td> <td> <ul style="list-style-type: none"> • u • u/c • uc • unclassified </td> <td>Unclassified</td> <td> <ul style="list-style-type: none"> • u • u/c • uc • unclassified </td> </tr> <tr> <td></td> <td></td> <td>1-</td> <td> <ul style="list-style-type: none"> • 1- • OneMinus </td> </tr> <tr> <td>1</td> <td> <ul style="list-style-type: none"> • 1 • One </td> <td>1</td> <td> <ul style="list-style-type: none"> • 1 • One </td> </tr> <tr> <td></td> <td></td> <td>1+</td> <td> <ul style="list-style-type: none"> • 1+ • OnePlus </td> </tr> <tr> <td></td> <td></td> <td>2-</td> <td> <ul style="list-style-type: none"> • 2- • TwoMinus </td> </tr> <tr> <td>2</td> <td> <ul style="list-style-type: none"> • 2 • Two </td> <td>2</td> <td> <ul style="list-style-type: none"> • 2 • Two </td> </tr> <tr> <td></td> <td></td> <td>2+</td> <td> <ul style="list-style-type: none"> • 2+ • TwoPlus </td> </tr> <tr> <td></td> <td></td> <td>3-</td> <td> <ul style="list-style-type: none"> • 3- • ThreeMinus </td> </tr> <tr> <td>3</td> <td> <ul style="list-style-type: none"> • 3 • Three </td> <td>3</td> <td> <ul style="list-style-type: none"> • 3 • Three </td> </tr> <tr> <td></td> <td></td> <td>3+</td> <td> <ul style="list-style-type: none"> • 3+ • ThreePlus </td> </tr> <tr> <td></td> <td></td> <td>4-</td> <td> <ul style="list-style-type: none"> • 4- • FourMinus </td> </tr> <tr> <td>4</td> <td> <ul style="list-style-type: none"> • 4 • Four </td> <td>4</td> <td> <ul style="list-style-type: none"> • 4 • Four </td> </tr> <tr> <td></td> <td></td> <td>4+</td> <td> <ul style="list-style-type: none"> • 4+ • FourPlus </td> </tr> </tbody> </table>	5-point scale		13-point scale		Actual value in REF2 editor	Allowable values in import file	Actual value in REF2 editor	Allowable values in import file	Not graded	<ul style="list-style-type: none"> • ng • n/g • na • n/a • notGraded • <i>blank (i.e. no value in the field)</i> 	Not graded	<ul style="list-style-type: none"> • ng • n/g • na • n/a • notGraded • <i>blank (i.e. no value in the field)</i> 	Unclassified	<ul style="list-style-type: none"> • u • u/c • uc • unclassified 	Unclassified	<ul style="list-style-type: none"> • u • u/c • uc • unclassified 			1-	<ul style="list-style-type: none"> • 1- • OneMinus 	1	<ul style="list-style-type: none"> • 1 • One 	1	<ul style="list-style-type: none"> • 1 • One 			1+	<ul style="list-style-type: none"> • 1+ • OnePlus 			2-	<ul style="list-style-type: none"> • 2- • TwoMinus 	2	<ul style="list-style-type: none"> • 2 • Two 	2	<ul style="list-style-type: none"> • 2 • Two 			2+	<ul style="list-style-type: none"> • 2+ • TwoPlus 			3-	<ul style="list-style-type: none"> • 3- • ThreeMinus 	3	<ul style="list-style-type: none"> • 3 • Three 	3	<ul style="list-style-type: none"> • 3 • Three 			3+	<ul style="list-style-type: none"> • 3+ • ThreePlus 			4-	<ul style="list-style-type: none"> • 4- • FourMinus 	4	<ul style="list-style-type: none"> • 4 • Four 	4	<ul style="list-style-type: none"> • 4 • Four 			4+	<ul style="list-style-type: none"> • 4+ • FourPlus
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Uploading the import file

Go to Administrator > Jobs > Create new job > REF2021 : REF2 Predicted Grade job

- It is recommended that you change the schedule to Interval > Manual, as it is expected that this job will be run only on demand, when new predicted grades are available for upload
- Job configuration
 - Select 'Default Configurations', then upload your import file

REF2021 : REF2 Predicted Grade Job

Sets the predicted grade on REF2 based on the provided mapping document. REF2 not included in this document will not be altered. NOTE REF2 where the 'Workflow for selection to REF2021' is set to 'Selected for REF2021' or status is 'REF2 Confirmed' the REF2 will not be altered. Please see the wiki for further documentation, including the format of the document and how to produce it.

Last run logged **14** success starting at 16. May 2018 19:50, running for 0:00:01 hours.

Runs job Ref2020REF2PredictedGradeSyncJob as user root

Schedule

Automatic cron job execution based on schedules is currently disabled.

[Change schedule](#) [Start job now](#)

Configuration

Configure which user to run the job as, and any additional settings that apply to this job.

[Edit configuration](#)

Log entries

Start	Duration (hours)	Success	Warnings	Errors	Fatal errors
16. May 2018 19:50	0:00:01	14	0	0	0
16. May 2018 19:24	0:00:01	20	0	0	0
16. May 2018 19:13	0:00:01	20	0	0	0
30. Apr 2018 22:21	-----	2	0	0	1

REF2 - Peer Comments job (5.14 and later)



RELEASED : 5.9.0
UPDATED : 5.12.0, 5.14.0, 5.17.0

REF2 : Peer comments job

The **REF2 Peer Comments job** enables the bulk addition of Peer names, Predicted grades, and Peer comments to REF2 records, using an import file.

Workflow for selection to REF2021

Selected for REF2021 *
 Proposed Selected for review Selected for REF2021 Not selected for REF2021

Predicted grade and peer comments

Peer Comments

Reviewer: AB Edit

Predicted grade: 4+

Modified: 24/05/18

Description: Sed blandit erat tellus, nec lobortis augue maximus ut. Curabitur orci purus, pulvinar tempor congue non, interdum vitae tellus.

[Add peer comment](#)

Predicted Grade

4+ ▼

This page describes the updated REF2 Peer Comments job from 5.14. If you are on an older version of Pure, you should refer to the [previous wiki page](#) for instructions.

REF2 : Peer comments job :

Import file template

[REF2 Peer comments file template 5.14](#)

[REF2 Peer comments file template 5.17](#)

Notes for successful use of the REF2 Peer comments job

- Outputs not included in the upload file will not be altered.
- The job supports multiple peer comments being uploaded per output; create one line per peer comment (see example file, which has 4 peer comments input for a single output 'Output A' and 6 for 'Output B')
- Where an output whose associated REF2 record(s) has a 'Workflow for selection to REF2021' of '**Proposed**', the selection status will be moved to '**Selected for Review**' and the Peer information provided input.
- **For 5.14 and up til 5.17.3 (not including)**
 - This job acts as a 'sync once' function. Following the import, the Peer information will be editable by authorised users.
 - Overwrite rules are as follows:
 - on the output, the job looks for the 'Peer name' from the import file
 - if the 'Peer name' doesn't already exist on the output, a new peer item is added with the 'Peer name', 'Peer predicted grade', and 'Peer comment' as per the import file
 - if the 'Peer name' already exists on the output, the existing 'Peer predicted grade' is overwritten with the 'Peer predicted grade' as per the import file (any comments that may exist for that output / Peer name combo in the import file are ignored (the job does not support overwriting existing Peer comments))
- **For 5.17.3 and later**
 - This job **no longer** acts as a 'sync once' function. Following the import, the Peer information will be editable by authorised users.
 - Overwrite rules are as follows:
 - on the output, the job looks for the 'Peer name' from the import file
 - if the 'Peer name' doesn't already exist on the output, a new peer item is added with the 'Peer name', 'Peer predicted grade', and 'Peer comment' as per the import file
 - if the 'Peer name' already exists on the output, the existing Peer values for 'Peer predicted grade', 'Peer comment' and 'Peer Review UoA' is overwritten with the values specified in the import file (any existing values that differ from the new ones are overwritten)
 - The REF2 filter named 'Duplicated Peer Comment Reviewer' can be used to find REF2s with multiple Peer Comments with the same Peer name (Reviewer in the UI)
 - 'Peer name' is now mandatory

Creating the import file

Please use the template file provided above (and remove rows 2-13 of exemplar data). All columns in the template file must exist, but not all must be populated - see details below.

The file can be uploaded as .xls, .xlsx, or .csv file

- If using a .csv file, the following must be true for this .csv file:
 - The encoding must be UTF-8
 - The separator must be ;
 - The text delimiter must be "
 - It must not contain an empty line in the end of the file, i.e. the last line in the csv must contain text

Column	Expected content	Required?	Notes																																												
OutputID	e.g. 6343954	Y	This is the Research Output record's Pure ID , as found in the top left-hand corner of the Research Output Editor (and as found in Research Output Reporting under System info > Id) (note NOT the REF2 ID - with the new framework, Pure REF2 IDs are more volatile as REF2s are merged / deleted as REF1s move UoAs, and with the new framework, Peer comments and grades are now stored on the Research Output, thereby enabling visibility of all peer comments / grades across all UoAs associated with the output)																																												
Output title	Research output title	N	This column is for information only - it is not required to be populated, but it is required to exist (with the header)																																												
Peer name	Name of the peer reviewer	N prior to 5.17.3 Y for 5.17.3 and later	You should try to ensure the value returned for Peer name is unique, given the overwrite rules that apply with this job																																												
Peer predicted grade	Examples: <ul style="list-style-type: none"> • unclassified • One • 3 	N	<p>Note if the field is left empty "Not Graded" will be selected. Supported values for this column are the following.</p> <p>Note that if a non-supported value is provided in the import file, the peer item will still be created (e.g. with the Peer name and/or Peer comment), but with no Peer predicted grade.</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">5-point scale</th> <th colspan="2">13-point scale</th> </tr> <tr> <th>Actual value in REF2 editor</th> <th>Allowable values in import file</th> <th>Actual value in REF2 editor</th> <th>Allowable values in import file</th> </tr> </thead> <tbody> <tr> <td>Not graded</td> <td> <ul style="list-style-type: none"> • blank (i.e. no value in the field) </td> <td>Not graded</td> <td> <ul style="list-style-type: none"> • blank (i.e. no value in the field) </td> </tr> <tr> <td>Unclassified</td> <td> <ul style="list-style-type: none"> • u • u/c • uc • unclassified </td> <td>Unclassified</td> <td> <ul style="list-style-type: none"> • u • u/c • uc • unclassified </td> </tr> <tr> <td></td> <td></td> <td>1-</td> <td> <ul style="list-style-type: none"> • 1- • OneMinus </td> </tr> <tr> <td>1</td> <td> <ul style="list-style-type: none"> • 1 • One </td> <td>1</td> <td> <ul style="list-style-type: none"> • 1 • One </td> </tr> <tr> <td></td> <td></td> <td>1+</td> <td> <ul style="list-style-type: none"> • 1+ • OnePlus </td> </tr> <tr> <td></td> <td></td> <td>2-</td> <td> <ul style="list-style-type: none"> • 2- • TwoMinus </td> </tr> <tr> <td>2</td> <td> <ul style="list-style-type: none"> • 2 • Two </td> <td>2</td> <td> <ul style="list-style-type: none"> • 2 • Two </td> </tr> <tr> <td></td> <td></td> <td>2+</td> <td> <ul style="list-style-type: none"> • 2+ • TwoPlus </td> </tr> <tr> <td></td> <td></td> <td>3-</td> <td> <ul style="list-style-type: none"> • 3- • ThreeMinus </td> </tr> </tbody> </table>	5-point scale		13-point scale		Actual value in REF2 editor	Allowable values in import file	Actual value in REF2 editor	Allowable values in import file	Not graded	<ul style="list-style-type: none"> • blank (i.e. no value in the field) 	Not graded	<ul style="list-style-type: none"> • blank (i.e. no value in the field) 	Unclassified	<ul style="list-style-type: none"> • u • u/c • uc • unclassified 	Unclassified	<ul style="list-style-type: none"> • u • u/c • uc • unclassified 			1-	<ul style="list-style-type: none"> • 1- • OneMinus 	1	<ul style="list-style-type: none"> • 1 • One 	1	<ul style="list-style-type: none"> • 1 • One 			1+	<ul style="list-style-type: none"> • 1+ • OnePlus 			2-	<ul style="list-style-type: none"> • 2- • TwoMinus 	2	<ul style="list-style-type: none"> • 2 • Two 	2	<ul style="list-style-type: none"> • 2 • Two 			2+	<ul style="list-style-type: none"> • 2+ • TwoPlus 			3-	<ul style="list-style-type: none"> • 3- • ThreeMinus
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						4-	<ul style="list-style-type: none"> • 4- • FourMinus
			4	<ul style="list-style-type: none"> • 4 • Four 		4	<ul style="list-style-type: none"> • 4 • Four
						4+	<ul style="list-style-type: none"> • 4+ • FourPlus
Peer Comment	The actual peer comment	N	This can be left empty. This is the actual peer comment which can be imported.				
Peer Review UoA	UoA number 1-34	N	This can be left empty. Which Unit of Assessment is this peer review done in context of. This ensure that the peer comment only can be seen in this particular UoA.				
Peer Review UoA mult sub code	Capital letter - e.g. 'A'	Required if multiple submission is in effect for the given UoA	Added in 5.17 If multiple submission is in affect for the given UoA number then a capital letter is used here (in conjunction with the 'Peer Reviewer UoA' in the previous column) to indicate which multiple submission UoA this is for.				

Uploading the import file

Go to Administrator > Jobs > Create new job > REF2021 : REF2 Peer Comments job

- It is recommended that you change the schedule to Interval > Manual, as it is expected that this job will be run only on demand, when new peer predicted grades are available for upload
- Job configuration
 - Select 'Default Configurations', then upload your import file

REF2021 : REF2 Peer Comments Job

Adds peer comments to REF2 content based on the provided document.

WARNING. You and your users will likely experience significant performance issues in the REF module should you attempt to capture peer grades and comments for significantly more outputs than would be expected to be included in the REF2021 submission.

Last run logged 6 success starting at 24. May 2018 21:50, running for 0:00:04 hours.

Runs job Ref2020REF2PeerCommentsSyncCronJob as user root

Schedule

Automatic cron job execution based on schedules is currently disabled.

Configuration

Configure which user to run the job as, and any additional settings that apply to this job.

Log entries

Start	Duration (hours)	Success	Warnings	Errors	Fatal errors
24. May 2018 21:50	0:00:04	6	0	0	0
24. May 2018 21:33	0:00:01	3	0	5	0
24. May 2018 19:51	0:00:00	3	0	10	0
24. May 2018 19:45	0:00:01	4	0	0	0
24. May 2018 19:41	0:00:00	3	17	14	0

REF2 - Peer Comments job (pre 5.14)



RELEASED : 5.9.0
UPDATED : 5.12.0

REF2 : Peer comments job

The **REF2 Peer Comments job** enables the bulk addition of Peer names, Predicted grades, and Peer comments to REF2 records, using an import file.

Workflow for selection to REF2021

Selected for REF2021 *
 Proposed Selected for review Selected for REF2021 Not selected for REF2021

Predicted grade and peer comments

Peer Comments

Reviewer: AB Edit

Predicted grade: 4+

Modified: 24/05/18

Description: Sed blandit erat tellus, nec lobortis augue maximus ut. Curabitur orci purus, pulvinar tempor congue non, interdum vitae tellus.

[Add peer comment](#)

Predicted Grade

4+ ▼

This page describes the **OLD** REF2 : Peer comments job, previous to 5.14. If you are on a version of Pure 5.14 or older, you should refer to the [new wiki page](#) for instructions.

REF2 : Peer comments job :

Import file template

[REF2 Peer comments file template](#)

Notes for successful use of the REF2 Peer comments job

- REF2 records not included in the upload file will not be altered.
- The job supports multiple peer comments being uploaded per REF2; create one line per peer comment (see example file, which has 6 peer comments input for a single output 'The Loupe')
- Any REF2 record included in the import file where the 'Workflow for selection to REF2021' is '**Proposed**', the selection status will be moved to '**Selected for Review**' and the Peer information provided input.
- This job acts as a 'sync once' function. Following the import, the Peer information will be editable by authorised users.
- Overwrite rules are as follows:
 - on the REF2, the job looks for the Peer name from the import file
 - if the Peer name doesn't already exist on REF2, a new peer item is added with the Peer name, Peer predicted grade, and Peer comment as per the import file
 - if the Peer name already exists on the REF2, the existing Peer predicted grade is overwritten with the Peer predicted grade as per the import file (any comments that may exist for that REF2 / Peer name combo in the import file are ignored (the job does not support overwriting existing Peer comments))

Creating the import file

Please use the template file provided above (and remove rows 2-8 of exemplar data). All columns in the template file must exist, but not all must be populated - see details below.

The file can be uploaded as .xls, .xlsx, or .csv file

- If using a .csv file, the following must be true for this .csv file:
 - The encoding must be UTF-8
 - The separator must be ;
 - The text delimiter must be "
 - It must not contain an empty line in the end of the file, i.e. the last line in the csv must contain text

Column	Expected content	Required?	Notes																																																								
REF2 ID	e.g. 6343954	Y	This is the REF2 record's Pure ID, as found in the top left-hand corner of the REF2 Editor (and as found in REF2 Reporting under System info > Id)																																																								
REF2 Title	REF2 Output title	N	This column is for information only - it is not required to be populated, but it is required to exist (with the header)																																																								
Associated REF1a/c first name	This column is for the Person's first name - the individual (REF1a/c) to whom this REF2 is associated.	N	This column is for information only - it is not required to be populated, but it is required to exist (with the header)																																																								
Associated REF1a/c last name	This column is for the Person's last name - the individual (REF1a/c) to whom this REF2 is associated.	N	This column is for information only - it is not required to be populated, but it is required to exist (with the header)																																																								
Peer name	Name of the peer reviewer	N	You should try to ensure the value returned for Peer name is unique, given the overwrite rules that apply with this job																																																								
Peer predicted grade	<p>Examples:</p> <ul style="list-style-type: none"> • unclassified • One • 3 	N	<p>Note if the field is left empty "Not Graded" will be selected. Supported values for this column are the following.</p> <p>Note that if a non-supported value is provided in the import file, the peer item will still be created (e.g. with the Peer name and/or Peer comment), but with no Peer predicted grade.</p> <table border="1"> <thead> <tr> <th colspan="2">5-point scale</th> <th colspan="2">13-point scale</th> </tr> <tr> <th>Actual value in REF2 editor</th> <th>Allowable values in import file</th> <th>Actual value in REF2 editor</th> <th>Allowable values in import file</th> </tr> </thead> <tbody> <tr> <td>Not graded</td> <td> <ul style="list-style-type: none"> • blank (i.e. no value in the field) </td> <td>Not graded</td> <td> <ul style="list-style-type: none"> • blank (i.e. no value in the field) </td> </tr> <tr> <td>Unclassified</td> <td> <ul style="list-style-type: none"> • u • u/c • uc • unclassified </td> <td>Unclassified</td> <td> <ul style="list-style-type: none"> • u • u/c • uc • unclassified </td> </tr> <tr> <td></td> <td></td> <td>1-</td> <td> <ul style="list-style-type: none"> • 1- • OneMinus </td> </tr> <tr> <td>1</td> <td> <ul style="list-style-type: none"> • 1 • One </td> <td>1</td> <td> <ul style="list-style-type: none"> • 1 • One </td> </tr> <tr> <td></td> <td></td> <td>1+</td> <td> <ul style="list-style-type: none"> • 1+ • OnePlus </td> </tr> <tr> <td></td> <td></td> <td>2-</td> <td> <ul style="list-style-type: none"> • 2- • TwoMinus </td> </tr> <tr> <td>2</td> <td> <ul style="list-style-type: none"> • 2 • Two </td> <td>2</td> <td> <ul style="list-style-type: none"> • 2 • Two </td> </tr> <tr> <td></td> <td></td> <td>2+</td> <td> <ul style="list-style-type: none"> • 2+ • TwoPlus </td> </tr> <tr> <td></td> <td></td> <td>3-</td> <td> <ul style="list-style-type: none"> • 3- • ThreeMinus </td> </tr> <tr> <td>3</td> <td> <ul style="list-style-type: none"> • 3 • Three </td> <td>3</td> <td> <ul style="list-style-type: none"> • 3 • Three </td> </tr> <tr> <td></td> <td></td> <td>3+</td> <td> <ul style="list-style-type: none"> • 3+ • ThreePlus </td> </tr> <tr> <td></td> <td></td> <td>4-</td> <td> <ul style="list-style-type: none"> • 4- • FourMinus </td> </tr> </tbody> </table>	5-point scale		13-point scale		Actual value in REF2 editor	Allowable values in import file	Actual value in REF2 editor	Allowable values in import file	Not graded	<ul style="list-style-type: none"> • blank (i.e. no value in the field) 	Not graded	<ul style="list-style-type: none"> • blank (i.e. no value in the field) 	Unclassified	<ul style="list-style-type: none"> • u • u/c • uc • unclassified 	Unclassified	<ul style="list-style-type: none"> • u • u/c • uc • unclassified 			1-	<ul style="list-style-type: none"> • 1- • OneMinus 	1	<ul style="list-style-type: none"> • 1 • One 	1	<ul style="list-style-type: none"> • 1 • One 			1+	<ul style="list-style-type: none"> • 1+ • OnePlus 			2-	<ul style="list-style-type: none"> • 2- • TwoMinus 	2	<ul style="list-style-type: none"> • 2 • Two 	2	<ul style="list-style-type: none"> • 2 • Two 			2+	<ul style="list-style-type: none"> • 2+ • TwoPlus 			3-	<ul style="list-style-type: none"> • 3- • ThreeMinus 	3	<ul style="list-style-type: none"> • 3 • Three 	3	<ul style="list-style-type: none"> • 3 • Three 			3+	<ul style="list-style-type: none"> • 3+ • ThreePlus 			4-	<ul style="list-style-type: none"> • 4- • FourMinus
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			4	<ul style="list-style-type: none"> • 4 • Four 	4	<ul style="list-style-type: none"> • 4 • Four
					4+	<ul style="list-style-type: none"> • 4+ • FourPlus
Peer comment	The peer comment provided by the peer reviewer	N				

Uploading the import file

Go to Administrator > Jobs > Create new job > REF2021 : REF2 Peer Comments job

- It is recommended that you change the schedule to Interval > Manual, as it is expected that this job will be run only on demand, when new peer predicted grades are available for upload
- Job configuration
 - Select 'Default Configurations', then upload your import file

REF2021 : REF2 Peer Comments Job

Adds peer comments to REF2 content based on the provided document.

WARNING: You and your users will likely experience significant performance issues in the REF module should you attempt to capture peer grades and comments for significantly more outputs than would be expected to be included in the REF2021 submission.

Last run logged **6** success starting at 24. May 2018 21:50, running for 0:00:04 hours.

Runs job Ref2020REF2PeerCommentsSyncCronJob as user root

Schedule

Automatic cron job execution based on schedules is currently disabled.

Configuration

Configure which user to run the job as, and any additional settings that apply to this job.

Log entries

Start	Duration (hours)	Success	Warnings	Errors	Fatal errors
24. May 2018 21:50	0:00:04	6	0	0	0
24. May 2018 21:33	0:00:01	3	0	5	0
24. May 2018 19:51	0:00:00	3	0	10	0
24. May 2018 19:45	0:00:01	4	0	0	0
24. May 2018 19:41	0:00:00	3	17	14	0

REF2 - Restrictions



RELEASED : 5.3.0
UPDATED : 5.12.1

REF2 restrictions : Associated Research Outputs

Research Outputs can be selected to be locked (i.e. only readable) outside the REF module if it is in any workflow step beyond 'Entry in progress'. This can be done by the Administrator, via the REF2021 settings (Administrator > System settings > REF2021):

Setting	Description
Lock associated Research Output	Locks the associated research output record for non-REF Editors when the REF2 workflow status is either 'REF2 Checking Underway' or 'REF2 Confirmed'.

REF2 restrictions : Other restrictions

Details of other restrictions on REF2 actions (e.g. proposing outputs, editing proposal text and rankings) are available [here](#) (see 'Configurations for restrictions' section).

REF3 - Impact



REF3 : Impact

REF3 tracks impact of research, as determined by the REF2021 requirements.

Note: With Pure 5.16.0 the REF2021 module has been updated to make changes to REF3. See Release notes. ([link](#))

Difference to REF2014

In REF2014 two content types, REF3a and REF3b were used. In REF2021 there is only one content type, REF3. This uses data that was previously the content type REF3b. The previous REF3a content type is deleted upon upgrade to 5.16.0 as this is not needed for the REF2021 submission.

Who can access REF3 (roles)

Role	Global/UoA	REF3
REF2021 Administrator	Global	Create Edit Workflow (Step 1-3) Delete
Editor of Unit of Assessment	UoA	Create Edit Workflow (Step 1-2) Delete
Supereditor of Unit of Assessment	UoA	Create Edit Workflow (Step 1-3) Delete
Editor of REF3	UoA	Create Edit Workflow (Step 1-3) Delete
REF2021 Reporter	UoA	View

Where to access REF3

You can access REF3 records from REF2021 > REF3 in the content list view.

Click a REF3 record to open the REF3 editor window.

REF4a - Doctoral degrees awarded



RELEASE VERSION : 5.3.0

REF4a Synchronisation job

The **REF4a Synchronisation job** is used to synchronise REF4a Doctoral Degrees Awarded data into the REF module. This is the only means of getting REF4a data into the REF module - it cannot be manually created.

The job can be configured in one of three ways, depending on the source of data you wish to use, and the level of detail you wish to be available in the REF module:

- EXCEL_DETAILS
- EXCEL_SUMMARY

The EXCEL_DETAILS configurations allow details of the REF4a data to be enquired directly in Pure, and allows REF4a data to be viewed by supervisor - for example in an individual's REF1 form:

The screenshot shows a supervisor's REF1 form with a section for 'REF4a: Doctoral Degrees Awarded'. It includes a summary table and a detailed table.

Summary		2013/14	2014/15	2015/16	2016/17	2017/18
		0.50	0.00	0.00	1.00	0.00

Detail		2013/14	2014/15	2015/16	2016/17	2017/18
Student	UwA					
Student A		1	0.50	0.00	0.00	0.00
Student C		1	0.00	0.00	0.00	1.00
Student D		1	0.00	0.00	0.00	0.00
Total		0.50	0.00	0.00	1.00	0.00

Individual's REF1 form

As this job is a synchronisation, if values are no longer present in the source data, they are deleted from the REF4a tables. If you switch from EXCEL_DETAILS sync types, ALL existing REF4a detail is deleted.

REF4a Synchronisation job :

Import file templates

- REF4a EXCEL_DETAILS**
 import file template
- REF4a EXCEL_SUMMARY**
 import file template

PURE

If you select the PURE configuration, REF4a data will be generated directly in Pure, using synchronised student data. REF4a details are created for all students in Pure with an award date within the REF2021 REF4a census period.

They will have a supervisor association created for each supervisor in Pure. The student award is split using the percentage value on a supervisor association in Pure. If percentage is not set, the supervisor association is not used.

NOTE that this configuration has not yet been tested in the REF2021 module. Customers are free to use this configuration, and as the functionality has not been changed since REF2014, we expect the synchronisation to work without problem. But it would be recommended that you inform us of your intention to do so, so that we can undertake testing.

Setting up the job to synchronise with Pure student data

This job will update the REF4a form with student data from Pure.

1. Set up the Job

Administrator > Jobs > Create new job > REF2021 : REF4a synchronisation job

- As it is likely that you will want this job to run automatically, you should change the schedule to the desired frequency
- Job configuration
 - Default Configurations
 - Specify the student types you wish to limit the job to
 - REF4a sync type > Select EXCEL_SUMMARY

2. Run the Job

EXCEL_DETAILS

The EXCEL_DETAILS job allows you to upload REF4a data at a detailed level, including student and supervisor names.

Creating the import file

Columns required are (see the file template below):

Column	Expected value	Notes
Supervisor id		<ul style="list-style-type: none"> Required In the job configuration (see below), it is possible to specify what type of ID you want to use (e.g. Pure ID, Employee ID)
Supervisor name		<ul style="list-style-type: none"> Required if Supervisor ID cannot be found in Pure
UoA number	1-34	<ul style="list-style-type: none"> If none specified, no UoA will be assigned. But if the Supervisor has a UoA assignment in either REF1a/c or on the Person record, then this is used. After import, you can override the UoA if the student should be submitted in another UoA than the supervisor.
UoA mult sub code	BLANK or single character A-Z	<ul style="list-style-type: none"> Only specify a single character if Multiple Submission functionality is enabled for REF2021 Multiple Submission UoA code is case sensitive and must be Capitals, i.e. 'A', not 'a'
Student name		<ul style="list-style-type: none"> Required if Student ID cannot be found in Pure
Student id		<ul style="list-style-type: none"> Required In the job configuration (see below), it is possible to specify what type of ID you want to use (e.g. Pure ID, Student ID) In the job configuration (see below), you can specify whether you want to log a warning (default behaviour), info, or nothing when no student with the specified ID is found
2013/14	0-1	<ul style="list-style-type: none"> You must specify a value (between 0 and 1) in ONE of the year columns No validation is performed to check whether your total count for a student is 1.0, or whether you have set the student to have an award in 2 different years for different supervisors The values used here will be rounded to two decimals when being imported
2014/15	0-1	
2015/16	0-1	
2016/17	0-1	
2017/18	0-1	
2018/19	0-1	
2019/20	0-1	

Uploading the EXCEL_DETAILS import file

As described above, this job will update the REF4a form with the listed data. To run this job, you must use the import file format described above (see the attached example below). If the import file is not valid, the job will fail to run.

1. Set up the Job

Administrator > Jobs > Create new job > REF2021 : REF4a synchronisation job

- As it is likely that you only want to run this job on demand, you should change the schedule to Interval > Manual
- Job configuration
 - Default Configurations
 - Select whether to allow a student to have completed 2 PhDs with the same supervisor (the default is OFF)
 - Excel document for EXCEL_DETAILS sync > Upload your import file
 - REF4a sync type > Select EXCEL_DETAILS

- Specify the type of student ID you want to use (PURE, SOURCE_ID, STUDENT_ID)
- Specify what log information you want if no student was found with the provided ID (WARN, INFO, NONE) - WARN is recommended
- Specify the type of supervisor ID you want to use (PURE, SOURCE_ID, EMPLOYEE_ID, STAFF_ID, HESA_ID)

2. Run the Job

3. Job logic

- The Job reads the import file and validates it (e.g. correct amount of columns, correct file type) - if the file fails validation, the job will fail.

EXCEL_SUMMARY

The EXCEL_SUMMARY job allows you to upload REF4a data as it is to be submitted to REF, at the summary level. When using this sync type, no REF4a details will be available, only the summary page.

Creating the import file

Columns required are (see the file template below):

Column	Expected value	Notes
UoA number	1-34	<ul style="list-style-type: none"> • While you may not be submitting all UoAs, all UoAs should be listed - for UoAs not being used, just leave the year fields blank
UoA mult sub code	BLANK or single character A-Z	<ul style="list-style-type: none"> • Only specify a single character if Multiple Submission functionality is enabled for REF2021 • Multiple Submission UoA code is case sensitive and must be Capitals, i.e. 'A', not 'a'
2013/14		<ul style="list-style-type: none"> • The values used here will be rounded to two decimals when being imported
2014/15		
2015/16		
2016/17		
2017/18		
2018/19		
2019/20		

Uploading the EXCEL_SUMMARY import file

As described above, this job will update the REF4a form with the listed data. To run this job, you must use the import file format described above (see the attached example below). If the import file is not valid, the job will fail to run.

1. Set up the Job

Administrator > Jobs > Create new job > REF2021 : REF4a synchronisation job

- As it is likely that you only want to run this job on demand, you should change the schedule to Interval > Manual
- Job configuration
 - Default Configurations
 - Excel document for EXCEL_SUMMARY sync > Upload your import file
 - REF4a sync type > Select EXCEL_SUMMARY

2. Run the Job

3. Job logic

- The Job reads the import file and validates it (e.g. correct amount of columns, correct file type) - if the file fails validation, the job will fail.



REF4b - Research Income

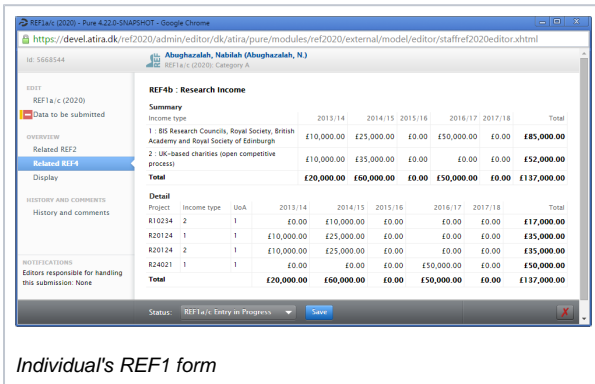
REF4b Synchronisation job

The **REF4b Synchronisation job** is used to synchronise REF4b Research Income data into the REF module. This is the only means of getting REF4b data into the REF module - it cannot be manually created.

The job can be configured in one of three ways, depending on the source of data you wish to use, and the level of detail you wish to be available in the REF module:

- EXCEL_DETAILS
- EXCEL_SUMMARY

The EXCEL_DETAILS configurations allow details of the REF4b data to be enquired directly in Pure, and allows REF4b data to be viewed by grant holder - for example, in an individual's REF1 form:



Individual's REF1 form

As this job is a synchronisation, if values are no longer present in the source data, they are deleted from the REF4b tables. If you switch from EXCEL_DETAILS sync types, ALL existing REF4b detail is deleted.

REF4b Synchronisation job : Import file templates

- REF4b EXCEL_DETAILS**
 import file template
- REF4b EXCEL_SUMMARY**
 import file template

1.1. EXCEL_DETAILS

The EXCEL_DETAILS job allows you to upload REF4b data at a detailed level, including grant IDs and grant holder names.

1.1.1.1. Creating the import file

Columns required are (see the file template below):

Column	Expected value	Notes
Grant Holder Id		<ul style="list-style-type: none"> • Required • In the job configuration (see below), it is possible to specify what type of ID you want to use (e.g. Pure ID, Employee ID)
Grant Holder Name		<ul style="list-style-type: none"> • Required if Grant Holder ID cannot be found in Pure
UoA number	1-34	<ul style="list-style-type: none"> • If none specified, no UoA will be assigned. But if the grant holder has a UoA assignment in either REF1a /c or on the Person record, then this is used.

		<ul style="list-style-type: none"> After import, you can override the UoA if the grant should be submitted in another UoA than the grant holder.
UoA mult sub code	BLANK or single character A-Z	<ul style="list-style-type: none"> Only specify a single character if Multiple Submission functionality is enabled for REF2021 Multiple Submission UoA code is case sensitive and must be Capitals, i.e. 'A', not 'a'
Project ID	Project PURE ID or a Project Name	<ul style="list-style-type: none"> Required Pure ID of a related Project in Pure. If no Pure Project is found with the given ID it will not be linked to a Pure project, but the value entered here will be shown as the name of the Project in the REF4b editor
Income Type	1-15	<ul style="list-style-type: none"> Required Must be a number between 1-15, see Annex A in the 'Guidance on import/export file formats' document at https://www.ref.ac.uk/guidance/submission-system-data-requirements/ Income Type 15 is only valid for Panel A (UoAs 1-6)
2013/14		<ul style="list-style-type: none"> The values used here will be rounded to two decimals when being imported
2014/15		
2015/16		
2016/17		
2017/18		
2018/19		
2019/20		

1.1.1.2. Uploading the EXCEL_DETAILS import file

As described above, this job will update the REF4b form with the listed data. To run this job, you must use the import file format described above (see the attached example below). If the import file is not valid, the job will fail to run.

<p>1. Set up the Job</p> <p>Administrator > Jobs > Create new job > REF2021 : REF4b synchronisation job</p> <ul style="list-style-type: none"> As it is likely that you only want to run this job on demand, you should change the schedule to Interval > Manual Job configuration <ul style="list-style-type: none"> Default Configurations <ul style="list-style-type: none"> Excel document for EXCEL_DETAILS sync > Upload your import file REF4b sync type > Select EXCEL_DETAILS Specify the type of grant holder ID you want to use (PURE, SOURCE_ID, EMPLOYEE_ID, STAFF_ID, HESA_ID)
<p>2. Run the Job</p>
<p>3. Job logic</p> <ul style="list-style-type: none"> The Job reads the import file and validates it (e.g. correct amount of columns, correct file type) - if the file fails validation, the job will fail.

1.2. EXCEL_SUMMARY

The EXCEL_SUMMARY job allows you to upload REF4b data as it is to be submitted to REF, at the summary level. When using this sync type, no REF4b details will be available, only the summary page.

1.2.1.1. Creating the import file

Columns required are (see the file template below):

Column	Expected value	Notes
UoA number	1-34	<ul style="list-style-type: none"> For each UoA being submitted, there should be one line for each Income type

		<ul style="list-style-type: none"> While you may not be submitting all UoAs, all UoAs should be listed - for UoAs not being used, just leave the Income type and Year fields blank
UoA mult sub code	BLANK or single character A-Z	<ul style="list-style-type: none"> Only specify a single character if Multiple Submission functionality is enabled for REF2021 Multiple Submission UoA code is case sensitive and must be Capitals, i.e. 'A', not 'a'
Income type	1-15	<ul style="list-style-type: none"> Required Must be a number between 1-15, see Annex A in the 'Guidance on import/export file formats' document at https://www.ref.ac.uk/guidance/submission-system-data-requirements/ Income Type 15 is only valid for Panel A (UoAs 1-6)
2013/14		<ul style="list-style-type: none"> The values used here will be rounded to two decimals when being imported
2014/15		
2015/16		
2016/17		
2017/18		
2018/19		
2019/20		

1.2.1.2. Uploading the EXCEL_SUMMARY import file

As described above, this job will update the REF4b form with the listed data. To run this job, you must use the import file format described above (see the attached example below). If the import file is not valid, the job will fail to run.

1.	<p>Set up the Job</p> <p>Administrator > Jobs > Create new job > REF2021 : REF4b synchronisation job</p> <ul style="list-style-type: none"> As it is likely that you only want to run this job on demand, you should change the schedule to Interval > Manual Job configuration <ul style="list-style-type: none"> Default Configurations <ul style="list-style-type: none"> Excel document for EXCEL_SUMMARY sync > Upload your import file REF4b sync type > Select EXCEL_SUMMARY
2.	<p>Run the Job</p>
3.	<p>Job logic</p> <ul style="list-style-type: none"> The Job reads the import file and validates it (e.g. correct amount of columns, correct file type) - if the file fails validation, the job will fail.

REF4c - Research income-in-kind



RELEASE VERSION : 5.17.0

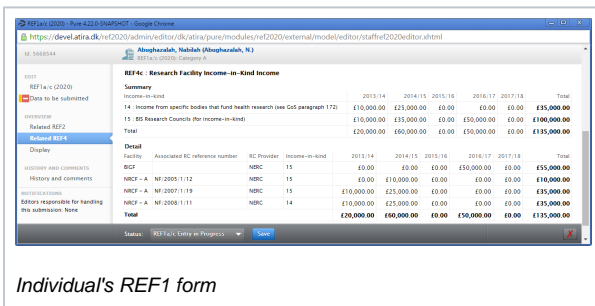
REF4c Synchronisation job

The **REF4c Synchronisation job** is used to synchronise REF4c Research Income-in-kind data into the REF module. This is the only means of getting REF4c data into the REF module - it cannot be manually created.

The job can be configured in one of two ways, depending on the level of detail you wish to be available in the REF module:

- EXCEL_DETAILS
- EXCEL_SUMMARY

The EXCEL_DETAILS configuration allows details of the REF4c data to be enquired directly in Pure, and allows REF4c data to be viewed by Principal Investigator - for example, in an individual's REF1 form:



Individual's REF1 form

As this job is a synchronisation, if values are no longer present in the source data, they are deleted from the REF4c tables. If you switch from EXCEL_DETAILS, ALL existing REF4c detail is deleted.

REF4c Synchronisation job :

Import file templates



**REF2021 REF4c
Details Excel import
file template**

**REF2021 REF4c
Summary Excel import
file template**

EXCEL_DETAILS

The EXCEL_DETAILS job allows you to upload REF4c data at a detailed level, including grant IDs and grant holder names.

Creating the import file

Columns required are (see the file template below):

Column	Expected value	Notes
PI Id		<ul style="list-style-type: none"> • Required • In the job configuration (see below), it is possible to specify what type of ID you want to use (e.g. Pure ID, Employee ID) • This will link to the Person, based in the ID selected, not the REF1
PI name		<ul style="list-style-type: none"> • Required if PI ID cannot be found in Pure
UoA number	1-34	<ul style="list-style-type: none"> • If none specified, no UoA will be assigned. But if the PI has a UoA assignment in either REF1a/c or on the Person record, then this is used. • After import, you can override the UoA if the income-in-kind should be submitted in another UoA than the PI.

UoA mult sub code	BLANK or single character A-Z	<ul style="list-style-type: none"> Only specify a single character if Multiple Submission functionality is enabled for REF2021 Multiple Submission UoA code is case sensitive and must be Capitals, i.e. 'A', not 'a'
Income-in-kind	16-17	<ul style="list-style-type: none"> Required Must be a number between 16-17, see Annex A in the 'Guidance on import/export file formats' document at https://www.ref.ac.uk/guidance/submission-system-data-requirements/ Income-in-kind 17 is only valid for Panel A (UoA 1-6)
Facility		<ul style="list-style-type: none"> These 3 fields are used as the 'title' for facility time income-in-kind in Pure At least one of Facility or Associated RC Reference Number is required Logic: <ul style="list-style-type: none"> If the same PI is listed more than once in the list, then a 'facility time' item is added in REF4c for each combination of Facility + Associated RC Reference Number If a PI has several occurrences in the same year of the same combination of Facility + Associated RC Reference Number, then that year's values are summed together If there are several occurrences of the same Facility + Associated RC Reference Number, then the UOA and Income-in-Kind columns must be the same
Associated RC Reference Number		
RC Provider		
2013/14		<ul style="list-style-type: none"> The values used here will be rounded to two decimals when being imported
2014/15		
2015/16		
2016/17		
2017/18		
2018/19		
2019/20		

Uploading the EXCEL_DETAILS import file

As described above, this job will update the REF4c form with the listed data. To run this job, you must use the import file format described above (see the attached example below). If the import file is not valid, the job will fail to run.

<p>1. Set up the Job</p>	<p>Administrator > Jobs > Create new job > REF2021 : REF4c synchronisation job</p> <ul style="list-style-type: none"> As it is likely that you only want to run this job on demand, you should change the schedule to Interval > Manual Job configuration <ul style="list-style-type: none"> Default Configurations <ul style="list-style-type: none"> Excel document for EXCEL_DETAILS sync > Upload your import file REF4c sync type > Select EXCEL_DETAILS Specify the type of PI ID you want to use (PURE, SOURCE_ID, EMPLOYEE_ID, STAFF_ID, HESA_ID)
<p>2. Run the Job</p>	
<p>3. Job logic</p>	<ul style="list-style-type: none"> The Job reads the import file and validates it (e.g. correct amount of columns, correct file type) - if the file fails validation, the job will fail.

EXCEL_SUMMARY

The EXCEL_SUMMARY job allows you to upload REF4c data as it is to be submitted to REF, at the summary level. When using this sync type, no REF4c details will be available, only the summary page.

Creating the import file

Columns required are (see the file template below):

Column	Expected value	Notes
UoA number	1-34	<ul style="list-style-type: none"> • Required • For each UoA, there should be one line for Income-in-kind 16, and one line for Income-in-kind 17 • While you may not be submitting all UoAs, all UoAs must be listed - for UoAs not being used, just leave the Year fields blank
UoA mult sub code	BLANK or single character A-Z	<ul style="list-style-type: none"> • Only specify a single character if Multiple Submission functionality is enabled for REF2021 • Multiple Submission UoA code is case sensitive and must be Capitals, i.e. 'A', not 'a'
Income-in-kind	16-17	<ul style="list-style-type: none"> • Required • Must be a number between 16-17, • see Annex A in the 'Guidance on import/export file formats' document at https://www.ref.ac.uk/guidance/submission-system-data-requirements/ • Income-in-kind 17 is only valid for Panel A (UoA 1-6)
2013/14		<ul style="list-style-type: none"> • The values used here will be rounded to two decimals when being imported
2014/15		
2015/16		
2016/17		
2017/18		
2018/19		
2019/20		

Uploading the EXCEL_SUMMARY import file

As described above, this job will update the REF4c form with the listed data. To run this job, you must use the import file format described above (see the attached example below). If the import file is not valid, the job will fail to run.

<p>1. Set up the Job</p> <p>Administrator > Jobs > Create new job > REF2021 : REF4c synchronisation job</p> <ul style="list-style-type: none"> • As it is likely that you only want to run this job on demand, you should change the schedule to Interval > Manual • Job configuration <ul style="list-style-type: none"> ◦ Default Configurations <ul style="list-style-type: none"> ▪ Excel document for EXCEL_SUMMARY sync > Upload your import file ▪ REF4c sync type > Select EXCEL_SUMMARY
<p>2. Run the Job</p>
<p>3. Job logic</p> <ul style="list-style-type: none"> • The Job reads the import file and validates it (e.g. correct amount of columns, correct file type) - if the file fails validation, the job will fail.

REF5 - Research environment



The REF5 functionality allows you to upload a PDF file outlining your research environment.

There are two content types: REF5a and REF5b.

REF5 : Research environment

Who can access REF5?

Roles	Global/UoA	REF5a	REF5b
REF 2021 Administrator	Global	Edit Workflow (Step 1-3)	Edit Workflow (Step 1-3)
SuperEditor of Unit of Assessment	UoA		Edit Workflow (Step 1-3)
REF2021 reporter		View	View

REF5a	
<p>REF5a can be used to provide a single statement on institutional level regarding the institution's strategy and resources to support research and enable impact as described in 'REF2021 Guidance on Submissions (page 80)'.</p>	
<p>In the REF5a editor the user can upload a file containing the institutional-level environment statement.</p> <p>The Word limit info bar shows the maximum allowed words in the uploaded statement. It depends on the total FTE of Category A submitted staff returned across the institution and is calculated as stated in Table F1 on page 93 in 'REF2021 Guidance on Submissions'. The max word value is for guidance only and</p>	

no validation is done on the uploaded file regarding whether it conforms to this limit. Hence, it is up to the person uploading the file to ensure that it does not exceed the max words restriction.

REF5b

REF5b can be used to provide information regarding research and impact for each submitting Unit of Assessment as described in 'REF2021 Guidance on Submissions (page 81)'.

The screenshot shows the REF2021 interface. The top navigation bar includes 'Editor', 'Master data', 'REF2021', 'REF2014', 'Dashboard', 'Administrator', and 'Usage analytics'. The left sidebar lists various REF categories, with 'REF5b (2021)' selected and marked as 'Editable' with a '34' badge. The main content area shows a search for 'REF5b (2021)...' with '34 results'. Five environment templates are listed, each with a status of 'Template indicated - NOT uploaded' and 'REF5b ENTRY IN PROGRESS'.

In the REF5b editor window the user can upload a file containing information about the environment for research and enabling impact for the given Unit of Assessment.

The Word limit info bar shows the maximum allowed words in the uploaded information file. It depends on the total FTE of Category A submitted staff included in the submission and is calculated as stated in Table F2 on page 94 in 'REF2021 Guidance on Submissions'. The max word value is for **guidance only** and no validation is done on the uploaded file regarding whether it conforms to this limit. Hence, it is up to the person uploading the file to ensure that it does not exceed the max words restriction.

The screenshot shows the 'REF5b Environment template - 1: Clinical Medicine' editor window. At the top, it says 'REF5b (2021)'. Below this is a word limit bar: 'Word limit: Max 13600 words (based on the total FTE of Category A submitted staff included in the submission)'. The 'Relations' section shows 'Unit of Assessment *' and '1: Clinical Medicine (Panel A) Unit of assessment (2021)'. The 'Template upload' section has a link 'REF5b environment template (as PDF file)' and a button 'Add PDF file...'.

REF6 - Reductions



REF6 : Reductions

The REF6 Reduction (2021) editor is used for capturing the relevant data when applying for reduction for eligible researchers.

The REF6 Zero Outputs (2021) editor is used for creating the application for removal of minimum of 1 output.

The REF 6 Unit reductions (2021) editor is used for summarizing the total number of reductions for the UoA

Further information on the workflow of the 3 editors can be found in the ["Guidance on REF6 Reductions"](#)

REF6 : Roles

The following roles has access to REF6 content:

Role	Global/UoA	REF6 Reductions	REF6 Zero Outputs	REF 6 Unit reductions
Editor of REF6	UoA	Create Edit Workflow Delete	Create Edit Workflow Delete	Edit Workflow
SuperEditor of REF6	UoA	Create Edit Workflow Delete	Create Edit Workflow Delete	Edit Workflow
REF6 reporter	UoA	Read	Read	Read

REF2021 test manuscript

For every major and minor release of Pure, the Pure Team goes through thorough testing of the REF module. One of the approaches we take, is a test manuscript that covers various scenarios that has impact on REF data.

We have attached the test manuscript we are working with. The manuscript will be updated and corrected when new features are added.

[Test of UoA](#)

[Test of REF1](#)

[Test of REF2](#)

[Test of REF3](#)

[Test of REF4](#)

[Test of REF5](#)

[Test of REF6](#)

UoA

- Log in as Administrator of REF2021
- Verify there is 34 UoA already created

Deletion of UoA

- Verify that UoAs cannot be deleted
 - Manual
 - In bulk

Active/Inactive UoA

- Make a UoA inactive
 - Verify that you in the renderer on a REF1 can see the related UoA is inactive

Research groups

- Verify that new research groups can be added
- Verify that REF1 can be assigned to research groups
 - "Individuals permitted to be assigned to more than one research group" = No verify only one research group can be assigned to REF1
 - "Individuals permitted to be assigned to more than one research group" = Yes verify multiple research groups can be assigned to REF1
 - Verify that if multiple research groups has been assigned on the UoA- you cannot change the setting back to allow only 1 research group
- Verify you can delete Research Groups - also when REF1 has been assigned to this group

Submission approach

- Toggle the submission approach and verify the following on the REF1 (Make sure Staff Category = 'A' on the REF1):
 - If UoA submission approach is **100%**:
 - If Eligibility = Eligible, Inclusion in REF submission = 'Submitted' (with no option to edit)
 - If Eligibility = Not eligible, Inclusion in REF submission = 'Not submitted' (with no option to edit)
 - If Eligibility = Pending, Inclusion in REF submission = 'Pending' (with no option to edit)
 - If UoA submission approach is **Not 100%**:
 - If Eligibility = Eligible, Inclusion in REF submission is not by default populated (default value is as per relevant REF2021 setting - Admin system setting REF2021 Default value for Eligibility status when creating new REF1 records (whether manually or via Jobs))
 - If Eligibility = Not eligible, Inclusion in REF submission = 'Not submitted' (with no option to edit)
 - If Eligibility = Pending, Inclusion in REF submission is not by default populated (default value is as per relevant REF2021 setting)

REF1

Creation of REF1

- Locate a Person with Research output - not already created as REF1
- Login as Editor of REF1
- Verify that REF1 can be created.
 - Toggle Staff category, notice changes in editor:
 - Select Category A - verify that the following fields are available: "FTE on census date", "Start date as academic staff at institution", "Early career researcher", "REF6 reductions", "Fixed-term contract/secondment/leave of absence on the census date", "Staff based in a discrete unit outside the UK"
 - Select Category B - verify that the following fields are available: "REF-eligible contract(s)"
 - Notice you cannot save without assigning to a UoA
- Login as the Personal user, just created as REF1 - verify the Personal users can propose output
- Login as Editors of Persons - verify the user can propose outputs on behalf of Personal User

Updates on Person related to REF1

- Login as REF2021 Admin
- Verify that updates on the Person is reflected on REF1
 - Update Total FTE + Start date as an independent researcher
 - Verify these updates are reflected on REF1 after the job "Content change listener" has run
- Bulk operation on sensitive data reflected
 - Remove "Start date as independent researcher" in Bulk (use the role Administrator)
 - Verify that these changes are reflected in the REF1 after the job "Content change listener" has run

Deletion of REF1

- Deletion of REF1
 - Login as Editor of REF1
 - Verify the REF1 cannot be deleted
 - Login as Administrator:
 - Verify that on the related Person, there is no information on the "REF2021 Unit of Assessment" after deletion of REF1
 - Verify that deletion of REF1 also triggers a deletion of related REF2
 - Deleting of REF1 related to REF6
 - Verify that you get an warning saying you cannot delete REF1 when this is related to REF6
 - Verify deleting the REF6, you afterwards can delete the REF1

Deletion of Person related to REF1

- Login as Administrator
- Manual deletion in editor:
 - Deletion is not possible, warning is presented
 - Verify that after deleting the REF1, deletion of Person is possible
- Bulk deletion
 - Verify it is not possible, warning in log
- Merge of Persons
 - One person related to REF1. Verify REF1 is kept and updated accordingly
 - Two persons related to REF1s. Verify merge is not possible and you get a warning

Overview screens

- REF1a Summery & REF1b Summery
 - Test that creating a new REF1, that this persons shows up on the REF1a or REF1b summery screen (filter to the correct UoA)
 - Test that changes to a REF1 FTE is reflected in the overview screen
 - Test you can sort the table by columns
 - Test you can download table

REF2

Delete Research output related to REF2

Verify:

- *The publication cannot be deleted – or you are displayed with an error*
- *The related REF2 is not deleted*
- *Peer comment on REF2 is not deleted*

Ways of deleting research output:

- Standard deletion on editor. Verify deletion button is not present when output is related to REF2
- Bulk delete research output. Verify you get an error message in log
- Merge publications:
 - Target is linked to REF2. Verify REF2 is present and peer comment is still there
 - Target is not linked to REF2. Verify REF2 is present and peer comment is still there
 - Both REF2 is in same UoA. Verify that merge is not possible, you get a warning
 - Both REF2 is in different UoA. Verify that merge is not possible, you get a warning (Currently an issue - we need to find a fix)
- Change template. Verify the REF2 is still linked and peer comment is still there.

Remove author (linked to a REF1) from Research output (linked to REF2)

Verify: *related REF2 is deleted*

- Remove the author from the Research Output - verify the related REF2 is deleted
- Make the author external (=link to External Person) - verify the REF2 is deleted

Other scenarios:

- Change the role of the author – verify nothing happens on related REF2
- When two REF1s on the REF2/Research output:
 - In same UoA – verify that removing one author, the REF2 is still there
 - In different UoA – verify that only 1 REF2 is deleted
- Change the person to another REF1 related person
 - Change to a REF1 in same UoA. Verify the REF2 is still present and peer comments is visible
 - Change to a REF1 in different UoA. Verify that the REF2 is linked to a new UoA. The Peer comment is marked as not linked to UoA (5.16.2)

Add author (linked to a REF1) to Research output

Verify: *an new REF2 is created (if a REF2 in same UoA do not exist) or a the REF1 is added to an existing REF (if a REF2 in same UoA exist)*

- Propose an output with a single author(REF1) to REF2021.
 - Verify that a REF2 is created
 - Verify that Research output in all publication states can be proposed
- Propose an output with 2 authors (REF1) in different UoAs.
 - Verify that two REF2s is created
 - Verify that co-authors also have the research output proposed
- On existing REF2 - add a new person on the Research output from same UoA as on REF2.
 - Verify that person is added to REF2.
 - No new REF2 is created
- On existing REF2 - add a new person on the Research Output from different UoA as on REF2.
 - Verify that new REF2 is created
 - REF admin can see the REF1 on both REF2s

Move UoA of REF1

- Move REF1 to another UoA - Verify a new REF2 is created in the new UoA
 - Verify that the REF2 editor of the original UoA no longer has access to the REF2
- Remove REF1 from UoA - Verify a new REF2 is created - and that when in status "selected for the pool" - the REF2 cannot be attributed
 - After REF1 again is related to a UoA, verify that you can attribute the REF2 to the REF1 again

Deletion of REF2

- Verify that REF2 can be deleted by "REF Admin"
- Verify that REF2 cannot be deleted by "REF2 Editor"

Peer comments

- Create two peer comments - related to two different UoAs
 - Verify REF Admins can see both Peer comments on both REF2s
 - Verify REF2 editors only can see the peer comment related to the UoA they have editorial rights to
- Delete a Peer comment
 - Verify it is deleted on both REF2s
- Move UoA of one of the related REF1
 - Verify we mark the peer comment as not related to any UoA (5.16.2)

Predicted grade

- Visibility of predicted grade for Personal users based on system setting

Attribution

- On manual attribution:
 - Verify you can only attribute REF2, when REF2 is in the status "Selected for the Pool"
 - Verify you can only attribute REF2, when the REF1 is marked as "Eligible"
 - Verify you can only attribute REF2, when the REF1 has "Significant contribution"
 - Verify "lock attribution" happens automatically
 - Verify you can only attribute 1 person in UoA1-24
 - Verify you can toggle attribution of 2 REF1 in UoA25-34
- Attribution algorithm
 - Verify that the left side table is populated
 - Verify you can run the attribution
 - Verify you now has data in the right side column
 - Verify there is no errors in the joblog
 - Manually lock a REF2 taken from the right side column
 - Reset the attribution verify that the REF2 you locked is still on the right side table
- [Upload of attribution by spreadsheet](#)

Reserved output

- Check you can only select a reserve from the same UoA as the REF2 is linked to
- Check you cannot select the same REF2 as reserve twice on the same REF2
- Check you cannot select a REF2 as a reserve that is assign as a reserve on another content
- Check you cannot select a reserve that has a reserve assigned to it self
- Check you cannot select a reserve that is attributed
- Check you cannot select a reserve that is pending publication
- Check you cannot select a reserve that is double weighted

Overview pages

- Individual Profile
 - Check changes to REF2 is reflected accordingly on the overview
 - Change predicted grade on REF2
 - Change "Workflow for selection to REF2021"
 - Test changes to REF1 is reflected accordingly
 - Change staff category on REF1 from the table
 - Test you can sort the table by columns
 - Test you can download table
- Attribution Profile
 - Check changes to REF2 is reflected accordingly on the overview
 - Change predicted grade on REF2
 - Change "Workflow for selection to REF2021"
 - Test changes to REF1 is reflected accordingly
 - Change staff category on REF1 from the table
 - Test you can sort the table by columns
 - Test you can download table

REF3

Roles

- Verify that REF3 can be created by:
 - REF2021 Administrator
 - Editor of Unit of Assessment
 - Supereditor of Unit of Assessment
 - Editor of REF3

The desired publication status of the case study

- Verify that if selecting "The case study requires redaction prior to publication" - an additional section is added to the template "Redacted case study upload"
- Verify that "Redacted case study upload" is removed if "The case study can be published without redaction" or "The case study should not be published" is selected

Case study upload

- Verify that only PDF can be uploaded - you should get an error on save if other file type is selected

REF4

REF4a

QE Test Case

Customer/Base specific: cust-uk-xxx (We use cust-uk-aberdeen during this test)
Data dump needed: Aberdeen - data dump for continuous development of REF (5.17.0)
Required modules: REF2021

Before you can perform the tests you need to do the following:

1. **Enable Multiple Submissions** by doing the following
 - Go to 'Administrator -> System settings -> REF2021 -> 'Should multiple submissions be enabled for UoA?' and enable it and save.
2. **Create UoA 7A and 7B (Only if they don't already exist)**
 - **Only do this if they do not already exist from previous tests**
 - Do the following one time:
 - Go to 'REF2021 -> Units of assessment (2021) -> Editable'
 - Open the UoA you want to split
 - Press the copy button in the bottom right and create the new one.

Steps to reproduce

Test REF4a Summary with degree awarded outside allowed range

1. Go to 'Administrator -> Jobs -> REF2021: REF4a Synchronisation Job'
 - Add it if it is not in the job list.
 2. Upload the attached [ref4a-summary_BAD.xls](#) file and run the job
 - Download the file
 - Upload it in the Job at 'Configuration -> Job configuration -> Default configurations -> Excel document for EXCEL_SUMMARY sync'
 - Set 'REF4a sync type' to 'EXCEL_SUMMARY'
 - Set 'Specify the type of student ID you want to use' to 'PURE'
 - Set 'Specify what log information you want if no student was found with the provided ID' to 'WARN'
 - Set 'Specify the type of supervisor ID you want to use' to 'PURE'
 - Update and run the job
 3. **Verify** that the job gives a warning for UoA 7B and 9. It will also give an error, as it will try to save a negative value to an integer later on, but that is expected...
 - Also please verify that the multiple submission code is shown in the warning message for 7B (basically verify that the 'B' is there)
 4. Upload the attached [ref4a-summary_GOOD.xls](#) file and run the job
 5. **Verify** that the job does not give any warnings or errors
-

REF4b

QE Test Case

Customer/Base specific: cust-uk-xxx (We use cust-uk-aberdeen during this test)
Data dump needed: Aberdeen - data dump for continuous development of REF (5.17.0)
Required modules: REF2021

Before you can perform the tests you need to do the following:

1. **Enable Multiple Submissions** by doing the following
 - Go to 'Administrator -> System settings -> REF2021 -> 'Should multiple submissions be enabled for UoA?' and enable it and save.
2. **Create UoA 7A and 7B**
 - Do the following one time:
 - Go to 'REF2021 -> Units of assessment (2021) -> Editable'
 - Open the UoA you want to split
 - Press the copy button in the bottom right and create the new one.
3. **Move REF1's** from what is now UoA 7A to UoA 7B
 - NB: This step is done so the UoA for the REF1's Persons used in the REF4b Details Excel documents match the Persons used in the attached Excel spreadsheets
 - Move REF1 for 'Geoffrey Alsop' with REF1 ID = 63363383 to UoA 7B

Steps to reproduce

Test REF4b Summary with IncomeSource 15 outside Panel A cause error

1. Go to 'Administrator -> Jobs -> REF2021: REF4b Synchronisation Job'
 - Add it if it is not in the job list.
2. Upload the attached [ref4b-summary_w_income_source_15_outside_panel_a_BAD_DATA.xls](#) file and run the job
 - Download the file
 - Upload it in the Job at 'Configuration -> Job configuration -> Default configurations -> Excel document for EXCEL_SUMMARY sync'
 - Set 'REF4b sync type' to 'EXCEL_SUMMARY'
 - Set 'Specify the type of grant holder ID you want to use' to 'PURE'
 - Update and run the job
3. **Verify** that the job gives an error for UoA 7B and 9, but none for UoA 6 as it only should give the error for non Panel A UoAs

- Also please verify that the multiple submission code is shown in the error message for 7B (basically verify that the 'B' is there)
4. Upload the attached [ref4b-summary_w_income_source_15_outside_panel_a_GOOD_DATA.xls](#) file and run the job
 5. **Verify** that the job does not give any errors

Test REF4b Summary with too large income cause warning

1. Go to 'Administrator -> Jobs -> REF2021: REF4b Synchronisation Job'
 - Add it if it is not in the job list.
2. Upload the attached [ref4b-summary_w_too_large_income_BAD_DATA.xls](#) file and run the job
 - Download the file
 - Upload it in the Job at 'Configuration -> Job configuration -> Default configurations -> Excel document for EXCEL_SUMMARY sync'
 - Set 'REF4b sync type' to 'EXCEL_SUMMARY'
 - Set 'Specify the type of grant holder ID you want to use' to 'PURE'
 - Update and run the job
3. **Verify** that the job gives a warning for UoA 6, 7B and 10
 - Also please verify that the multiple submission code is shown in the error message for 7B (basically verify that the 'B' is there)
4. Upload the attached [ref4b-summary_w_too_large_income_GOOD_DATA.xls](#) file and run the job
5. **Verify** that the job does not give any warnings

Test REF4b Details with IncomeSource 15 outside Panel A cause error

1. Go to 'Administrator -> Jobs -> REF2021: REF4b Synchronisation Job'
 - Add it if it is not in the job list.
2. Upload the attached [ref4b-details_w_income_source_15_outside_panel_a_BAD_DATA.xls](#) file and run the job
 - Download the file
 - Upload it in the Job at 'Configuration -> Job configuration -> Default configurations -> Excel document for EXCEL_DETAILS sync'
 - Set 'REF4b sync type' to 'EXCEL_DETAILS'
 - Set 'Specify the type of grant holder ID you want to use' to 'PURE'
 - Update and run the job
3. **Verify** that the job gives an error for the entries with UoA 7B and 9, but none for UoA 6 as it only should give the error for non Panel A UoAs
 - Also please verify that the multiple submission code is shown in the error message for 7B (basically verify that the 'B' is there)
4. Upload the attached [ref4b-details_w_income_source_15_outside_panel_a_GOOD_DATA.xls](#) file and run the job
5. **Verify** that the job does not give any errors

Test REF4b Details with too large income cause warning

1. Go to 'Administrator -> Jobs -> REF2021: REF4b Synchronisation Job'
 - Add it if it is not in the job list.
2. Upload the attached [ref4b-details_w_too_large_income_BAD_DATA.xls](#) file and run the job
 - Download the file
 - Upload it in the Job at 'Configuration -> Job configuration -> Default configurations -> Excel document for EXCEL_DETAILS sync'
 - Set 'REF4b sync type' to 'EXCEL_DETAILS'
 - Set 'Specify the type of grant holder ID you want to use' to 'PURE'
 - Update and run the job
3. **Verify** that the job gives a warning regarding income being out of the allowed range for the data in UoA 3, 7B and 9
 - NB. Due to the fact that we haven't provided actual Person IDs in the test data you'll get 9 warnings instead of 3. Just go through them and verify that the wanted warning are there...
 - Also please verify that the multiple submission code is shown in the error message for 7B (basically verify that the 'B' is there)
4. Upload the attached [ref4b-details_w_too_large_income_GOOD_DATA.xls](#) file and run the job
5. **Verify** that the job now no longer give any warnings related to income being out of the allowed range

REF4c

QE Test Case

Customer/Base specific: cust-uk-xxx (We use cust-uk-aberdeen during this test)
 Data dump needed: Aberdeen - data dump for continuous development of REF (5.17.0)
 Required modules: REF2021

Before you can perform the tests you need to do the following:

1. **Enable Multiple Submissions** by doing the following
 - Go to 'Administrator -> System settings -> REF2021 -> 'Should multiple submissions be enabled for UoA?' and enable it and save.
2. **Create UoA 7A and 7B (Only if they don't already exist)**
 - **Only do this if they do not already exist from previous tests**
 - Do the following one time:
 - Go to 'REF2021 -> Units of assessment (2021) -> Editable'
 - Open the UoA you want to split
 - Press the copy button in the bottom right and create the new one.

Steps to reproduce

Test REF4c Summary with IncomeSource 17 outside Panel A cause error

1. Go to 'Administrator -> Jobs -> REF2021: REF4c Synchronisation Job'
 - Add it if it is not in the job list.
2. Upload the attached [ref4c-summary_w_income_in_kind_17_outside_panel_a_BAD_DATA.xls](#) file and run the job
 - Download the file

- Upload it in the Job at 'Configuration -> Job configuration -> Default configurations -> Excel document for EXCEL_SUMMARY sync'
 - Set 'REF4c sync type' to 'EXCEL_SUMMARY'
 - Set 'Specify the type of grant holder ID you want to use' to 'PURE'
 - Update and run the job
3. **Verify** that the job gives an error for UoA 7B and 9, but none for UoA 1-6 as it only should give the error for non Panel A UoAs
 - Also please verify that the multiple submission code is shown in the error message for 7B (basically verify that the 'B' is there)
 4. Upload the attached [ref4c-summary_w_income_in_kind_17_outside_panel_a_GOOD_DATA.xls](#) file and run the job
 5. **Verify** that the job does not give any errors

Test REF4c Summary with too large income cause warning

1. Go to 'Administrator -> Jobs -> REF2021: REF4c Synchronisation Job'
 - Add it if it is not in the job list.
2. Upload the attached [ref4c-summary_w_too_large_income_BAD_DATA.xls](#) file and run the job
 - Download the file
 - Upload it in the Job at 'Configuration -> Job configuration -> Default configurations -> Excel document for EXCEL_SUMMARY sync'
 - Set 'REF4c sync type' to 'EXCEL_SUMMARY'
 - Set 'Specify the type of grant holder ID you want to use' to 'PURE'
 - Update and run the job
3. **Verify** that the job gives a warning for 'UoA 6 with income-in-kind 17', 'UoA 7B with income-in-kind 16' and 'UoA 9 with income-in-kind 16'
 - Also please verify that the multiple submission code is shown in the error message for 7B (basically verify that the 'B' is there)
4. Upload the attached [ref4c-summary_w_too_large_income_GOOD_DATA.xls](#) file and run the job
5. **Verify** that the job does not give any warnings

Test REF4c Details with IncomeSource 17 outside Panel A cause error

1. Go to 'Administrator -> Jobs -> REF2021: REF4c Synchronisation Job'
 - Add it if it is not in the job list.
2. Upload the attached [ref4c-details_w_income_source_17_outside_panel_a_BAD_DATA.xls](#) file and run the job
 - Download the file
 - Upload it in the Job at 'Configuration -> Job configuration -> Default configurations -> Excel document for EXCEL_DETAILS sync'
 - Set 'REF4c sync type' to 'EXCEL_DETAILS'
 - Set 'Specify the type of grant holder ID you want to use' to 'PURE'
 - Update and run the job
3. **Verify** that the job gives two errors for the entries with UoA 7A and 9, but none for UoAs 1-6 as it only should give the error for non Panel A UoAs
 - Also please verify that the multiple submission code is shown in the error message for 7A (basically verify that the 'A' is there)
4. Upload the attached [ref4c-details_w_income_source_17_outside_panel_a_GOOD_DATA.xls](#) file and run the job
5. **Verify** that the job does not give any errors

Test REF4c Details with too large income cause warning

1. Go to 'Administrator -> Jobs -> REF2021: REF4c Synchronisation Job'
 - Add it if it is not in the job list.
2. Upload the attached [ref4c-details_w_too_large_income_BAD_DATA.xls](#) file and run the job
 - Download the file
 - Upload it in the Job at 'Configuration -> Job configuration -> Default configurations -> Excel document for EXCEL_DETAILS sync'
 - Set 'REF4c sync type' to 'EXCEL_DETAILS'
 - Set 'Specify the type of grant holder ID you want to use' to 'PURE'
 - Update and run the job
3. **Verify** that the job gives a warning regarding income being out of the allowed range for the data in 'UoA 4 with income-in-kind 17', 'UoA 6 with income-in-kind 16', 'UoA 7A with income-in-kind 16' and 'UoA 8 with income-in-kind 16'
 - NB. Due to the fact that we haven't provided actual Person IDs in the test data for all UoA's you'll get additional warnings. Just go through them and verify that the wanted warning are there...
 - Also please verify that the multiple submission code is shown in the error message for 7A (basically verify that the 'A' is there)
4. Upload the attached [ref4c-details_w_too_large_income_GOOD_DATA.xls](#) file and run the job
5. **Verify** that the job now no longer give any warnings related to income being out of the allowed range

REF5

REF5a

Verify that 1 REF5a template has already been created

Delete

- Verify that the REF5a template cannot be deleted:
 - Manually
 - By using bulk operations

Roles

- Verify that REF5a can be edited by
 - REF 2021 Administrator
 - ~~SuperEditor of Unit of Assessment~~

REF5a environment statement (as PDF file)

Verify that only PDF can be uploaded - you should get an error on save if other file type is selected

Word count

Check the REF1a Summary screen by selecting "all UoA" On the REF1 table Total count Total FTE = Yes.

Notice the number - verify the word count in the REF5a editor is correct according to this table:

Page limits for REF5a

Number of Category A submitted staff returned by institution (FTE)	Word limit for environment statement (REF5a)
1 – 99.99	4,000
100 – 499.99	4,500
500 – 999.99	5,000
1000 or more	5,500

REF5b

Verify that 34 REF5b templates has already been created

Delete

- Verify that the REF5b template cannot be deleted
 - Manually
 - By using bulk operations

Roles

- Verify that REF5b can be edited by:
 - REF 2021 Administrator
 - SuperEditor of Unit of Assessment

REF5b environment statement (as PDF file)

Verify that only PDF can be uploaded - you should get an error on save if other file type is selected

Word limit

Check the REF1a Summary screen on a specific UoA. On the REF1 table Total count Total FTE = Yes.

Notice the number - verify the word count in the REF5b editor is correct according to this table:

Word limits for REF5b

Number of Category A submitted staff in the submission (FTE)	Word limit for environment template (REF5b)
1 – 19.99	8,000
20 – 29.99	8,800
30 – 39.99	9,600
40 – 49.99	10,400
50 – 69.99	11,200
70 or more	12,000, plus 800 further words per additional 20 FTE

REF6

Roles:

Editor of REF6

SuperEditor of REF6

(NOT REF2021 ADMIN)

REF6 Reductions

Creation of REF6 reduction

- Create a REF6 by linking to a REF1
- On the REF1 you have a link back to REF6 - Section "REF6 reductions"
 - Check if you login as REF1 editor - you are notified on the REF1 that there is a reduction linked - but you cannot navigate to the REF6 Reduction

Change to RF6 reduction

Verify that changes on related REF1 is reflected in the REF6 Reductions

- Change the REF1 to "Early career researcher" - notice if this is now reflected in the REF6 editor
- Change the "Start date as independent researcher" on the Person - notice the change is reflected on the REF1 and the REF6

Verify that changes to "Clearly defined circumstances" - triggers an update to "Potential reduction"

- Change "Qualifying periods of family-related leave" to 3 notice a change in "Potential reduction" (notice that potential reduction should always stay between 0-1.5)

Deletion of REF6 reduction

- REF6 Reduction NOT linked to REF6 Zero outputs can be deleted
- REF6 Reduction linked to REF6 Zero outputs CANNOT be deleted

REF6 Zero Outputs

Creation of REF6

Verify you can link to "REF6 Reductions

Change to RF6 reduction

Verify on "Apply for reduction" = Yes - you can select whether the application has been approved

Deletion of REF6 Zero outputs

Verify that a REF6 Zero outputs can be deleted

REF6 Unit Reductions

- Verify that 34 REF6 Unit Reductions is already created
- Verify that REF6 Unit Reductions cannot be deleted
 - Manually in editor
 - By using bulk operations
- Verify that REF6 Zero Outputs records is picked up in the REF6 Unit Reduction
 - The REF6 Zero Output needs to meet following criteria:

- 'Apply for reduction' = Yes,
- 'Application approved' = Yes,
- Workflow status of 'REF6 Zero Outputs' = Confirmed

REF 2021 - Release notes



This page gives an overview of the REF 2021 related release notes, these are excerpts from the general [release notes](#)

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5.21

REF Open Access section

Following requests from the user group, we are bringing back the REF Open Access section to the module.

We have removed the two OA summary screens as they are no longer needed:

- OA Tracking
- OA Summary

We have not made any other changes to the REF OA (the logic remains unchanged).

This was released in Pure 5.20.3.

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5.19

5.19 Release notes

Upcoming changes to REF submission from Pure

We have encountered an error with the submission system, where the submission system is not able to process large request. This means that when Pure is sending an entire data set including PDF files to the submission system, it cannot process the dataset. The REF team have acknowledged that the maximum request size (100MB) was inadequate, and they will increase it but even then they will not be able to process the entire submission. As a result, we need to update the way we are sending files to the submission system: we will first send all the meta data from the submission, and then separately send the PDF files for each REF content type that should have a file attached (REF2, REF3, and REF5).

We are currently working on this change and are targeting 5.19.1 as the release where we have made these changes.



In the interim, we have updated the submission from Pure to exclude all files so that it is possible to push the metadata to the submission system to test the integration and internal process with regard to sending data to the submission system.

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Inaccuracies in REF4 data

We have found a problem regarding some of the REF4 data which makes a re-import necessary.

- 5.21
 - REF Open Access section
- 5.19
 - Upcoming changes to REF submission from Pure
 - Inaccuracies in REF4 data
 - Update on additional fields relating to COVID
 - REF maintenance jobs
 - Citations section removed from REF2
 - Updates to the submission page
 - Attribution of reserve outputs
 - REF6 - confirmed reduction
 - Changes to REF1b - eligible contracts
 - Hardcopy tracking section on REF2
 - New field on REF2 - Outputs delayed due to COVID-19
 - Removal of field on REF2 - Early online
 - REF2 - content published in 2021 can be selected
 - REF2 - updates to pending publication
 - Highlights of Open Access compliance
 - REF2021 Reporting - Additional fields and filters made available
 - Updates to submission page
 - Choose what to send to the submission system
 - Possible to 'abort' jobs stuck in validation
 - DOI validation
 - Hard copy tracking updates
 - Other' output allocations
 - OA compliance settings
 - Update to REF admin role
- 5.18
 - Bulk upload of Output allocation
 - Changes to display of tolerance of non-compliance
 - Bulk deletion of Research Groups

The problem would result in small errors in the resulting values. In order to be able to correct this we had to alter the used types in the database. As a consequence, all REF4 data will be deleted when upgrading and it is necessary to synchronize all REF4a, REF4b and REF4c data again. Also note that the data for all the modified values will be rounded to two decimals on import.

The REF4 values that could have the small rounding errors in them are:

- REF4a Details and REF4a Summary
 - 2013/14
 - 2014/15
 - 2015/16
 - 2016/17
 - 2017/18
 - 2018/19
 - 2019/20
- REF4b Details and REF4b Summary
 - 2013/14
 - 2014/15
 - 2015/16
 - 2016/17
 - 2017/18
 - 2018/19
 - 2019/20
- REF4c Details and REF4c Summary
 - 2013/14
 - 2014/15
 - 2015/16
 - 2016/17
 - 2017/18
 - 2018/19
 - 2019/20

Update on additional fields relating to COVID

Research England has proposed a series of new fields relating to the impact that COVID-19 might have had on the REF for 2020. We have introduced the new fields (see the [5.18.3 release notes](#)). Research England has confirmed that they will update the submission system to let us submit this information to the REF system. The update is planned for September 2020, and we will follow up with implementing the changes to Pure.

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REF maintenance jobs

With this release we have add a new job than maintains the various calculated fields used in the REF module. This is created to ensure that the various fields are up to date, and correct as these are being used in the summary screens and in the attribution algorithm.

The jobs are called:

- **REF2021: Validation state check**
This job ensures that the validation state of all the REF content is correct. This state is used in the summary screens and this job ensures that the summary screens are showing the correct validation state of the content. This is scheduled to run daily, and will only save content if there are any changes.
- **REF2021: Required outputs check**
This job reviews the number of required outputs on the UOAs and corrects this if needed. This job will run daily and only save the UOAs if there is any changes. This job also runs prior to the attribution algorithm to ensure that Pure is attributing against the correct number of outputs.

'REF2021: Validation state check' job updates validation status property on:

- REF1

- REF2 - new fields added to capture impact of COVID-19
- Updated ability to attribute two authors on double-weighted outputs
- Update to the "Date of Birth override value" field
- REF2021 StaffSynchronization (!) job creates too many REF1b's
- Out of memory errors when submitting data
- REF5a additional fields
- REF3 additional fields
- PDF files on REF2
- Option to enable /disable sending files
- 5.17
 - Submission to the submission system of REF1-REF4
 - Improvements to Open Access
 - Multiple submission
 - REF4b 4c income source and income in kind
 - Reporting on REF3, REF4 and REF6
 - Locate Research Output without REF2
 - Migrating REF2 data
 - Incomplete Publication Status Dates affecting OA Compliance Status calculations
 - Reporting on authors proposing comments
 - Bulk copy of proposer comments to additional information
 - Name of REF1
 - Validation rules on 'Data to be submitted' tab
- 5.16
 - Deletion of old text resources (copied from REF2014)
 - Attribution of REF2
 - Attribution algorithm
 - Spreadsheet upload of attribution
 - Bulk operation for attribution removal
 - REF3 Updates for REF2021
 - REF4 a/b/c
 - REF4a and REF4b synchronizati on jobs
 - REF5
 - Bug resolved that could potentially delete REF2

- REF2
- REF3
- REF5a
- REF5b
- REF6 Zero Output
- REF6 Reduction
- REF6 Unit Reduction

'REF2021: Required outputs check' job updates properties on REF6 Unit Reductions:

- REF6 Zero output requests count
- REF6 Reduction Total
- Total potential reduction
- Total reduction

and it updates UOA properties:

- Total eligible staff FTE
- Total required outputs
- Total required outputs before reductions
- Outputs in scope
- Total non-compliant outputs

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Citations section removed from REF2

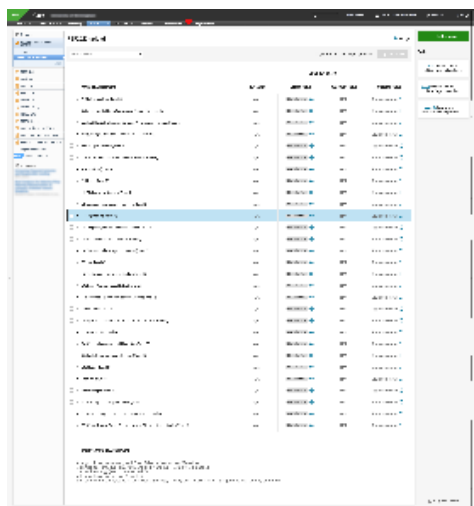
We have removed the citation section from the REF2 as this is not being used for this REF in Pure. It is possible to create a report on the citations for the proposed outputs using the reporting module.

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Updates to the submission page

We have updated the submission page in Pure to make this more clear and to provide a better overview of the submission process. We have also implemented the new endpoints that the REF team have created for us to upload individual files on REF2 and REF3 corroborating evidence. This means that from this release on it is possible to send all the data to the submission system.

We still have some outstanding issues with the REF submission system which we are actively discussing with the REF team. You can check their status on the [Known issues with the submission system](#) wiki page.



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- Performance optimizations on REF overview screens
- Reporting on Proposing text
- REF2021: Submission of REF6 to REF submission system
 - Setting up integration with the submission system
 - Submission of REF6 - Submission screen
 - Submitting REF6 information
- REF2021: Updates to the Attribution Algorithm
- REF2021: Reserved Outputs
- REF2021: Output allocation for REF2
- REF2021: Sub-profile category
- REF2021: Orphan peer comments

- 5.15
 - Re-introduction of Summary Screens
 - REF2 Attribution
 - Removal of REF2s that do not have any related REF1s
 - REF6 Editors
- 5.14
 - Unit of Assessment: Submission approach
 - New REF2 framework
- 5.13
 - REF OA compliance monitoring: Updates due to confirmation of final policy
 - REF OA monitoring: Summary screen updates
 - REF OA compliance status now shown on REF2 record
 - Re-naming of 'Not REF eligible' REF OA compliance status
 - New 'Compliant outputs with 'No exception' selected' editorial task
 - New 'REF2021 Exception' bulk action
 - Removal of Category C and introduction of Category B
 - Character limits for REF1 free text fields
 - REF2: Locking associated Research output
- 5.12
 - Census periods and dates
 - REF1a: FTE filter
 - REF1b: Purge internal notes and comments (REF2014)

Attribution of reserve outputs

We have made it possible to manually attribute reserve outputs with this release. You can do that in the *Attribution* section of the REF2 editor.

We have update the following summary screens with information about how many of the attributed outputs are marked as a reserve:

- REF1 a/b Summary screen
- REF2 Summary screen
- REF2 Attribution profile

Area	Org/empy	Total FTE	Research profile	# Output/Or-Output	# Reserve/Or-Reserve	# Attributed/Or-attributed	# Attributed/Or-attributed	Relative party profile	1	2	3	4	5	6	7	8	9	10	
Total work																			
Total OR									40%	30%	20%	10%	0%	0%	0%	0%	0%	0%	0%
Area A	A								0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Area B	B								0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Area C	C								0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Area D	D								0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Area E	E								0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Area F	F								0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Area G	G								0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Area H	H								0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Area I	I								0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Area J	J								0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%

Attribution

Locked attribution Off

Internal authors Significant contribution REF1 attribution Attribution notes (Internal)

Yes No
 Yes No

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REF6 - confirmed reduction

We have added a *Confirmed reduction* field to the REF6 Unit reduction. This way it is possible to override the calculated total reduction, which is based on the REF6 Zero outputs, and the REF6 Reductions. If a *Confirmed reduction* is provided, it will be used instead of the calculated value. It is still the case that the REF6 Unit Reduction must be in the last workflow step, and the *Apply for reduction* must be true before the value is used.

Apply for reduction

Apply for reduction *

Yes No

Support statement

Words 0 Max. 300

Confirmed reduction

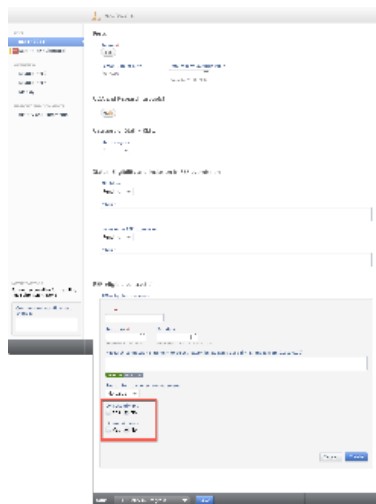
12.00

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Changes to REF1b - eligible contracts

- REF2: Proposing outputs - Author rankings
- REF2 predicted grades: 13-point scale
- REF2: Removed restriction on number of outputs
- REF Open Access Exceptions: Typo fixed
- REF2021 content in the new Reporting module
- Locking associated Research output
- 5.11
- New REF2 bulk creation job
- 5.10
- Restrict access to the REF2021 Exception field for Personal Users
 - UK : REF2021 improvements
- REF2021 UoAs updated
- 5.9
- Re-name REF2021
- New job for uploading REF2 Peer predicted grades and comments
- REF OA Monitoring screens : Improved handling of changes to Organisational hierarchy
- 5.8
- REF2020 : REF1a/c bulk actions
- 5.7
- New REF2020 Exception
- Run the "Generate OA Compliance Status For Existing Content" job on a nightly basis
- 5.6
- REF2020 Module improvements
- Submitted to REF2014' can no longer be proposed for REF2020
- 5.5
- Improved messaging for electronic versions
- Improvement REF OA Compliance monitoring
- Access dates being generated for Closed DOIs
- 5.4
- Analyse REF Publications and Persons in SciVal
- REF2020 Open Access Compliance Monitoring
 - REF2020 Module

In order to match the submission system's implementation of eligible contracts for former staff (REF1b), we have changed the model slightly. Previously, the *On secondment* and *On unpaid leave* value could only be specified once for a person: now, it can be specified for each eligible contract on the REF1b editor.



If *On secondment* or *On unpaid leave* was already specified, it will be copied to all of the existing eligible contracts.

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- REF2020 Module : REF Open Access compliance monitoring screens
- 5.3
- Copy of REF2014

Hardcopy tracking section on REF2

You can now add a URL on the REF2 (similarly to PDF). This makes it possible to enter the URL that should be sent to the REF submission system (if any). If a URL is specified, we will not take any links from the related research output, but only use the URL entered on the REF2 editor.

The URL will also be used in the validation, so you would need to check the validation, especially for type H outputs, as the URL is mandatory for that one.

We have also changed the order used to determine which DOI from the research output should be sent to the REF submission system. The new order is as follows:

1. Final publisher's version
2. Proof
3. Accepted manuscript
4. Submitted manuscript

DOI/PDF/Physical copy tracking

No further actions required

DOI [Show](#)

DOI checked Yes No

DOI not accessible to panel members Not accessible Accessible

Electronic version

URL

Example: www.example.com or http://www.example.com

The validation for DOI and PDF has been updated for type D and type E if the DOI has been marked as 'Not accessible', then a PDF must be added, this is also shown in the data to be submitted tab.

DOI/PDF/Physical copy tracking

PDF required

DOI



DOI checked

Yes No

DOI not accessible to panel members

Not accessible Accessible

Electronic version

Add document...

media or output	status
DOI	
PDF <not set>	

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New field on REF2 - Outputs delayed due to COVID-19

In order to comply with the changes introduced in response to the COVID-19 pandemic, we have added a new field on the REF2 model called *Has the output been delayed by COVID-19?* The default is not set.

It is possible to filter the content list on this value, and the value is also available in the reporting module, both as a value and a filter.

Information to sub panel

Additional information
This includes information about e.g. the research process and/or content. You must refer to your [Guidance of Submissions](#) (page 65, paragraph 284) and to your [Panel Criteria](#) (page 46–50, paragraphs 248–272 and Annex B) for further information on completing this field.
In general 0 words are allowed.
300 additional words are allowed if 'Includes research process' is checked.
100 additional words are allowed if 'Includes significant material before 2014' is checked
100 additional words are allowed if 'Includes factual information about significance' is checked (UOAs 11 and 12 only)

Words 0

Includes research process Includes significant material before 2014

Includes factual information about significance

REF2 supplementary information DOI/URL

Characters 0 Max. 1024

Output type *

D – Journal article

The types available depends on the template used for the related research output

Has the output been delayed by COVID-19?

Yes No

Affected output statement

Words 0 Max. 100

SEARCH FOR VALUES

- Associated output
 - Title Used in column A
 - Total no. of authors
 - Total no. of authors (override)
- UOA and Research Group(s)
- Selection status
- Attribution
- Validation status
- Proposals
- Predicted grade & peer comments
- Open access compliance status
- Information to sub panel
 - Double-weighting
 - Cross-referral
 - Publication year
 - Acquisition of hard copy
 - Additional information
 - Affected output statement
 - Audit evidence
 - Confidential
 - Criminology identifier
 - DOI tracking status
 - English abstract
 - Forensic science
 - Includes factual information about significance
 - Includes research process
 - Includes significant material before 2014
 - Interdisciplinary research
 - Output has been delayed by COVID-19 Used in column B
 - Output language
 - Output sub-profile category

Search for REF2 (2021)

Output has been delayed by COVID-19

Output has been delayed by COVID-19

Output has not been delayed by COVID-19

Not set

Value Filter Split

Column (A-B)

REF2 (2021) (A-B)

Filters Saved filters


+ Add filter ⓘ Save filters

Output has been delayed by COVID-19

Output has been delayed by COVID-19


Output has not been delayed by COVID-19

Not set

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Removal of field on REF2 - Early online

The *Early online* field has been removed from the REF2 model, as this was not used for the REF2021. Data entered in this field will be deleted in upgrade.

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REF2 - content published in 2021 can be selected

We have updated the ability to propose research outputs that have a published date in 2021 to enable proposing outputs that have been delayed by COVID-19.


i If an output has a future publication date, then the *Delayed by COVID-19* must also be marked as true for the entry to be valid.

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REF2 - updates to pending publication

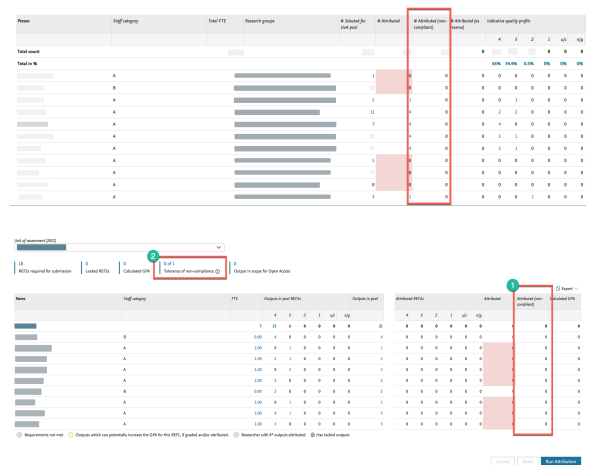
Since pending publication have been removed from the REF, we have removed the pending publication and the reserve for a pending publication from the REF2 model.

i We have also updated the summary screens where the pending publication was present.

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Highlights of Open Access compliance

We have updated the summary screen to better show which attributed outputs are not OA-compliant. This will make it easier to examine the data and get an overview of your attribution of non-compliant outputs.



Section 1. We have added a column that shows the number of attributed outputs that are not OA-compliant.

Section 2. We have updated the ability to drill down on the number of non-compliant outputs for the entire UOA: click on the section to see a list of the attributed outputs that are not OA-compliant.

For the general overview, we have changed the numbers shown for REF4b and REF4c to be the numbers that are going to be submitted to the REF system. This means that the UOA summary tables now show the same numbers as to 'Data to be submitted (Total)'.


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REF2021 Reporting - Additional fields and filters made available

In this release, several new fields have been made available in reporting.

The following fields have been added:

- Includes research process
- Includes significant material before 2014
- Includes factual information about significance
- REF2 supplementary information DOI/URL
- Audit evidence
- Request for double-weighting this output (max 100 words)
- Researcher's contribution
- Additional information (statement)
- Output language other than English
- Provide short abstract in English
- Publication year override reason

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Updates to submission page

With this release we have made some performance optimisations for the submission page as well as bugfixing for this. We're showing a message when the submission page is loading. Pure is getting data for this page from the submission system, and if the submission system is slow, then Pure will appear slow as well.

We have also updated such that Pure will send all the information we have on the electronic version, such as DOI and URL if a PDF file is uploaded. Previously Pure would only send the PDF file, even if there were a DOI available.

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Choose what to send to the submission system

We have added the option to choose which forms to send to the submission system, so it is possible to only pass along one type of REF form. To enable this go to the administrator tab in Pure system settings REF2021 search for the setting: "Customised REF forms submission". This will enable to choose which REF forms that should be sent to the submission system.

Customised REF forms submission

Enables customised forms when submitting to REF 2021 Submission System. A more fine-grained selection of the REF content to submit.

On

Default: false

Upload XML

Select Units of Assessment in the list below and submit in one click.

REF forms to submit

REF1 - 5

REF6

Custom

Customise forms to submit

REF1

REF2

REF3

REF4a

REF4b

REF4c

REF5a

REF5b


REF6

Choose submission type

Delete and re-upload

Merge

Upload to REF

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Possible to 'abort' jobs stuck in validation

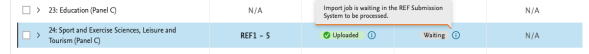
Sometimes the validation jobs are taking quite a long time to complete in the submission system, and while the job is running in the submission system, Pure is showing a 'loading' bar, and it is not possible to start a new submission for the specific UOA before the last job has completed.


We have added the option to 'abort' the job in Pure. This way Pure will stop querying for updates on the job, even though it is still running in the submission system. This will then enable you to start a new upload from Pure.

Click the 'X' to abort the job




When the job has been aborted, it will get a 'Waiting' state, since the job is still running in the submission system.



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DOI validation

We have update the validation rules for DOIs on REF2. Previously, Pure gave a validation error if there wasn't a DOI on the type D or E, this is no longer the case.

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Hard copy tracking updates


To help with identifying the outputs where a hard copy or a PDF is needed we have updated the REF 2 summary screen, such that the two tables "Digital copy" and "Physical copy" now should provide a better overview of what is missing.

Digital copy

DOI / URL / PDF - Category D, E, U, G and S	Count
DOI input - no further action required	536
DOI input - not accessible to panel	5
No DOI - search not performed	1
No DOI - search performed	1
PDF required, but not in Pure	1
PDF uploaded, no further actions	6


Physical copy

PDF / DVD / USB / Hard Copy or similar - All other categories	Count
PDF or physical copy missing	28
Physical copy required, but not acquired	15
Physical copy required and acquired	4
PDF in Pure no further actions	1

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Other' output allocations

We have discovered a bug in the way that Pure was sending information on the output allocation, if the output allocation was 'Other'. This has been fixed and all affected content have been migrated.

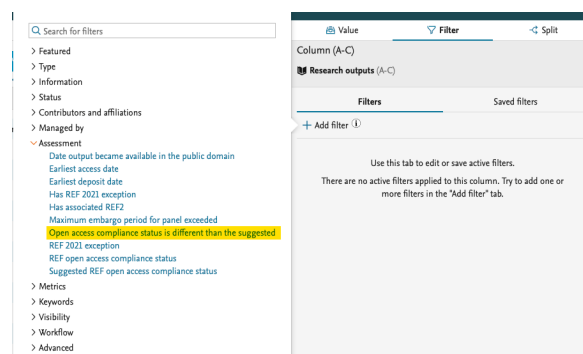
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OA compliance settings

With this release we have added various options to find research outputs where the suggested open access compliance status is not the same as the actual compliance status. This is possible in reporting and as filters in the content lists. We have also added a new bulk operation where it is possible to copy the suggested open access status to the actual open access status if the suggested status is more open than the actual.

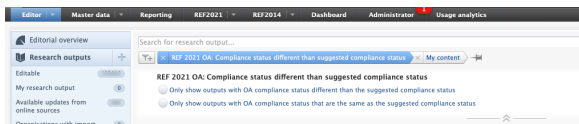
This will enable you to find any outputs where there is a difference between the suggested status and the actual status, and you will be able to update the actual status with the suggested, if this is more open.

Filter in the reporting module to find research outputs where the status is different between suggest open access and actual open access

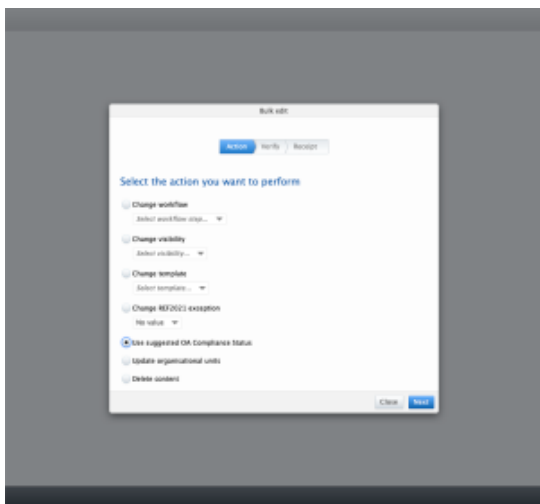



The screenshot shows a search interface for filters. On the left, a list of filter categories is shown, including 'Assessment' with a sub-item 'Open access compliance status is different than the suggested' highlighted in yellow. On the right, a 'Filters' dialog box is open, showing a search bar, a 'Filter' button, and a message: 'There are no active filters applied to this column. Try to add one or more filters in the 'Add filter' tab.'

The same filter is available in the content list



Bulk operation to update the actual REF open access status



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Update to REF admin role

The REF admin role is now able to delete REF1

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5.18 Release notes

Bulk upload of Output allocation

We have introduced the ability to bulk upload the output allocations for REF2s. Please read the [REF2 - Bulk upload output allocation](#) documentation for more information about how to prepare the Excel for bulk upload, where to upload etc.

Changes to display of tolerance of non-compliance

With this release we that updated the way we're displaying the tolerance of non-compliant research outputs on the REF2 attribution algorithm screen. This was done to avoid confusion around the calculation of the 5% tolerance. We have removed the % calculation and replaced this with a new scorecard that is showing the number of non-compliance and the number of allowed non-compliant outputs. This way it is easy to see how many outputs that is allowed within the 5% tolerance, and how many has currently been attributed, in this example, 1 output is allowed as non-compliant and 0 non-compliant outputs has been attributed.

0 of 1

Tolerance maximum is 5% of outputs in scope for open access rounded to nearest whole number

A | Tolerance of non-compliance | Output in scope for Open Access

Bulk deletion of Research Groups

In this version of Pure, we have introduced the option to bulk-delete Research Groups.

Navigate to Unit of Assessment List view. Select the Unit of Assessment from which you wish to delete Research Groups, and click on the bulk functionality icon. You can delete one or more Research Group(s) at a time.

Note that when Research Groups are deleted from the Unit of Assessment, they are also removed from related content.

Bulk edit

Action Refine Verify Receipt

Select Research Groups to delete

REF1s and REF2s related to the selected Research Group(s) will be updated as well

UOA 1: A: group1 UOA 1: B: Group2

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REF2 - new fields added to capture impact of COVID-19

Research England proposed some changes to the model based on feedback from the sector on the impact of COVID-19. As a result, we have added two new fields:

- **Audit evidence - file.** Additional files can be added to the REF2 in the "Information to sub panel" section.
- **Affected output statement.** If COVID-19 has caused major changes to the final form of the output, this can be documented in this statement field. The field can capture up to 100 words.

Affected output statement

Words 0 Max: 100

Audit evidence

Add file...

We have introduced filters in lists for these new fields. Both fields are also available for reporting

The screenshot shows a software interface with a sidebar on the left containing navigation options like 'Overview', 'Unit of Assessment (UOA)', 'REF1 (REF1)', and 'REF2 (REF2)'. The main area displays a list of research outputs. A search bar at the top right contains the text 'Affected output statement'. Below the search bar, there are filter options for 'Affected output statement' and 'Audit evidence'. The list shows several entries, including one titled 'Clinical Medicine' and another titled 'Clinical Medicine Panel A'. The interface also includes a 'Sort by' dropdown menu and a 'View' button.

Updated ability to attribute two authors on double-weighted outputs

Until this release, it was possible to attribute 2 authors to double-weighted outputs only if they were attributed to a Unit of Assessments in main panel D.
 It is now possible to attribute 2 authors to double-weighted outputs regardless of which Unit of Assessment the REF1s belong to: the REF1s can be linked to Unit of Assessment in main panel A, B, C or D.

Attribution

Lacked attribution

Internal authors	Significant contribution	REF1 attribution	Attribution rates (internal)
Ereidahl, Karan Nielsen 20: Social Work and Social Policy Staff category: B Eligibility: Yes Inclusion in REF submission: Yes	<input checked="" type="radio"/> Yes <input type="radio"/> No	Yes	
Larsen, Christian Albrekt 20: Social Work and Social Policy Staff category: A Eligibility: Yes Inclusion in REF submission: Yes	<input checked="" type="radio"/> Yes <input type="radio"/> No	Yes	

Select two contributors

Update to the "Date of Birth override value" field

We have introduced a minor update to the "Date of birth override" field in the REF1 editor.

The "Date of Birth override value" field is now placed next to "Person Date of Birth" field synchronized from the Person editor. This way you can quickly see if any details are missing or need to be updated.

Person

Person *

Larsen, Christian Albrekt
 Submitted to REF2014: no
 Professor, Department of Politics, 1/1/98 → present
 Professor, Welfare studies, 1/1/00 → present
[My portal profile](#)

Person Date of Birth Date of Birth override value

No value 08/06/2020

Example: 10/21/2002

REF2021 StaffSynchronization (I) job creates too many REF1b's

It has come to our attention that the 'REF2021 StaffSynchronization (I)' job has been a little too eager in creating REF1bs. Currently, the job creates REF1bs for Persons with all Organization Affiliation end dates before the REF2021 start date (2014/01/01). As a result, they have no Organization Affiliations ending after the REF2021 start date.

We have updated the job so that it only create REF1bs for Persons where their Organization Affiliation ends between the REF2021 start date and the REF2020 Census end date.

Also, a new filter called 'Eligible employment period(s)' has been added to REF1 filters to locate the incorrectly created REF1bs.

Search for REF1 (2021)

Eligible employment period(s)

REF1s with eligible employment period(s)

REF1s with no eligible employment period(s)

Out of memory errors when submitting data

We have fixed a critical error where, when sending data to the submission system could cause an out of memory error, if there was a lot of PDF files in the submission data. This have now been resolved.

REF5a additional fields

Research England have proposed some additional fields for the REF5 model to capture the impact of COVID-19. We have introduce these fields with this release of Pure. We have introduce a new field where it is possible to write the 500 words statement for the Environment template.

REF3 additional fields

Research England have proposed some additional fields for the REF model to capture the impact of COVID-19. We have introduce these fields with this release of Pure. We have introduce a new field where it is possible to write the 100 words statement for impacted case studies. We have also added the ability to report on this new field in the new reporting module.

PDF files on REF2

With this release we have changed the logic for which files we are using as the PDF file to send to the submission system. We now **only** use the PDF files that are uploaded directly to the REF2.


DOI/PDF/Physical copy tracking

PDF required: Document uploaded to Pure

DOI searched for but does not exist

Yes No

Electronic version

 dummy (1)
10.1111/1365-3113/131003-2020106.pdf, 840 KB, application/pdf

Show Edit -



This could mean that some REF2 that previously passed validation don't any more, if they are of type **G,S** or **U**, a PDF file must be uploaded to the REF2 editor before validation will pass.

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Option to enable/disable sending files

We have introduced an option to disable or enable sending any files to the submission system. This in changed in the administrator interface of Pure. administrator system settings ref2021. The setting is called '*Include files in the submission XML upload.*'



To quickly find the option use the search functionality and search for 'files'

Configuration

1 files

3 results

Allowed Word file extensions
A comma-separated list of the extensions qualifying as Word files
.doc, .docx

Allowed PDF file extensions
A comma-separated list of file extensions qualifying as PDF files
.pdf

Include files in the submission XML upload.
When disabled all files will be excluded from the submission XML. Turn off if you want to avoid hitting the size limit for the XML when submitting to REF2021 (currently at ~100 MB).
 Off

REF 2021 Submission Page

To avoid exceeding the current size limit for the total submission, all PDF files on REF2s and REF3s are excluded from the submission XML. To change this, when 'Include files in the submission XML upload'

Choose unit of assessment (DOI)

Choose submission type REF forms to submit

Merge REF1-5

Merge and recognised REF6

Submit to REF

Previous jobs

Start Job name Units of assessment Submission type REF forms submitted Duration Job progress Job status Reports

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5.17

5.17 Release notes

Submission to the submission system of REF1-REF4

We are still working on the validation tab **Data to be submitted**, and this will not be finalised for this release.

With this release we've enabled the ability to submit REF1-REF4 to the submission system. This is done the same place where the REF6 could be submitted. Please read more about the configuration of the [Integration with the submission system](#) in the REF documentation.

Improvements to Open Access

Pure now provides a suggested OA status which uses all of the available information to give the best indication of the OA status in relation to REF. We changed the OA status field to be a manually changed, and combined with an internal OA notes to record why the status has been changed. The OA status will follow the suggested OA status, until it is changed manually, then it will keep that status. The OA status will be the one that is submitted to the REF system. Read more about the OA status in the [Open Access compliance](#) section of the REF documentation. We've updated the REF Open Access functionality in Pure. In some cases Pure wasn't able to calculate the correct open access status, due to missing dates or the document being hosted, and OA dates being controlled, by another HEI.

Up until 5.17.0, the calculation of the embargo period has been handled on the REF2. Therefore you could see scenarios where the Research Output stated it was Open Access compliant, but when navigating to the REF2 it stated it was not compliant since the embargo period was longer than the maximum stated by the panel. We have in this release moved the handling of embargo period to the Research Output and you can, therefore, expect to see changes to REF OA status on your Research Output. If the research output is related to a REF2 we will consider the maximum on embargo length. (Associated to panel A or B = 12 months, associated with panel C or D = 24 months).

If a research output is not related to a REF2 and adhere to the other REF OA criteria then we calculate the following REF OA status:

- If the embargo period is < 13 month = *Compliant*
- If the embargo period is between 13-24 month = *indeterminate*
- If the embargo period is > 24 month = *Non compliant*

i Only **REF administrator**, **administrator** and **publication-administrator** roles can change the actual OA status.

With this release, we've updated the functionality for 'refreshing' the access date on the electronic versions on the research output.

The logic is as follows:

If public access to the file is closed :

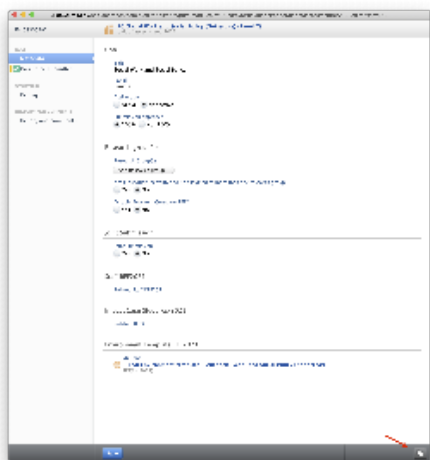
- The date is set to null, i.e. is not set

If public access to the files is open or embargoed:

- The access date will be the embargo end date if the file is under embargo, otherwise
- the access will be the creation date of the electronic version

With this change, any electronic version that has been incorrectly created can now be corrected without the access date to be set to today's date.

Multiple submission



It is now possible to enable multiple submissions in Pure. When the multiple submission is enabled it is possible to create a 'copy' of an existing UOA which will create the sub UOA. This can then be used as a regular UOA in terms of the REF functionality in Pure. Read more about the [Multiple Submissions](#) in the REF documentation.

i Important

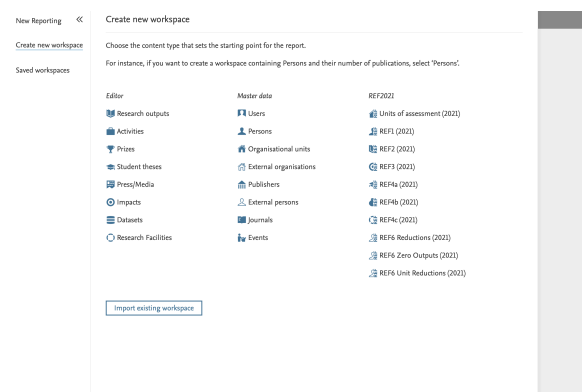
Please note, this should only be done once permission to submit multiple submissions has been granted by Research England.

REF4b 4c income source and income in kind

The documentation and templates for REF4b and REF4c data have been updated. This can

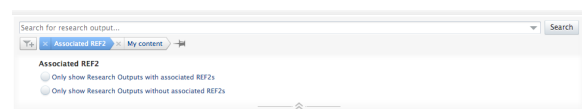
be found at [REF4b - Research Income](#) and [REF4c - Research income-in-kind](#). The Income Sources used for REF4b and the Income-In-Kind types used for REF4c have been altered by REF. As a consequence previous data is invalid and all REF4b and REF4c data will, therefore, be **deleted** when updating to Pure 5.17.0. In effect, this means that all institutions must upload their REF4b and REF4c data again using the new Income Sources and Income-In-Kind types.

Reporting on REF3, REF4 and REF6



With this release the REF3, REF4, and REF6 models can now be used in the new reporting module, to help you with providing an overview of these models.

Locate Research Output without REF2



To help with finding research outputs that should be proposed for REF, but hasn't yet, we've created a new filter on research outputs. With this it is possible to filter for all outputs that doesn't have a REF2, combine this with additional filters for instance date filter and research output type filter to narrow the search to only relevant research outputs that should be proposed for REF.

Migrating REF2 data

This has been fixed by introducing a new migration script which changes the workflow /selection state to 'Selected for UoA pool' for all REF2s which have been attributed and has workflow/selection state other than 'Selected for UoA pool'. Prior to 5.16.0 was possible to attribute a REF2 when it was not in workflow/selection state 'Selected for UoA pool'. In 5.16.0 we made it so it locked all attributed REF2s and as a result they could be attributed and have locked attribution while having a 'wrong' REF2 workflow/selection state.

After the fix is applied you have to the following in order to be able to edit/change the workflow state for the REF2s:

1. Set 'Attribution -> Locked attribution' to 'Off'
2. Set 'Attribution -> REF1 attribution' to 'No' for all attributed REF1s


Incomplete Publication Status Dates affecting OA Compliance Status calculations

In order to help to identify and correct incomplete Publication Status dates we have added a filter named 'Incomplete publication status dates' which can be applied in the 'Research output' list. Incomplete Publication Status dates can affect the OA Compliance Status calculations. In order to ensure that the calculations are correct no incomplete Publication Status dates should exist.



In addition, if the REF2021 module is enabled a warning message will be shown in the bottom of the 'Publication status' section of the Research Output editor if an 'Publication status' date has incomplete date information (e.g. if only the year has been specified).



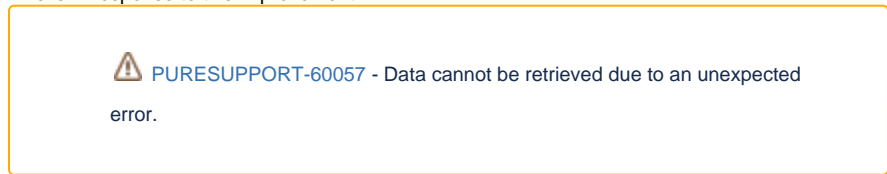
 The filter used to get "Publication Statuses" with incomplete dates is not specific to REF 2021 as it may be useful in other use cases

Reporting on authors proposing comments

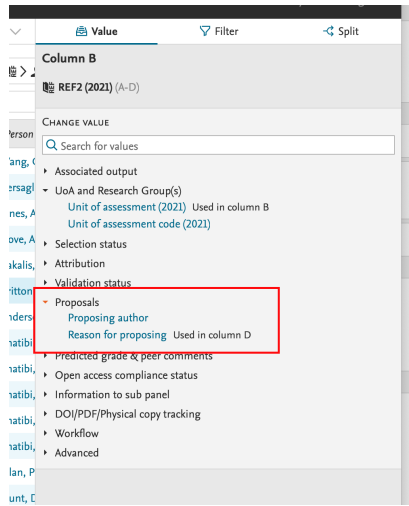
With this release we've updated the ways to report on authors reason for proposing. Previously it was only possible to get this information from the `person`, but with this release we've added the possibility to get the authors reason for proposing via the REF2 as well.

We've attached two examples of reporting on the authors reason for proposing, one from the REF1s point of view ([REF1 overview of proposals.json](#)), and one from the REF2 ([REF2 by proposing author with reason.json](#)) These are ready made reports that can be imported into the new reporting module using the import functionality

This is in response to this improvement




A screenshot of where to find the 'Reason for proposing' on the REF2 value tab



Bulk copy of proposer comments to additional information

With this release we have added a new bulk operation that enables administrators to bulk copy what is in authors reason for proposal into additional information, and if the authors have proposed the outputs as a double weighted output and given a reason for this, this will be copied to 'Request for double weighting reason'.

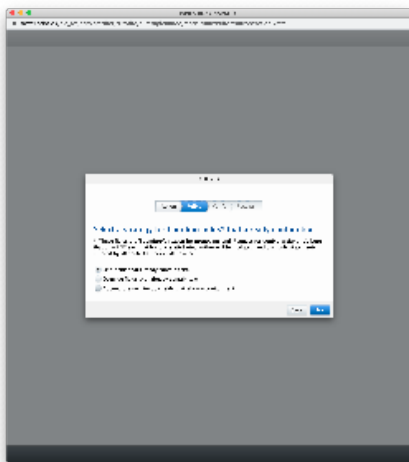
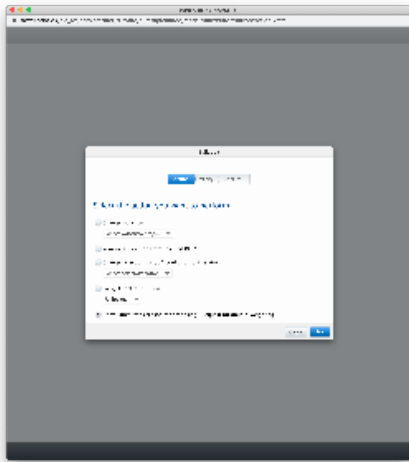
This is in response to this improvement

 PURESUPPORT-51999 - Data cannot be retrieved due to an unexpected error.

When selecting which outputs to alter, some additional options are being presented. What should happen if there is information in the Additional information already.

The options are:

1. Skip
2. Override
3. Append




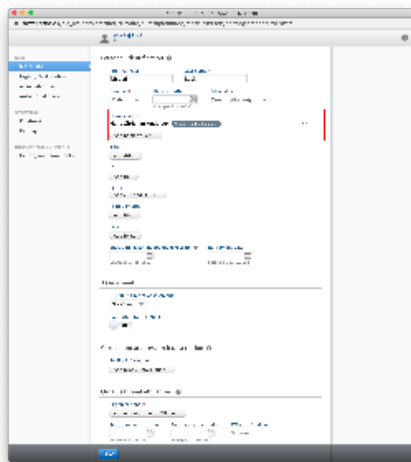
Name of REF1

In this release we've updated the logic for resolving the names for staff to be in line with the REF guidelines.

If the person have entered a default publishing name then this is used for the name of the REF1, Pure will fallback to the default name if the default publishing name isn't specified

This is in response to this improvement

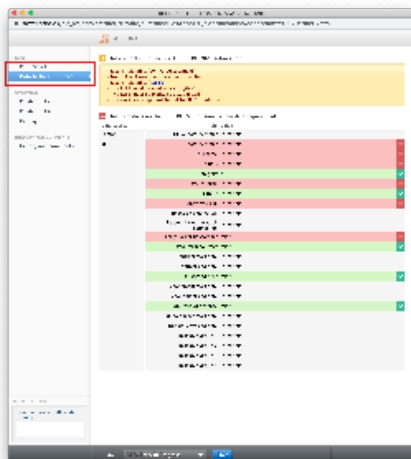
 PURESUPPORT-60339 - Data cannot be retrieved due to an unexpected error.



Validation rules on 'Data to be submitted' tab

With this release we've updated the validation rules for REF1 and REF2, which can be seen on the 'Data to be submitted' tab in the editors for these two types.

The guidance that we've used for this is found [here](#)



5.16

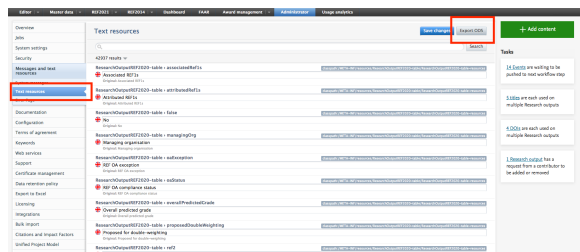
5.16

Deletion of old text resources (copied from REF2014)

When the REF2021 module was created, it was originally a copy of the REF2014 module. With the copy, we also copied REF2014 related text resources. These text resources are no longer accurate and can be misleading. While we are able to overwrite the original text resources with new and accurate texts, we cannot overwrite manual changes that have been done by clients.

In order to avoid confusion, manually added text resources related to the REF2021 module, will be deleted with the upgrade to 5.16.0. Unfortunately, that also means that text resource changes you have added to the REF2021 after the original copy of the module will be overwritten.

If you would like to get an overview of your current text resources, in order to bring them back to the system after upgrade to 5.16.0, we recommend extracting these prior to the upgrade. This can be done on the Administration tab > Messages and text resources > Text resources > Export ODS.



Attribution of REF2

With 5.16 there are now three ways of defining attributions of REF2s to staff members: Manual attribution, using the attribution algorithm, and using a spreadsheet upload.

Attribution algorithm

An algorithm has been introduced that, for each UoA, calculates the optimal way to attribute REF2s to staff members to achieve the maximum calculated GPA, whilst respecting any manual attributions that have been entered and 'locked'.

In version 5.16 the algorithm runs on the **REF2021 > REF2 (2021) > Attribution algorithm** tab. Progress is shown in a progress bar.

Once the algorithm is complete, you can see the results in the table and the calculated GPA.

You can read more about the attribution algorithm and how to access the job log in the [REF2021 wiki](#).

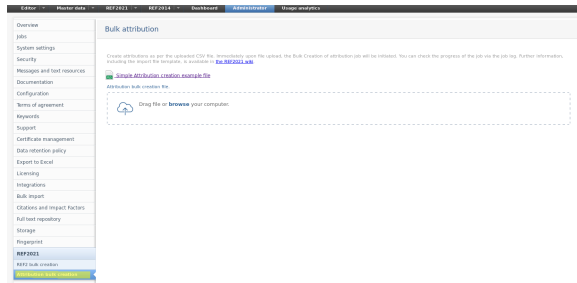
Spreadsheet upload of attribution

A new job enables users to create attributions based on a CSV input file. This is found under **Administrator > REF2021 > Attribution bulk creation**.

The CSV input file must contain the IDs of REF2s that need attributions and the Staff IDs that need to be attributed. You can view an example file with the correct structure.

Once you upload the CSV file the attributions are performed immediately.

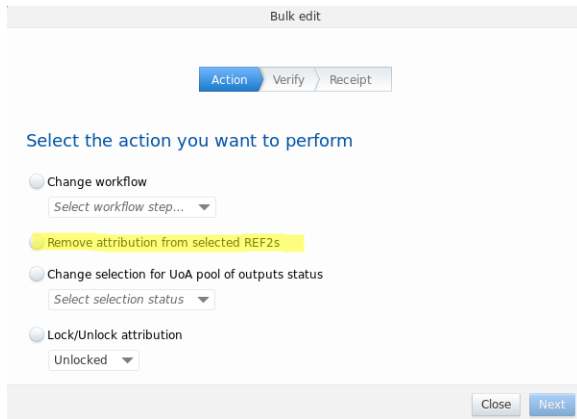
You can view the job log at **Administrator > Jobs > Job log > Bulk creation of Attributions**.



Further information about this job can be found [here](#).

Bulk operation for attribution removal

Removal of attributions is now available as bulk edit option.



REF3 Updates for REF2021

Due to changes in the REF requirements from 2014 to 2021, Pure has been updated to reflect the changed needs in REF3.

The following changes have been made:

1. The REF3a content type has been removed. You can no longer access the editor window for REF3a to add, edit or view content. On upgrade to 5.16.0 all existing REF3a content in the REF2021 module is deleted. Note: Any REF3a content that you have in the older REF2014 module is unaffected.
2. REF3b has been renamed to REF3. This is due to the removal of the REF3a content type and follows the standard in the REF requirements.

3. An **Additional contextual information** section was added to the REF3 editor window (see screenshot below).

Additional contextual information

Grant number

Funder name

Global Research Identifier

Amount of grant (in GBP (Sterling))
 GBP

ORCID

Name of formal partner

Country where the impact occurred

Cancel Create

REF4 a/b/c

REF4a and REF4b synchronization jobs

With this release the REF4a/b/c has been updated to fit the requirements of the REF2021 submission.

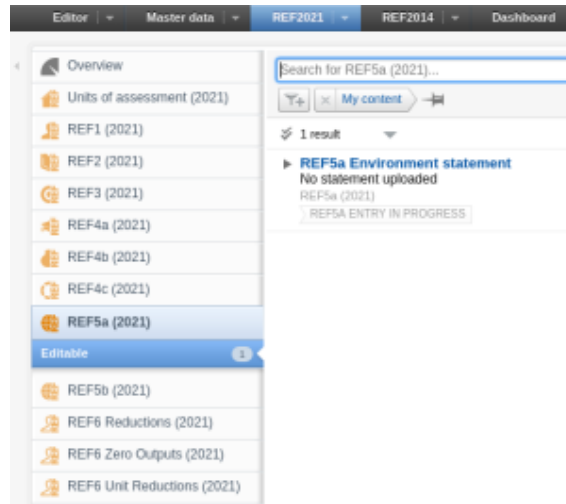
During the development of REF4a and REF4b the option for setting 'REF4a sync type' and 'REF4b sync type' to 'PURE' has been removed in both the 'REF2021: REF4a Synchronisation Job' and 'REF2021: REF4b Synchronisation Job'.

As any existing jobs would be invalidated, a migration script has been made which removes any existing jobs of these types. The consequence is that you have to add and configure the jobs again. Further information on the jobs can be found in [REF2021 wiki](#).

REF5

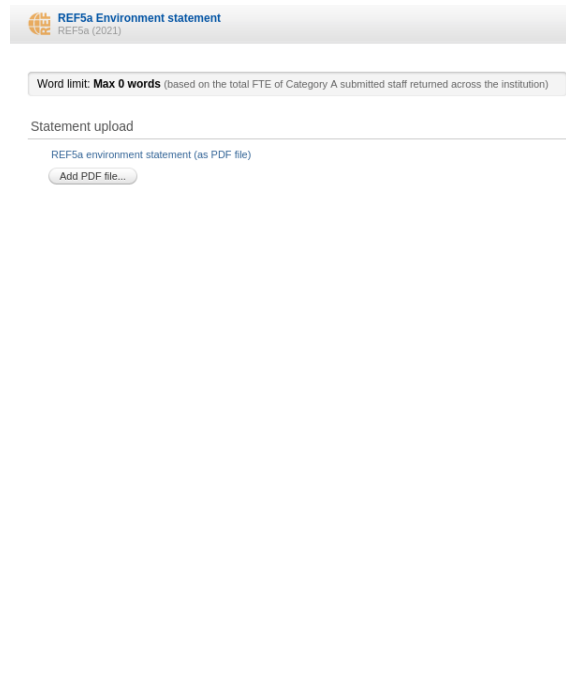
REF5a and REF5b has been added to the REF2021 module and is available for users with Admin or REF2020 Admin rights.

REF5a	
<p>REF5a can be used to provide a single statement on institutional level regarding the institution's strategy and resources to support research and enable impact as described in 'REF2021 Guidance on Submissions (page 80)'.</p>	



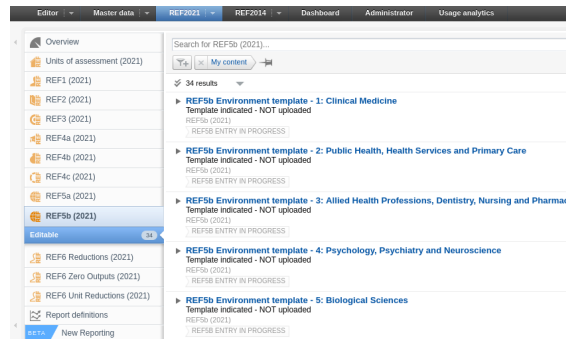
In the REF5a editor the user can upload a file containing the institutional-level environment statement.

The Word limit info bar shows the maximum allowed words in the uploaded statement. It depends on the total FTE of Category A submitted staff returned across the institution and is calculated as stated in Table F1 on page 93 in 'REF2021 Guidance on Submissions'. The max word value is for **guidance only** and no validation is done on the uploaded file regarding whether it conforms to this limit. Hence, it is up to the person uploading the file to ensure that it does not exceed the max words restriction.



REF5b

REF5b can be used to provide a information regarding research and impact for each submitting Unit of Assessment as described in 'REF2021 Guidance on Submissions (page 81)'.



In the REF5b editor the user can upload a file containing information about the environment for research and enabling impact for the given Unit of Assessment.

The Word limit info bar shows the maximum allowed words in the uploaded information file. It depends on the total FTE of Category A submitted staff included in the submission and is calculated as stated in Table F2 on page 94 in 'REF2021 Guidance on Submissions'. The max word value is for **guidance only** and no validation is done on the uploaded file regarding whether it conforms to this limit. Hence, it is up to the person uploading the file to ensure that it does not exceed the max words restriction.

The screenshot shows the 'REF5b Environment template - 1: Clinical Medicine' interface. At the top, it displays 'REF5b (2021)'. Below this, a 'Word limit: Max 13600 words' is shown, with a note '(based on the total FTE of Category A submitted staff included in the submission)'. The 'Relations' section lists 'Unit of Assessment # 1: Clinical Medicine (Panel A)' with a sub-note 'Unit of assessment (2021)'. The 'Template upload' section shows 'REF5b environment template (as PDF file)' and an 'Add PDF file...' button.

Bug resolved that could potentially delete REF2

It has come to our attention that a bug has found its way into Pure. In a few scenarios when merging Research Output (merging two Research Outputs with different author lists) a related REF2 could by mistake be deleted.

The bug has been fixed with version 5.16.0 and we have for this release created a migration script that will recreate the deleted records. The script will run automatically with deploying version 5.16.0.

The bug has been fixed with version 5.16.0 and we have for this release created a migration script that will recreate the deleted records. The script will run automatically with deploying version 5.16.0.

The migration will create a filehandle with an Excel document that lists the REF2s that are recreated. You can locate the file on Master data -> Filehandles -> 'REF2021 Recreate Deleted REF2s Migration'

We recommend that you take a look at the REF2s in the Excel sheet to ensure that they have the correct information, e.g.:

- Workflow for selection to REF2021
- Predicted grade of the REF2 (Peer comments are not affected by this)
- Attribution

Note: If the excel sheet is empty, no REF2s has been affected by the bug.

Performance optimizations on REF overview screens

For this release we have worked on optimizing the performance of the newly introduced REF2021 overview screens. The performance improvements is reflected on all roles, but especially editorials roles can expect a performance improvement on up to 30 percent. For instances running on Oracle databases we have removed some of the obstacles that has cause significant slowdowns. Oracle servers will now have comparable performance to other databases.

In upcoming releases there will be further focus on performance of the REF2021 overview screens.

Reporting on Proposing text

Submitter's reason for proposing has been added to the new report module.

In order to report on the data added by the researcher in "Submitters' reason for proposing" an output for REF2021, you will in the report module have to look into the relation between the Person and the Research Output.

A suggestion for a report could be

- Start your report by reporting on Persons
- Add a second column on Value on Person Submitters' reason for proposing
- Add a their column on Content related to Persons -> "Research Output" - here select "Proposed"
- Click on Expand

It is possible to start you report on other content types, as long as the report also contains information on Person and the relation to Research Output.

REF2021: Submission of REF6 to REF submission system

In this version of Pure we have started the connection between Pure and the REF submission system.

For this version, it is possible to submit REF6 and we will in the coming releases work on making the remaining REF content types ready for submission

The submission can be done as an administrator under Unit of assessment (2021) Submission to REF2021.

REF 2021 Submission Page

Choose unit of assessment
 1: Clinical Medicine (Start) | 2: Public Health, Health Services and Primary Care (Start) | 3: Allied Health Professions, Dentistry, Nursing and Pharmacy (Start) (Start) | X

Choose submission type
 Merge
 Replace

REF forms to submit
 REF6

[Submit to REF](#)

Start	Job title	Unit of assessment	Submission type	REF form submitted	Deadline	Job progress	Job outcome	Reports
19 Nov 2019 9:35	Jana Doe	0: Chemistry	Merge	REF6	00:00:00	✓ SUBMITTED	✓ Success	View
19 Nov 2019 9:38	Jana Doe	0: Chemistry	Merge	REF6	00:00:01	✓ SUBMITTED	✓ Success	View
19 Nov 2019 9:34	Jana Doe	0: Chemistry	Merge	REF6	00:00:00	✓ SUBMITTED	✓ Success	View
18 Nov 2019 12:01	Jana Doe	0: Chemistry	Merge	REF6	00:00:00	✓ SUBMITTED	✓ Success	View
18 Nov 2019 7:45	John Doe	1: Clinical Medicine	Merge	REF6	00:00:00	✓ SUBMITTED	✓ Success	View
18 Nov 2019 7:28	John Doe	2: Clinical Medicine (1-4)	Merge	REF6	00:00:08	✓ SUBMITTED	Δ Errors	View
15 Nov 2019 14:23	Jana Doe	0: Chemistry	Merge	REF6	00:00:00	✓ SUBMITTED	Δ Errors	View
15 Nov 2019 14:22	Jana Doe	0: Chemistry	Replace	REF6	00:00:01	✓ SUBMITTED	Δ Errors	View
15 Nov 2019 14:20	John Doe	1: Clinical Medicine	Merge	REF6	00:00:01	✓ SUBMITTED	Δ Errors	View
15 Nov 2019 13:24	John Doe	2: Public Health, Health S.	Merge	REF6	00:00:01	✓ SUBMITTED	✓ Success	View

Setting up integration with the submission system

In order to start sending data to the submission system a few steps needs to be taken both in Pure and in the submission system:

Setting up REF2021 submission integration in submission system

In order to submit REF6 reductions for REF 2021, you must set up an **Automated user** in the REF 2021 submission system. Once this has been created you will receive an API Key, which is needed for configuration in Pure.

Home > User administration > Manage user

Manage user

This record was last updated on 19/11/2019 at 09:21:57 by Jens Laurits Pedersen

User details

Account type: Automated user

Email: jens.laurits.pedersen@elsevier.com

Name: Jens Laurits Pedersen

API Key: [View API key](#)

Restriction: None

Account expires: jkmmrjywt

[Edit](#)

User functions

Delete data
 Import
 Export
 Output matching

Submission management
 News items
 Survey of submission intentions

[Edit](#)

In addition, you will need to grant permission for the automated user, to **Import** data and the necessary user permissions for the individual Unit of Assessment and forms (Write permission):

Submission	User profile
1 - Clinical Medicine	RG, REF1a, REF1b, REF1c, REF1d
2 - Public Health, Health Services and Primary Care	RG, REF1a, REF1b, REF1c, REF1d
3 - Allied Health Professions, Dentistry, Nursing and Pharmacy	RG, REF1a, REF1b, REF1c, REF1d
4 - Psychology, Psychiatry and Neuroscience	RG, REF1a, REF1b, REF1c, REF1d
5 - Biological Sciences	RG, REF1a, REF1b, REF1c, REF1d
6 - Agriculture, Food and Veterinary Sciences	RG, REF1a, REF1b, REF1c, REF1d
7 - Earth Systems and Environmental Sciences	RG, REF1a, REF1b, REF1c, REF1d, REF1e

Edit form permissions - Jens Laurits Pedersen

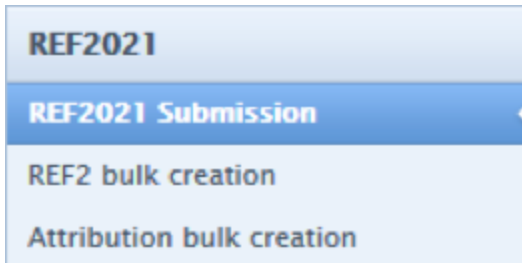
Help me with this page

Submission	RG	REF1a	REF2	REF4a	REF4b	REF4c	REF6a	REF6b
1 - Clinical Medicine	Write	Write	Write	Write	Write	Write	Write	Write
2 - Public Health, Health Services and Primary Care	Write	None	Write	Write	None	Write	Write	Write
3 - Allied Health Professions, Dentistry, Nursing and Pharmacy	Write	None	Write	Write	None	Write	Write	Write
4 - Psychology, Psychiatry and Neuroscience	Write	None	Write	Write	None	Write	Write	Write
5 - Biological Sciences	Write	None	Write	Write	None	Write	Write	Write
6 - Agriculture, Food and Veterinary Sciences	Write	None	Write	Write	None	Write	Write	Write
7 - Earth Systems and Environmental Sciences	Write	Write	Write	Write	Write	Write	Write	Write

Back to UoA selection Apply permissions Cancel

Setting up REF2021 submission integration in Pure:

Once the user has been setup you can configure Pure with the API Key and the API URL. (**Administrator > REF2021 > REF2021 Submission**)



REF2021 Submission

Here you can modify the submission configuration for REF2021

REF2021 API Configuration

API URL
<https://testsubmissionsapi.ref.ac.uk>

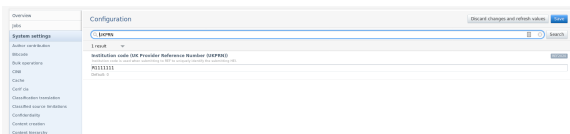
API Key

Save Refresh

API URL for the Submission test system: <https://testsubmissionsapi.ref.ac.uk>

API URL for Submission production system: <https://submissionsapi.ref.ac.uk>

Finally, you also need to configure the UKPRN number for the submission (Administration tab system settings REF2021 Institution code (UK Provider Reference Number (UKPRN)))

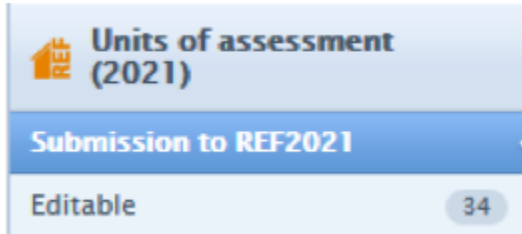


Official documentation <https://ref.ac.uk/submission-system/>

Submission of REF6 - Submission screen

After the configuration of connection to the submission system has been set up, REF6 data (and later other content type) can be passed on to the submission system from the REF2021 Submission page (**REF2021 Unit of Assessment Submission to REF2021**)

The submission page is available for Administrators



It is possible to either select all Units of Assessment (> All UOAs) or only select the UOAs that are relevant to your institution, by clicking on them separately.

Once all reductions have been confirmed and the relevant UOAs have been selected, choose submission type and complete submission to REF.

REF 2021 Submission Page

Choose units of assessment

Choose submission type

Submit to REF

Startid	Job start	Units of assessment	Submission type	REF items submitted	Duration	Job progress	Job outcome	Reports
19 Nov 2019 9:35	Jana Doe	B: Chemistry	Merge	REF6	00:00:00	✓ SUBMITTED	✓ Success	View
19 Nov 2019 9:38	Jana Doe	B: Chemistry	Merge	REF6	00:00:01	✓ SUBMITTED	✓ Success	View
19 Nov 2019 9:54	Jana Doe	B: Chemistry	Merge	REF6	00:00:00	✓ SUBMITTED	✓ Success	View
18 Nov 2019 12:41	Jana Doe	B: Chemistry	Merge	REF6	00:00:00	✓ SUBMITTED	✓ Success	View
18 Nov 2019 7:43	John Doe	1: Clinical Medicine	Merge	REF6	00:00:00	✓ SUBMITTED	✓ Success	View
18 Nov 2019 7:28	John Doe	1: Clinical Medicine (1) Merge	Merge	REF6	00:00:08	✓ SUBMITTED	Δ Error	View
15 Nov 2019 16:23	Jana Doe	B: Chemistry	Merge	REF6	00:00:00	✓ SUBMITTED	Δ Error	View
15 Nov 2019 14:22	Jana Doe	B: Chemistry	Replace	REF6	00:00:01	✓ SUBMITTED	Δ Error	View
15 Nov 2019 14:20	John Doe	1: Clinical Medicine	Merge	REF6	00:00:01	✓ SUBMITTED	Δ Error	View
15 Nov 2019 13:24	John Doe	2: Public Health, Health S: Merge	Merge	REF6	00:00:01	✓ SUBMITTED	✓ Success	View

Submitting REF6 information

In order for REF6 information (REF6 reduction, REF6 Zero output and REF6 Unit reduction) to be passed on to the submission system, the content and related content needs to be in the final work flow state.

For passing on REF6 reductions - the REF6 reduction + REF1 + Unit reduction needs to be in final workflow state

For passing on REF6 zero output - REF6 zero output + REF6 reduction + REF1 + Unit reduction needs to be in final workflow state



For this version of Pure the tab "data to be submitted" has not been fully developed and is still a work in progress.

Further information on the submission to the Submission system can be found in the [REF documentation](#)

REF2021: Updates to the Attribution Algorithm

- Super editors of REF2 now have access to the attribution algorithm summary screen and permission to run the algorithm and reset the attributions within their units of assessment.
- The attribution algorithm summary screen now reports on the number of allowed Open Access non-compliant outputs that are allowed, and the number of non-compliant outputs attributed.
- The calculation of the required number of outputs for Submission has changed to use either 2 1/2 times the total FTE of submitted category A staff, or the head count of submitted category A staff, whatever is largest.
- If a REF1a has no REF2s against it, the algorithm will subtract the number from the Output required for submission by 1. Example, if a UoA is required to submit 100 outputs, but have 2 REF1a without any publications in the state "selected for the pool" - the attribution algorithm will only attribute up to 98 REF2s


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REF2021: Reserved Outputs

The REF2 editor has been updated with the ability to handle reserved outputs in regards to pending publication.

The following REF2s can be used as a reserve:

- The REF2 needs to be within the same UoA
- Has not been used as a reserved on another REF2
- Does not have a reserved assigned
- Is not attributed
- Is not a pending publication
- Is not double weighted



The screenshot shows two sections of the REF2 editor interface:

- Reserve output needed – double weight**: Includes a radio button for "Yes" (selected) and "No", a text input field for "Request for double-weighting this output (max 100 words)", a word count indicator "Words 0 Max 100", and a "Reserve output" button.
- Reserve output needed – pending publication**: Includes a radio button for "Yes" (selected) and "No", a "Reserve output" button, and a "Publication that will be a reserve" section with a dropdown menu currently set to "REF2 (Output REF2021)".
- Output acts as reserve output**: A section with the text "This output is selected as a reserve output for" and a dropdown menu currently set to "None".

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REF2021: Output allocation for REF2

According to *Panel and Criteria working methods* sub-panels 7, 10, 11, 12, 26, 27, 28, 29, 33, 34 require additional information in order to allocate output to different readers through the assessment phase. In order to provide this information, we have introduced a new section in the REF2 editor called "Output allocation".

Information to sub panel

Output sub-profile category

No value ▼

Output allocation

Select Output allocation

Additional information

The "Output allocation" section is only available on the REF2 editor if related to one of the mentioned UoA and the classification scheme will differ depending on the UoA assigned

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REF2021: Sub-profile category

In accordance with the "Panel criteria and working methods" section 180 and 183, we have introduced a classification scheme used to capture categories for sub-profile allocation. The classification schemes are available on REF2s related to UoA 3 and 12

Information to sub panel

Output sub-profile category

No value ▼

No value

Output sub-profile category (UoA 12) ▶

- Aeronautical
- Mechanical and Manufacturing Engineering
- Bio-engineering
- Civil and Construction Engineering
- Chemical Engineering
- Electrical and Electronic Engineering
- General Engineering
- Metallurgy and Materials

Additional information

This includes information about the research author's contribution to co-authored outputs in this field.

Words 0 / Max. 300

REF2 supplementary information DOI

Characters 0 / Max. 1024

the significance of the output, the other information on completing this field.

Information to sub panel

Output sub-profile category

No value ▼

No value

Output sub-profile category (UoA 3) ▶

- Nursing
- Dentistry
- Pharmacy
- Allied Health Professions and Biomedical Sciences

Additional information

This includes information about the research author's contribution to co-authored outputs in this field.

Words 0 / Max. 300

REF2 supplementary information DOI

Characters 0 / Max. 1024

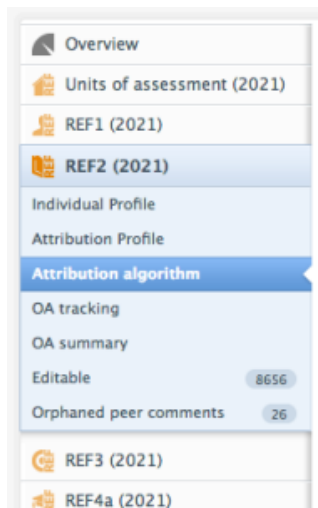
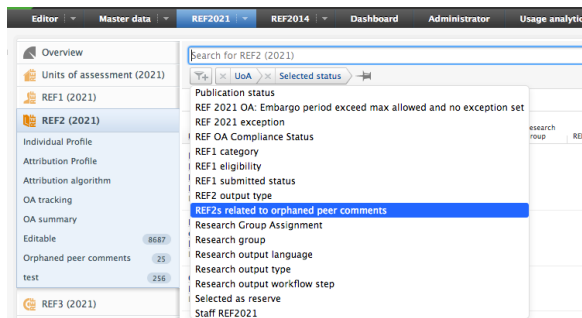
the significance of the output, the other information on completing this field.

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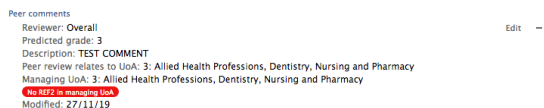
REF2021: Orphan peer comments

When there is a change of the UoA of a REF1, we can end up in a situation where the managing organisation of the peer comment on the REF2, no longer is the same as the UoAs mentioned on the REF2. The consequence of this is, that it is only users with global roles on REF2 that can see these peer comment.

In order to locate these "orphan peer comment" and correct these, we have introduced a new filter. The filter is called "REF2s related to peer comments" and can be found under REF2 and as a fixed filter in the left side menu



Also we have in the REF2 editor highlighted the peer comment that needs to be updated



To correct the Peer comment, click on "Edit" and change the managing organisation to the relevant UoA

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5.15

5.15

Re-introduction of Summary Screens

For this release 4 new summary screens have been introduced. The overview screen will replace the previous overview screens removed in version 5.14.0 and has been developed alongside with the UK REF User group in order to capture key elements of the REF2021 submission.

REF1:

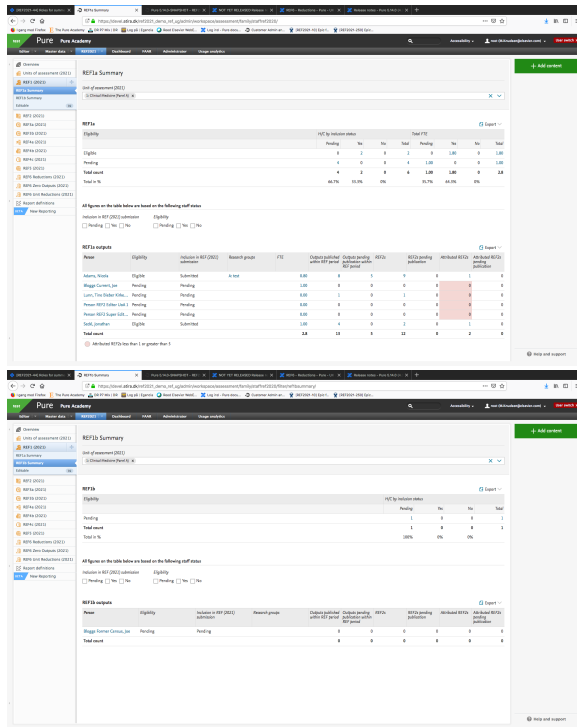
- REF1a Summary
- REF1b Summary

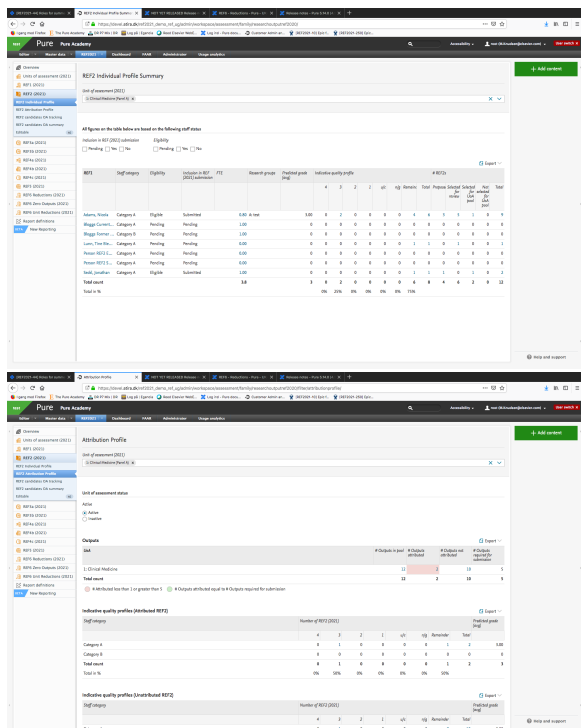
REF2:

- REF2 Individual profile
- REF2 Attribution profile

Key elements on the summary screens are:

- Each summary screen consists of multiple tables
- Individual tables can be downloaded to Excel
- The individual tables on the overview screens contains separate filtering options
- The tables can be sorted by clicking on the individual headings (notice heading that consists of split functionality cannot be sorted)
- On most numbers and names mentioned in the tables, navigation is possible, this being either opening the editor in question or navigating to the list of related items
- Color coding of fields has been included to emphasize areas that needs attention





All summary screens have been created using functionalities in the New Report Module. Therefore, all summary screens are also available as workspaces in "Shared by Institution". These report definitions can be used as the starting point for other reports on REF content. Changes to these reports will not affect the summary screens. Saved reports can be found in the "Created by me" section.

REF2 Attribution

With this release we have introduced the option of manual attribution of REF2s to REF1s.

From version 5.15.0 you are now able to start the manual attribution of REF1s to REF2s.

On the REF2 Editor an Attribution section has been added. The section consists of 5 parts:

- Listing of internal authors (REF1) taken from the related Research Output
- Indication of significant contribution
- REF1 attribution
- Attribution notes
- Colour coding

Attribution

Internal authors	Significant contribution	REF1 attribution	Attribution notes (internal)
Steen Rasmussen, Bodil (Steen Rasmussen, B.) 11: Computer Science and Informa... Staff category: Category A Eligibility: Yes Inclusion in REF submission: Yes	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input checked="" type="radio"/> Yes <input type="radio"/> No	
van Vijk, Thomas (van Vijk, T.) 11: Computer Science and Informa... Staff category: Category A Eligibility: Yes Inclusion in REF submission: Yes	<input checked="" type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	
Adams, Nicola (Adams, N.) 1: Clinical Medicine Staff category: Category A Eligibility: Yes Inclusion in REF submission: Yes			

On the listing of internal authors you will see all REF1 Staff members - both the REF1s assigned to the UoA of the REF2 but also the REF1s related to other UoAs.

For the REF1 Staff members assigned to the UoA of the REF2, you are able to state if the author has a significant contribution to the Research Output.

For those Staff members that are marked as eligible for REF2021 and have a significant contribution, you can attribute the REF1 to the REF2. Note that for REF2 belonging to Panel A, B and C only one author can be attributed. For REF2 belonging to Panel D you can as default also only select one author, but there is a check box with which we allow you to attribute 2 authors.

For all authors belonging to the UoA of the REF2 you will have an attribution note field, that is only for internal purposes and will not be sent to the REF submission system.

A color code has been added to help get a better overview:

- Green indicates a REF1 assigned the the UoA of the REF2 has been attributed.
- Red indicates a REF1 assigned the the UoA of the REF2, but not attributed.
- Gray indicates a REF1 not related to the UoA of the REF2.

Information on attribution will be available on the REF2 Attribution Profile summary screen.

Removal of REF2s that do not have any related REF1s

In the 5.14.0 release, the REF2 model was reworked, and in that process a bug was introduced that could cause REF2s with no associated REF1s to be created.

This was later fixed in 5.14.2. Unfortunately, it left a number of REF2s that do not have any associated REF1s. There is no reason for such REF2s to exist, and therefore, upon upgrading to 5.15.0, those REF2s will be removed automatically. **This does not mean loss of data relevant for the submission.**

The following data is specific for each REF2 that should not exist and will be removed together with these REF2s:

- REF2 grade
- REF workflow
- Information to sub panel
- DOI/PDF/Physical copy tracking

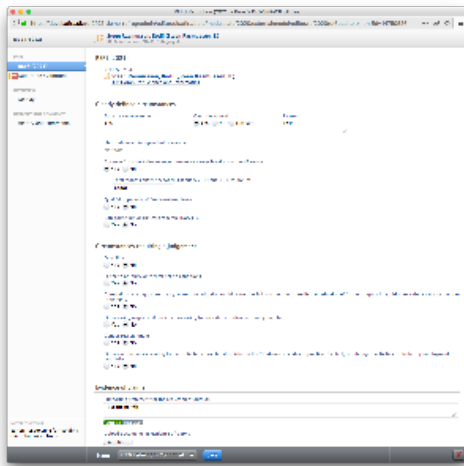
Any peer comments that might have been added will not be deleted, since these are stored on the actual research output.

REF6 Editors

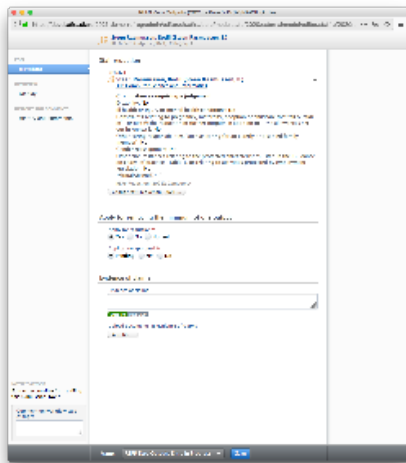
In order to capture staff circumstances leading up to unit reductions, 3 new editor windows have been created

- REF6 Reductions (2021)
- REF6 Zero Outputs (2021)
- REF6 Unit reductions (2021)

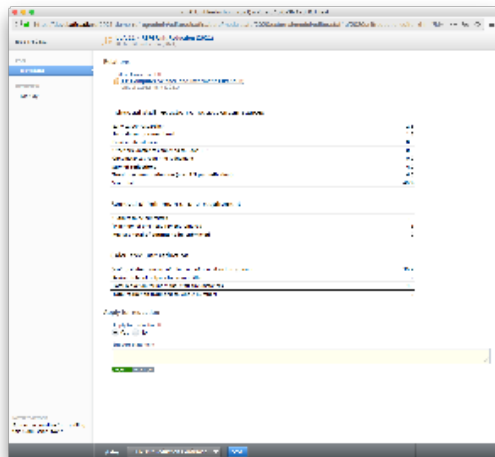
The REF6 Reductions (2021) editor window is used for capturing the relevant data when applying for reduction for eligible researchers.



The REF6 Zero Outputs (2021) editor window is used for creating the application for removal of minimum of 1 output.



The REF6 Unit reductions (2021) editor window is used for summarizing the total number of reductions for the UoA. One Reduction editor is by default created for each UoA and data in the Unit Reduction editor is automatically updated based on data entered in "REF6 reductions" and "REF6 zero output" once this has been parsed on the final workflow step "REF6 Reductions Confirmed" or "REF6 Zero Outputs confirmed".





Important note: With the upgrade to 5.15.0 and the introduction of the REF6 editor windows - the "REF1 Circumstance editor" has been removed and data has NOT been migrated due to the big difference in capturing this information in REF2014 and REF2021.

Therefore it is important that you consider creating a report that captures the information stored in your current REF1b editors before upgrading Pure, if you would like to keep use this information when creating your REF6 Reduction records.

Users that prior to version 5.15.0 had the role "Editor of REF1b" will after the upgrade automatically be assigned the role "Editor of REF6" on the same Unit of Assessment. Also, users that prior to the upgrade had the role "Supereditor of REF1b" will after the upgrade have the role "Supereditor of REF6" of the same Unit of Assessment.

A complete list of roles with access to REF6 content can be found [here](#).

Further information on the REF6 editors and workflow can be found [here](#).

5.14

5.14

Unit of Assessment: Submission approach

With this release you can now record the 'Submission approach' for each UoA. The Submission approach selected will determine the available Eligibility/Selection values available on REF1 staff records. Further information is available in the [REF wiki](#).



1: Clinical Medicine (Panel A)

Unit of assessment (2021)

UoA

Title

Clinical Medicine

Panel

Panel A

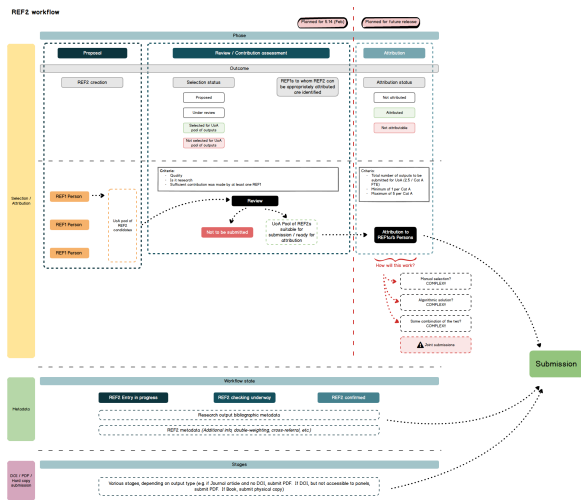
Active UoA

Active Not active

Submission approach

100% Not 100%

New REF2 framework

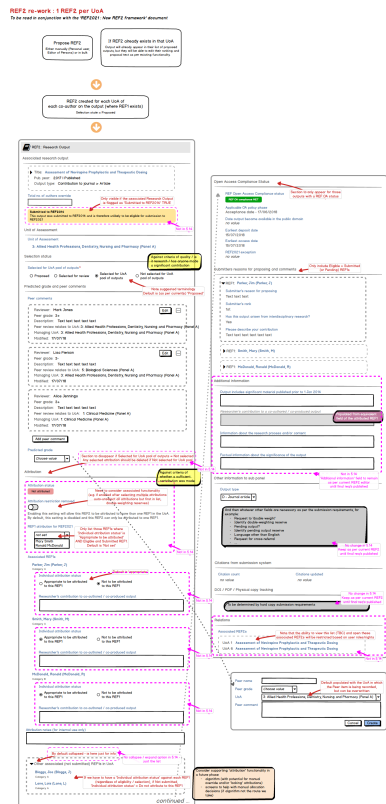


From 5.14, Pure supports a single REF2 per output per UoA. Once proposed by a single individual, a REF2 will be created in each UoA where associated REF1s exist. Where the associated REF1 has no UoA assignment, the REF2 will be created but with no UoA assignment. This re-design of the REF2 framework has wide-ranging implications:

- Migration of existing content (which will result in the merging of existing REF2s and the creation of new ones)
- Aggregation of Peer comments and grades
- Merging and deletion of REF2s when associated REF1s move UoAs
- Personal user experience when proposing new outputs for REF2021
- Updates to existing REF2 jobs
- Updates to user roles and permissions
- REF2 records can no longer be deleted
- Temporary disabling of REF2 Research group assignments
- Impact on existing REF2 report definitions in the 'classic' module

All existing REF2 content will be migrated to the new framework upon upgrade to 5.14.0. As previously communicated to the User Group, the UoA Summary screen, REF1 Summary screen, REF2 Summary screen, and REF2 Summary Stats screen have been disabled in 5.14, to be re-introduced in 5.15 (see specifications in the [5.15 development plan](#)).

The full implications of the updated REF2 framework are described in the following documentation:



? Unknown Attachment

5.13

REF OA compliance monitoring: Updates due to confirmation of final policy

With the publication of the [REF2021 Decisions on staff and outputs](#), we now have confirmation that the policy will require outputs to be deposited no later than 3 months after the date of **acceptance** from 1 April 2018. Outputs accepted between 1 April 2016 and 31 March 2018 (inclusive) require outputs to be deposited no later than 3 months after the date of **publication**. Pure's REF OA compliance monitoring has therefore been updated to monitor against Publication date for outputs accepted between 1 April 2016 and 31 March 2018. Outputs accepted on or after 1 April 2018 will continue to be monitored against the acceptance date.

In implementing the final REF OA policy in Pure, we have made the following changes:

- Updated the Research Output editor to indicate which 'phase' of the policy applies to the output.
- Removed the configuration to set the date upon which to start monitoring OA compliance.
- Added an additional 'No full publication date input' status.

Updated Research Output editor to indicate applicable REF OA policy 'phase'

The 'Assessment' section of the Research Output editor has been updated to include a new 'Applicable OA policy phase' field that indicates which 'phase' of the REF OA policy applies to the output:

- Published date: Acceptance date is between 1 April 2016 and 31 March 2018 (inclusive), and therefore deposit must be made within 3 months of the date of publication.
- Acceptance date: Acceptance date is between 1 April 2018 and 31 December 2020 (inclusive), and therefore deposit must be made within 3 months of the date of acceptance.

The date displayed adheres to the following logic:

- Published date
 - Date displayed is ePub ahead of print date, or if empty, the Published date.
 - If neither is available, 'no value' is displayed.
 - Where no day is input, '1' will be displayed for the day; where no month is input, '1' will be displayed for the month (so an output with a Publication date of just 2017 will be cited here as 01/01/2017).
- Acceptance date
 - Date displayed is Accepted/In press date

Assessment

REF Open Access Compliance Status

REF OA Compliance MET

Applicable OA policy phase

Acceptance date - 07/07/2018

Date output became available in the public domain

09/07/2018

Earliest deposit date

09/07/2018

Earliest access date

09/07/2018

REF2021 exception

No value

If this output does not comply with the REF2021 Open Access Policy criteria (i.e. eligible version deposited within 3 months of acceptance, and made accessible within one month of deposit/end of embargo period), please select whether one of the following exceptions apply. If no exception applies, please select "No exception".

Assessment

REF Open Access Compliance Status

REF OA Compliance MET

Applicable OA policy phase

Published date - 27/07/2016

Date output became available in the public domain

27/07/2016

Earliest deposit date

18/08/2016

Earliest access date

27/07/2016

REF2021 exception

Deposit exceptions > The output was published as 'gold' open access

If this output does not comply with the REF2021 Open Access Policy criteria (i.e. eligible version deposited within 3 months of acceptance, and made accessible within one month of deposit/end of embargo period), please select whether one of the following exceptions apply. If no exception applies, please select "No exception".

Assessment

REF Open Access Compliance Status

REF OA Compliance MET

Applicable OA policy phase

Published date - no value

Date output became available in the public domain

No value

Earliest deposit date

15/12/2017

Earliest access date

No value

REF2021 exception

Deposit exceptions > The output was published as 'gold' open access

If this output does not comply with the REF2021 Open Access Policy criteria (i.e. eligible version deposited within 3 months of acceptance, and made accessible within one month of deposit/end of embargo period), please select whether one of the following exceptions apply. If no exception applies, please select "No exception".

New 'No full publication date input' status

Outputs in the 'Published date' phase of the REF OA policy require the full Publication date (either ePub ahead of Print or Published) in order to accurately monitor compliance with the REF OA policy. Accordingly, we have introduced a new REF OA Compliance status that flags up these Outputs.

Assessment

REF Open Access Compliance Status

No full publication date input

Applicable OA policy phase

Published date - no value

Date output became available in the public domain

01/01/2027

Earliest deposit date

05/04/2017

Earliest access date

01/01/2027

REF2021 exception

No value

If this output does not comply with the REF2021 Open Access Policy criteria (i.e. eligible version deposited within 3 months of acceptance, and made accessible within one month of deposit/end of embargo period), please select whether one of the following exceptions apply. If no exception applies, please select 'No exception'.

This status will be generated when:

- Acceptance date is between 1 April 2016 and 31 March 2018 (inclusive)

AND

- ePub ahead of print is populated, but incomplete, OR
- ePub ahead of print is not populated, but Published is populated but incomplete, OR
- neither ePub ahead of print nor Published is populated

Once either the full ePub ahead of print date or the full Publication date are provided, the REF OA Compliance Status will be updated to indicate compliance / not against the relevant policy requirements.

'REF2021 OA compliance start date' configuration removed

Prior to 5.13, it was possible for you to set the date upon which to start monitoring REF OA compliance, using the 'REF2021 OA compliance start date' configuration. With the now confirmed policy requirements and the increased complexity of the REF OA compliance logic, we have removed this configuration. REF OA compliance will always be monitored from 1 April 2016, as per the policy requirements. If, prior to upgrade, your configuration was set to monitor REF OA compliance prior to 1 April 2016, any outputs with an Acceptance date prior to 1 April 2016 will have their REF OA compliance data removed.

REF OA compliance end date introduced

We have introduced a policy end date of 31 December 2020 when monitoring REF OA compliance. This will ensure that when monitoring overall compliance with the REF2021 OA policy, only those outputs subject to the policy will be included.

Exceptions

The [Draft guidance on submissions](#) outlines the allowable REF OA exceptions. You should note the following:

- The draft guidance includes the 'Deposited within 3 months of publication' as a 'Further' exception. But Pure holds this as a 'Deposit' exception. This will have no impact on the exception returned in the submission.
- The draft guidance no longer includes the 'The output was published as 'gold' open access (which was introduced in the July 2015 update of the [REF OA policy](#))'. Instead, it appears as though such outputs do not need to be specifically flagged, and are to simply be returned as 'Compliant'. Pure retains this as an exception. At the point of generating the submission XML file, we will ignore this exception value and simply return the status of 'Compliant'.

Further details are available in the [REF2021 wiki](#).

When you upgrade to 5.13.0, Pure will apply the updated policy rules to existing data, and will migrate existing content, where appropriate:

- Removal of 'Deposit on publication requirement met' exception where no longer relevant.
- Application of updated policy to all other applicable outputs.



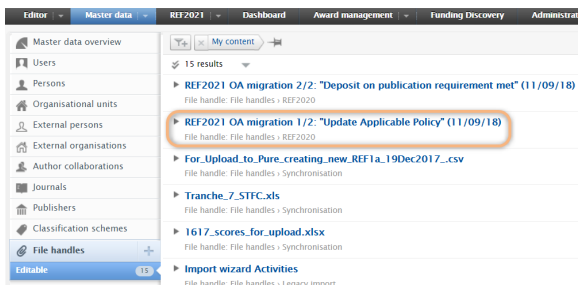
In order to ensure as little fluctuation in your REF OA Compliance reporting as possible, you may wish to ensure that prior to upgrade, the full ePub ahead of print or Published date is input for all outputs with Accepted / In press dates between 1 April 2016 and 31 March 2018 (inclusive)

Application of updated policy to all other applicable outputs

Upon upgrade to 5.13.0, Pure will run through all existing Research Output records and apply the updated REF OA policy rules. Accordingly, you may see REF OA compliance status changes for outputs in the Publication date phase.

All outputs with an existing REF OA Compliance Status are listed in a log, accessible by the Administrator:

- Go to Master data > File handles > REF2021 OA migration 1/2: "Update Applicable Policy", and download the attached Excel file.



- The file lists all Outputs with an existing REF OA Compliance Status, and shows what the REF OA Compliance Status was prior to upgrade, and following upgrade.

Content ID	REF OA Compliance status before	REF OA Compliance status after
60961841	REF OA Compliance MET	No full publication date input
60269280	REF OA Compliance NOT MET - Confirm exception applicability	REF OA Compliance NOT MET - Confirm exception applicability
58077577	REF OA Compliance MET	REF OA Compliance MET
58706979	REF OA Compliance NOT MET - Confirm exception applicability	No full publication date input
40643566	REF OA Compliance MET	REF OA Compliance MET
60643074	REF OA Compliance NOT MET - Confirm exception applicability	REF OA Compliance NOT MET - Confirm exception applicability
56624010	REF OA Compliance MET	REF OA Compliance MET
36198137	REF OA Compliance MET	REF OA Compliance MET
48690112	REF OA Compliance MET	REF OA Compliance MET
53603942	REF OA Compliance MET	REF OA Compliance MET
52067403	REF OA Compliance MET	REF OA Compliance MET
59162034	REF OA Compliance MET	REF OA Compliance MET
60620838	REF OA Compliance MET	REF OA Compliance MET
56243968	REF OA Compliance NOT MET - Confirm exception applicability	REF OA Compliance NOT MET - Confirm exception applicability
60676160	REF OA Compliance MET	REF OA Compliance MET
48511043	Not eligible	Not eligible
59790268	REF OA Compliance MET	No full publication date input
60007237	REF OA Compliance MET	No full publication date input

Why has the REF OA Compliance status changed?

- The REF OA Compliance status may change once the updated policy has been applied if the output is in the Publication date phase of the policy:
 - If insufficient publication date information is available on the Output, the REF OA Compliance Status will change to 'No full publication date input' (see above).
 - If the output previously did not meet the Acceptance date deposit requirement, but meets the Publication date deposit requirement, the status will change accordingly.

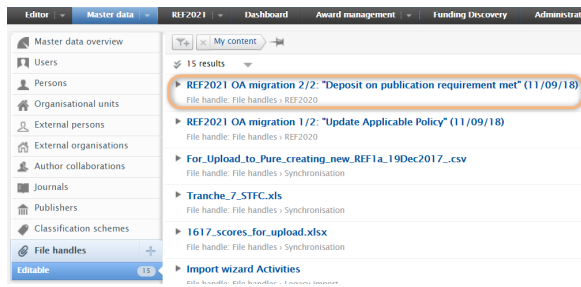
Note that those outputs included in the second 'Deposit on publication requirement met' migration (see details below) may have their REF OA compliance status updated again as per the logic of that migration.

Removal of 'Deposit on publication requirement met' exception where no longer relevant

As described in the [5.7 Release notes](#), it has always been our intention to remove the 'Deposit on publication requirement met' exception for all those outputs in the **Publication** date phase of the policy (i.e. Acceptance date is between 1 April 2016 and 31 March 2018 (inclusive)) once the final policy was known and applied in Pure. Accordingly, the following will take place upon upgrade to 5.13.0.

Publication date phase

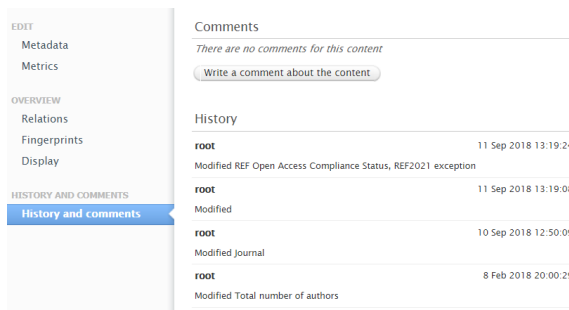
- Where the 'Deposit on publication requirement met' exception has been selected, and the output falls in the **Publication** date phase of the policy (i.e. Acceptance date is on or before 31 March 2018), upon upgrade this exception is **removed** and the REF OA Compliance status is re-calculated based on the updated logic
- All affected Outputs are listed in a log, accessible by the Administrator:
 - Go to Master data > File handles > REF2021 OA migration 2/2: "Deposit on publication requirement met", and download the attached excel file.



- The file lists all outputs where the 'Deposit on publication requirement met' exception has been removed, and shows what the REF OA Compliance Status was of the Output prior to upgrade, and following upgrade

Content ID	REF OA Compliance status before	REF OA Compliance status after
31960241	REF OA Compliance MET	REF OA Compliance NOT MET - Confirm exception applicability
46474661	REF OA Compliance MET	REF OA Compliance NOT MET - Confirm exception applicability
45822300	REF OA Compliance MET	REF OA Compliance MET
47103023	REF OA Compliance MET	REF OA Compliance NOT MET - Confirm exception applicability
50857135	REF OA Compliance MET	REF OA Compliance NOT MET - Confirm exception applicability
33720590	REF OA Compliance MET	REF OA Compliance MET
37049450	REF OA Compliance MET	REF OA Compliance MET
36055135	REF OA Compliance MET	REF OA Compliance NOT MET - Confirm exception applicability
40850367	REF OA Compliance MET	REF OA Compliance MET
51175045	REF OA Compliance MET	REF OA Compliance MET

- **Why has the REF OA Compliance status changed?**
 - If the 'Deposit on publication requirement met' exception had been applied correctly and indeed the electronic version was deposited within 3 months of Publication, then the output should remain 'Compliant'
 - However, if this exception had not been applied correctly, and indeed the electronic version was **not** deposited within 3 months of Publication, when Pure runs the updated logic (described above), the output's REF OA Compliance Status will change to 'NOT compliant - confirm exception applicability'
 - Further, if insufficient publication date information is available on the Output, the REF OA Compliance Status will change to 'No full publication date input'
- Additionally, the History of all affected outputs is updated with an entry to indicate that the REF OA compliance status and REF2021 exception have been modified.



Acceptance date phase

- Where the 'Deposit on publication requirement met' exception has been selected, and the output falls in the **Acceptance** date phase of the policy (i.e. Acceptance date is on or after 1 April 2018), upon upgrade this exception is **retained**

Further details are available in the [REF2021 wiki](#).

REF OA monitoring: Summary screen updates

We have made a number of updates to the REF OA Monitoring screens:

- New 'Potentially subject to policy' column in the **Overall compliance summary screen**, identifying outputs where no full Acceptance date has been input and therefore are *potentially* subject to the REF OA policy.

- New 'No full publication date set' column in the **Overall compliance summary screen**, identifying outputs in the 'Publication date' phase where no complete publication date has been input.
- New hierarchical layout and grouping options for both REF OA monitoring screens.
- New grouping option by UoA of the associated REF2s.

New 'Potentially subject to policy' column

As described in the [REF2021 wiki](#), a full Acceptance date must be input for Pure to monitor REF OA compliance – if only a year or year+month is input, REF OA compliance will not be monitored. In order to help you identify outputs that might potentially 'fall through the cracks' as the full Acceptance date has not been input, the **REF OA monitoring: Overall compliance summary screen** has been updated to include a column identifying outputs that are 'Potentially subject to the policy'.

The new 'Potentially subject to policy' column uses the following logic:

- Output type:
 - Contribution to journal
 - Contribution to specialist publication
 - Chapter in Book/Report/Conference proceeding > Conference contribution
- Publication states and dates:
 - Acceptance date is null OR incomplete (and in that case between 2016 and 2020 (inclusive)) AND
 - At least one of the Acceptance, ePub, or Published dates are between 2016 and 2020 (inclusive)

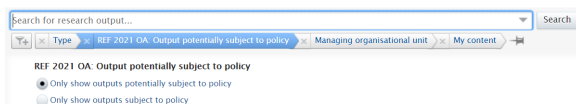
So, for example, the following output publication states and dates would be captured in this column:

- Output A
 - ePub ahead of Print = 23 July 2017
 - Published = 2017
- Output B
 - Accepted / In press = February 2016
- Output C
 - Published = 2019

Once the full Acceptance date has been input, the output will be removed from the 'Potentially subject to policy' column.

Name	Potentially subject to policy	Outputs subject to policy	No full publication date set	Incomplete	Compliant	Compliant (exclusion reason)	NOT compliant - content exception	NOT compliant - acceptability	Non REF eligible	Compliance rate	Exception rate
	29	62	13	1	33	11	2	2	2	71%	25%
	3	4	2	0	2	0	0	0	0	50%	0%
	2	1	0	0	1	0	0	0	0	100%	0%
	0	1	1	0	0	0	0	0	0	0%	0%
	36	236	2	0	20	212	1	1	1	98%	91%
	6	10	1	0	5	0	1	3	3	50%	0%
	0	1	1	0	0	0	0	0	0	0%	0%
	11	24	7	0	7	8	2	0	0	63%	53%

Additionally, a new 'REF2021 OA Output potentially subject to policy' filter has been introduced for Research Outputs.



New 'No full publication date set' column

As described above, Outputs in the 'Published date' phase of the REF OA policy require the full Publication date (either ePub ahead of Print or Published) in order to accurately monitor compliance with the REF OA policy. Accordingly, we have introduced a new REF OA Compliance status that flags up these Outputs, and we have updated the **REF OA monitoring: Overall compliance summary screen** to include a column identifying these outputs.

REF OA monitoring: Overall compliance summary

Grouping: Managing organisation

Name	Potentially subject to policy	Outputs subject to policy	No full publication date set	Ineligible	Compliant	Compliant - exceptions apply	NOT compliant - certain exceptions apply	NOT compliant - not eligible	Compliance rate	Exception rate
Faculty of Health Science	29	62	13	1	33	11	2	2	71%	25%
Faculty of Science	3	4	2	0	2	0	0	0	50%	0%
Faculty of Social Science	2	1	0	0	1	0	0	0	100%	0%
Faculty of Business	0	1	1	0	0	0	0	0	0%	0%
Faculty of Health and Life Sciences	36	236	2	0	20	212	1	1	98%	91%
Faculty of Education	6	10	1	0	5	0	1	3	50%	0%
Faculty of Law	0	1	1	0	0	0	0	0	0%	0%
Faculty of Architecture	11	24	7	0	7	8	2	0	63%	53%

New hierarchical layout and grouping options for Managing organisation

On both REF OA monitoring screens, when grouping content based on Managing organisation, we have introduced a hierarchical layout, enabling you to more easily see Organisations and their children/parents.

REF OA monitoring: Overall compliance summary

Grouping: Managing organisation | Hierarchy limit: 5

Name	Potentially subject to policy	Outputs subject to policy	No full publication date set
Faculty of Health Science			
Department of Clinical Medicine	49	0	0
Faculty of Science			
Department of Computer Science	0	4	2
Faculty of Social Science			
Department of Library and Information Science	0	9	2
Department of Politics	15	2	0
Welfare studies	0	2	2
Total (# unique outputs)	64	17	6

Additionally, we have introduced the option to select the hierarchical level on which to group. For example, if you only want to view the data by Faculty, hiding individual Schools and Departments, you can select that hierarchical level, and all underlying content will be rolled up and reported by Faculty.

REF OA monitoring: Overall compliance summary

Grouping: Managing organisation | Hierarchy limit: 1

Name	Potentially subject to policy	Outputs subject to policy	No full publication date set
Faculty of Health Science	49	0	0
Faculty of Science	0	4	2
Faculty of Social Science	15	13	4
Total (# unique outputs)	64	17	6

By default, the grouping is on level 5 of your organisational hierarchy. Anything beyond level 5 is rolled up to be included its parent value(s).

Notes:

- Where a particular Organisational unit has multiple parents:
 - The child's outputs will be listed under all parents.
 - If grouping down to only the parent level, the child's outputs will be listed under all parents.

The 'Total number of unique outputs' row at the bottom of the table resolves any duplicates

New grouping option by UoA of associated REF2s

On both REF OA monitoring screens, we have introduced a new grouping option that enables you to limit the screen to only show those outputs with associated REF2s, grouped by the UoA(s) of the associated REF2s.

REF OA monitoring: Overall compliance summary

Grouping: REF2021 UoA of associated REF2s

Name	Potentially subject to policy	Outputs subject to policy	No full publication date set	Ineligible	Compliant	Compliant - exceptions apply	NOT compliant - certain exceptions apply	NOT compliant - not eligible	Compliance rate	Exception rate
1 Clinical Medicine	0	4	4	0	0	0	0	0	0%	0%
11 Computer Science and Informatics	2	14	4	7	2	0	1	0	14%	0%
Total (# unique outputs)	2	18	8	7	2	0	1	0	13%	0%

REF OA compliance status now shown on REF2 record

We have updated the REF2 editor to indicate the REF OA compliance status (synchronised from the associated Research Output)



Open Access Compliance Status

REF Open Access Compliance Status

REF OA Compliance MET

Applicable OA policy phase

Published date – 31/07/2017

Date output became available in the public domain

31/07/2017

Earliest deposit date

16/03/2017

Earliest access date

31/07/2017

REF2021 exception

The output was published as 'gold' open access

Additionally, it is possible to filter REF2 records by REF OA compliance status properties (in the Editable list, the 'classic' reporting module, and the new reporting module):

- REF OA compliance status.
- Output has REF2021 exception (filters for whether an exception has been selected or not)
- REF2021 exception.

Re-naming of 'Not REF eligible' REF OA compliance status

Given the expectation that there will be some allowance for outputs that do not meet the policy requirements nor have an exception applied, we have re-named the 'Not REF Eligible' REF OA compliance status as 'NOT compliant - confirmed'.

Assessment

REF Open Access Compliance Status

NOT compliant – confirmed

Applicable OA policy phase

Published date – 10/03/2017

Date output became available in the public domain

10/03/2017

Earliest deposit date

No value

Earliest access date

No value

REF2021 exception

No exception

If this output does not comply with the REF2021 Open Access Policy criteria (i.e. eligible version deposited within 3 months of acceptance, and made accessible within one month of deposit/end of embargo period), please select whether one of the following exceptions apply. If no exception applies, please select "No exception".

	Compliant - confirmed	NOT compliant - confirmed	NOT compliant - unconfirmed	Compliance %	Outstanding %
15	81	0	0	100%	0%
8	15	0	0	100%	0%
0	7	1	0	88%	12%
32	11	1	0	75%	24%
0	1	0	0	100%	0%
0	1	0	0	100%	0%
18	16	0	0	100%	0%
0	18	0	0	100%	0%

New "Compliant outputs with 'No exception' selected" editorial task

Outputs that are compliant with the REF OA policy in their own right (by meeting the Deposit and Access requirements) but where the 'No exception' exception has also been selected in error, these outputs are counted in the 'Compliant - Exception applies' column of the REF OA

Monitoring: Overall compliance summary screen, resulting in an overstatement of the Exception rate.

We have introduced an Editorial task for Administrators and REF Administrators to easily identify these records.

This release includes a new "Compliant outputs with 'No exception' selected" editorial task for Administrators and REF Administrators. This task identifies those outputs that are compliant with the REF OA policy in their own right (by meeting the Deposit and Access requirements) but where the 'No exception' exception has also been selected in error (the 'No exception' exception should only be applied when confirming that an output that has not met either the Deposit or Access requirements, and no exception applies - making the output non-compliant).

Task	Count
Duplicate organisation names	57
Duplicate organisation IDs	21
Datasets with former employed contact persons	1
Compliant outputs with 'No exception' selected	5

Notes:

- This Editorial task is by default DISABLED, but can be enabled via the My editorial tasks 'gear' icon.

Task	Count
Duplicate organisation names	57
Duplicate organisation IDs	21
Datasets with former employed contact persons	1

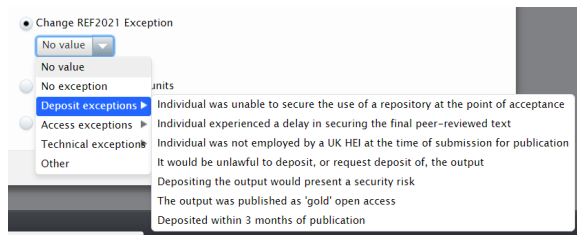
▼ **Research output**

Editorial task

- Claim/disclaims
- Compliant outputs with 'No exception' selected
- Duplicates
- Workflow: Entry in progress
- Workflow: For validation – Creation/forwarding
- Workflow: For validation – Returning
- Workflow: For re-validation – Returning

New 'REF2021 Exception' bulk action

To aid users in actioning the new "Compliant outputs with 'No exception' selected" editorial task, we have introduced a new 'REF2021 Exception' bulk action on Research Outputs, enabling you to edit REF2021 OA exceptions in bulk.

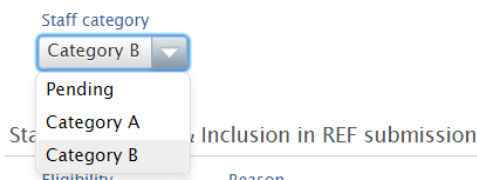


When using this bulk action to remove the 'No exception' value from otherwise compliant outputs, select 'No value' for the 'REF2021 Exception'. This will remove the 'No exception' value, retain the Compliant status for the output(s), move the output(s) from the 'Compliant (exception applies)' column in the [REF OA Monitoring: Overall compliance summary](#) screen to the 'Compliant' column, and the Exception rate will be re-calculated.

Removal of Category C and introduction of Category B

We have removed the REF1 'Category C' Staff category and associated metadata fields, and introduced 'Category B' for former staff.

Category of Staff – REF1



The REF1 Summary screen has been updated accordingly (and will be further updated in an upcoming release, in line with the updated REF2021 submission requirements)

REF1 (2021)

List of Assessment: Clinical Medicine

REF1A	ELIGIBILITY						TOTAL		PROPORTION OF CAT AS LIMITED	
	Yes	No	Not	Not	Not	Not	FTE	FTE	FTE	FTE
Yes	1.0	1	0.0	0	0.0	0	1.0	1	100.0%	100.0%
No	0.0	0	0.0	0	0.0	0	0.0	0	0.0%	0.0%
Pending	2.0	3	0.0	0	0.0	0	2.0	3	66.7%	75.0%
Total	3.0	4	0.0	0	0.0	0	3.0	4		

All figures below are based on the following staff rates:

REF1A - details

REF1A	Research Clinician	FTE	Sessional	Non-UK based	Individual staff circumstances	Not an REF period	REF1 Circumstances/Subject	Processed	Selected for review	Not selected for REF2021	Submission status
1	1	1	0	0	0	0	0	0	0	0	0
2	1	1	0	0	0	0	0	0	0	0	0
3	1	1	0	0	0	0	0	0	0	0	0
4	1	1	0	0	0	0	0	0	0	0	0
5	1	1	0	0	0	0	0	0	0	0	0
6	1	1	0	0	0	0	0	0	0	0	0
7	1	1	0	0	0	0	0	0	0	0	0
8	1	1	0	0	0	0	0	0	0	0	0
9	1	1	0	0	0	0	0	0	0	0	0
10	1	1	0	0	0	0	0	0	0	0	0
11	1	1	0	0	0	0	0	0	0	0	0
12	1	1	0	0	0	0	0	0	0	0	0
13	1	1	0	0	0	0	0	0	0	0	0
14	1	1	0	0	0	0	0	0	0	0	0
15	1	1	0	0	0	0	0	0	0	0	0
16	1	1	0	0	0	0	0	0	0	0	0
17	1	1	0	0	0	0	0	0	0	0	0
18	1	1	0	0	0	0	0	0	0	0	0
19	1	1	0	0	0	0	0	0	0	0	0
20	1	1	0	0	0	0	0	0	0	0	0
21	1	1	0	0	0	0	0	0	0	0	0
22	1	1	0	0	0	0	0	0	0	0	0
23	1	1	0	0	0	0	0	0	0	0	0
24	1	1	0	0	0	0	0	0	0	0	0
25	1	1	0	0	0	0	0	0	0	0	0
26	1	1	0	0	0	0	0	0	0	0	0
27	1	1	0	0	0	0	0	0	0	0	0
28	1	1	0	0	0	0	0	0	0	0	0
29	1	1	0	0	0	0	0	0	0	0	0
30	1	1	0	0	0	0	0	0	0	0	0
31	1	1	0	0	0	0	0	0	0	0	0
32	1	1	0	0	0	0	0	0	0	0	0
33	1	1	0	0	0	0	0	0	0	0	0
34	1	1	0	0	0	0	0	0	0	0	0
35	1	1	0	0	0	0	0	0	0	0	0
36	1	1	0	0	0	0	0	0	0	0	0
37	1	1	0	0	0	0	0	0	0	0	0
38	1	1	0	0	0	0	0	0	0	0	0
39	1	1	0	0	0	0	0	0	0	0	0
40	1	1	0	0	0	0	0	0	0	0	0
41	1	1	0	0	0	0	0	0	0	0	0
42	1	1	0	0	0	0	0	0	0	0	0
43	1	1	0	0	0	0	0	0	0	0	0
44	1	1	0	0	0	0	0	0	0	0	0
45	1	1	0	0	0	0	0	0	0	0	0
46	1	1	0	0	0	0	0	0	0	0	0
47	1	1	0	0	0	0	0	0	0	0	0
48	1	1	0	0	0	0	0	0	0	0	0
49	1	1	0	0	0	0	0	0	0	0	0
50	1	1	0	0	0	0	0	0	0	0	0
51	1	1	0	0	0	0	0	0	0	0	0
52	1	1	0	0	0	0	0	0	0	0	0
53	1	1	0	0	0	0	0	0	0	0	0
54	1	1	0	0	0	0	0	0	0	0	0
55	1	1	0	0	0	0	0	0	0	0	0
56	1	1	0	0	0	0	0	0	0	0	0
57	1	1	0	0	0	0	0	0	0	0	0
58	1	1	0	0	0	0	0	0	0	0	0
59	1	1	0	0	0	0	0	0	0	0	0
60	1	1	0	0	0	0	0	0	0	0	0
61	1	1	0	0	0	0	0	0	0	0	0
62	1	1	0	0	0	0	0	0	0	0	0
63	1	1	0	0	0	0	0	0	0	0	0
64	1	1	0	0	0	0	0	0	0	0	0
65	1	1	0	0	0	0	0	0	0	0	0
66	1	1	0	0	0	0	0	0	0	0	0
67	1	1	0	0	0	0	0	0	0	0	0
68	1	1	0	0	0	0	0	0	0	0	0
69	1	1	0	0	0	0	0	0	0	0	0
70	1	1	0	0	0	0	0	0	0	0	0
71	1	1	0	0	0	0	0	0	0	0	0
72	1	1	0	0	0	0	0	0	0	0	0
73	1	1	0	0	0	0	0	0	0	0	0
74	1	1	0	0	0	0	0	0	0	0	0
75	1	1	0	0	0	0	0	0	0	0	0
76	1	1	0	0	0	0	0	0	0	0	0
77	1	1	0	0	0	0	0	0	0	0	0
78	1	1	0	0	0	0	0	0	0	0	0
79	1	1	0	0	0	0	0	0	0	0	0
80	1	1	0	0	0	0	0	0	0	0	0
81	1	1	0	0	0	0	0	0	0	0	0
82	1	1	0	0	0	0	0	0	0	0	0
83	1	1	0	0	0	0	0	0	0	0	0
84	1	1	0	0	0	0	0	0	0	0	0
85	1	1	0	0	0	0	0	0	0	0	0
86	1	1	0	0	0	0	0	0	0	0	0
87	1	1	0	0	0	0	0	0	0	0	0
88	1	1	0	0	0	0	0	0	0	0	0
89	1	1	0	0	0	0	0	0	0	0	0
90	1	1	0	0	0	0	0	0	0	0	0
91	1	1	0	0	0	0	0	0	0	0	0
92	1	1	0	0	0	0	0	0	0	0	0
93	1	1	0	0	0	0	0	0	0	0	0
94	1	1	0	0	0	0	0	0	0	0	0
95	1	1	0	0	0	0	0	0	0	0	0
96	1	1	0	0	0	0	0	0	0	0	0
97	1	1	0	0	0	0	0	0	0	0	0
98	1	1	0	0	0	0	0	0	0	0	0
99	1	1	0	0	0	0	0	0	0	0	0
100	1	1	0	0	0	0	0	0	0	0	0

Notes:

- Any existing Category C REF1s will be migrated to 'Pending' Category
- If you have any existing report definitions (including the Excel export of the REF1 editable list) that employ the Category C metadata fields, these will need to be re-configured to remove these fields.
- Check your "Default Staff Category when creating new REF1 records (either manually or via Jobs)" configuration to ensure that your desired setting is maintained
- Where an individual is assigned Category B, not all REF1 metadata fields are displayed (e.g. FTE on census date, Fixed-term contract on census date). We will update the REF1 data form to capture the new Category A and Category B data requirements for REF2021 once these are published.

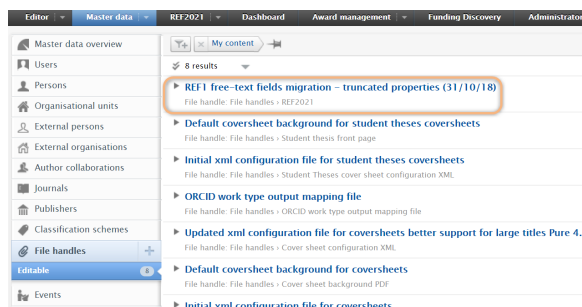
Character limits for REF1 free text fields

In order to ensure an optimised reporting experience in the new Reporting module, we have introduced character limits (1024) for various REF1 fields:

- Eligible reason
- Submitted reason
- Non Inclusion Nature Of Circumstances
- Total FTE override reason
- Non-UK Based Description
- Start date as an independent researcher override reason
- Start date as academic staff at institution override reason

If any of these fields are already populated and the existing text has been truncated due to the introduction of these character limits, they will be listed in a log, accessible by the Administrator (if no REF1s have been affected, there will be no log):

- Go to Master data > File handles > "REF1 free-text fields migration - truncated properties", and download the attached Excel file.



- The file lists all REF1s where text has been truncated, providing the original values. Where a field is empty, this indicates any existing text was not truncated as it was already under 1,024 characters.

Context ID	Eligible reason	Start date as an independent researcher override reason	Non Inclusion Nature Of Circumstances
	Adipiscing elit, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat. Duis aute irure dolor in reprehenderit in voluptate velit esse cillum dolore eu fugiat nulla pariatur. Excepteur sint occaecat cupidatat non proident, sunt in culpa qui officia deserunt mollit anim id est laborum.		

REF2 : Locking associated Research output

In REF2014 we had two solutions in place to restrict users from editing outputs associated with REF2 records, depending on REF2 selection / workflow state:

- See section 16 ('Additional note on Workflow in relation to Research output / REF2') of the [REF2014 user guide](#) 
- Lock associated Research Output configuration

If an associated Output was locked, users could still edit Electronic versions and Relations.

Since then, Pure functionality and user needs have changed in line with the REF Open Access policy, and additional non-REF configurations have been delivered to restrict users from editing content on Research Outputs:

- "Allow Personal Users / Editors to delete electronic versions (files, DOIs, and links) and update/delete publication statuses on approved/validated research output records" configuration

From this release, we have simplified this functionality (as users were experiencing unexpected validation errors), as an interim solution. For now, associated Outputs are only locked if the "Lock associated Research Output" configuration is ENABLED (see [REF 2 - Restrictions](#)).

An item has been added to the REF [Audit of current requirements](#) (see item 8) to consider the appropriate functionality, longer term.

5.12

Census periods and dates

We have updated the REF1a census date and REF2 publication period to reflect the now confirmed dates. Further detail on census periods is available in the [REF wiki](#).

REF1a: FTE filter

We have introduced a new option for filtering REF1a records by FTE. It is now possible to also filter for FTE = 0 (which also includes those REF1as where the FTE is not set). Note that this filter filters by the FTE value, or the Override value, if populated.

Search for REF1a/c (2021)

Filters: Total FTE, My content

Total FTE


- FTE > 1.0
- $0.2 \leq \text{FTE} \leq 1.0$
- FTE < 0.2
- FTE = 0

FTE on census date

Total FTE	Override value	Reason
0.20	<input type="text" value="0.00"/>	<input type="text"/>

REF1b: Purge internal notes and comments (REF2014)

Concerns have recently been raised that the "REF2014: Purge REF1b explanatory text" job only purged 'Explanatory text', but sensitive text could remain in the 'Internal notes' field and/or the Comments of the REF1b form. Accordingly, we have introduced (in 5.11.3) an additional single-run job "REF2014: Purge REF1b Internal notes and Comments" to wipe these fields. Further detail is available in

 PURESUPPORT-36828 - Data cannot be retrieved due to an unexpected error.

REF2014 - Purge REF1b Internal notes and Comments
The Internal notes and Comments from 'History and Comments' for all existing REF1b are deleted.
[Start job now](#)

REF2: Proposing outputs - Author rankings

Prior to 5.12, when proposing outputs, researchers were required to select an author ranking prior to being able to save their proposal. With this release, we have changed this behavior so that the ranking is now default populated as 'Alternate'.

Further, author rankings now extend from 1st to 5th + Alternate, to reflect the new submission requirements.

Further details are available in the [REF wiki](#).

REF2 predicted grades: 13-point scale

In this release, we have introduced the capability to provide REF2 predicted grades (both overall and peer predicted grades) on a 13-point scale, rather than the standard 5-point scale. This is a configuration, and the default continues to be the 5-point scale.

Further details are available in the [REF wiki](#).

Workflow for selection to REF2021


REF2: Removed restriction on number of outputs

It has always been possible for each individual to propose an infinite number of outputs for REF. But, in line with REF2014 submission requirements, it was only possible to select up to four outputs per REF1a/c for submission (i.e. Selection status = Selected for REF2021). With the publication of initial guidance on the submission requirements for REF2021, we now know that there will be a maximum of five outputs allocated to each submitted member of staff. As such, we have made the following changes in Pure:

- Removed the restriction on the number of outputs that can be "Selected for REF2021" per REF1a/c (once further submission guidance is known, we will either introduce a restriction of five outputs, or include functionality to flag up where >5 outputs have been allocated to any one individual).
- Removed the Output number field (it is understood that this field will no longer be required).

REF Open Access Exceptions: Typo fixed

The REF2021 Exceptions classification scheme has been updated to fix a minor typo. Note though that if you had previously edited the REF2021 Exceptions classification scheme locally, upon upgrade to 5.12 all Exceptions will revert to the default values. Further information is available at

 PURESUPPORT-25437 - Data cannot be retrieved due to an unexpected error.

REF2021 content in the new Reporting module

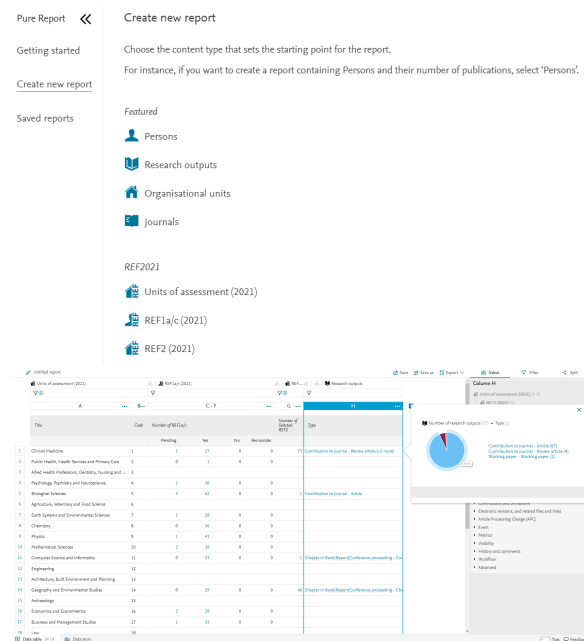
We have expanded the content types available in the new Reporting Module to include REF2021 content (relevant only to UK customers).

This release includes the following content types:

- Units of Assessment
- REF1a/c Staff
- REF2 Research Outputs

Connections between content types (i.e. semantic relationships) have also been extended, enabling you to more easily report on the detail of items associated with your driving content type:

- REF2 Research Output
- REF1a/c Person




The screenshot shows the 'Create new report' interface. On the left, there are sections for 'Featured' reports (Persons, Research outputs, Organisational units, Journals) and 'REF2021' reports (Units of assessment (2021), REF1a/c (2021), REF2 (2021)). The main area shows a 'Getting started' section with instructions: 'Choose the content type that sets the starting point for the report. For instance, if you want to create a report containing Persons and their number of publications, select 'Persons'.'

Below this is a table with columns: Title, Code, Number of REF2s, Pending, Yes, No, Researcher, and Site. The table lists various research categories and their associated counts.

Title	Code	Number of REF2s	Pending	Yes	No	Researcher	Site
1	0101	1	0	0	0	0	
2	0102	1	0	0	0	0	
3	0103	1	0	0	0	0	
4	0104	1	0	0	0	0	
5	0105	1	0	0	0	0	
6	0106	1	0	0	0	0	
7	0107	1	0	0	0	0	
8	0108	1	0	0	0	0	
9	0109	1	0	0	0	0	
10	0110	1	0	0	0	0	
11	0111	1	0	0	0	0	
12	0112	1	0	0	0	0	
13	0113	1	0	0	0	0	
14	0114	1	0	0	0	0	
15	0115	1	0	0	0	0	
16	0116	1	0	0	0	0	
17	0117	1	0	0	0	0	
18	0118	1	0	0	0	0	
19	0119	1	0	0	0	0	
20	0120	1	0	0	0	0	

Locking associated Research output

In REF2014 we had two solutions in place to restrict users from editing outputs associated with REF2 records, depending on REF2 selection / workflow state:

- See section 16 ('Additional note on Workflow in relation to Research output / REF2') of the [REF2014 user guide](#) 
- Lock associated Research Output configuration

If an associated Output was locked, users could still edit Electronic versions and Relations.

Since then, Pure functionality and user needs have changed in line with the REF Open Access policy, and additional non-REF configurations have been delivered to restrict users from editing content on Research Outputs:

- "Allow Personal Users / Editors to delete electronic versions (files, DOIs, and links) and update/delete publication statuses on approved/validated research output records" configuration

From this release, we have simplified this functionality (as users were experiencing unexpected validation errors), as an interim solution. For now, associated Outputs are only locked if the "Lock associated Research Output" configuration is ENABLED (see [REF2 - Restrictions](#)).

An item has been added to the REF [Audit of current requirements](#) (see item 8) to consider the appropriate functionality, longer term.

5.11

New REF2 bulk creation job

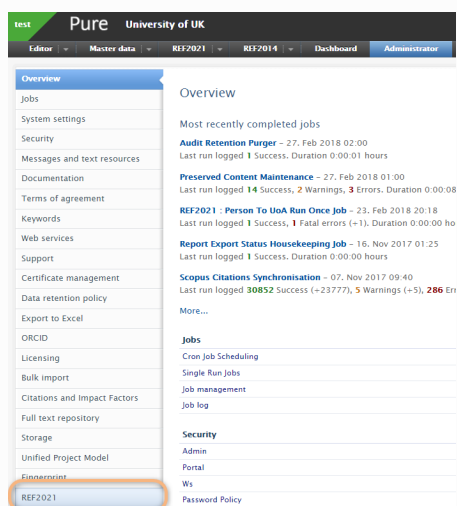
This release includes a new job that enables the creation of REF2 records in bulk, thereby supporting new customers in populating their REF module upon implementation, and supporting existing customers who no longer wish to create each REF2 record manually.

Further information is available in the [REF2021 wiki](#).



New REF2021 Configuration area

Note that in upcoming releases, we will be moving many of the REF2021 settings and jobs to a new REF2021 configuration area, available directly in the Administrator navigation.



This new REF2 bulk creation job is the first item to be delivered in this new configuration area.

5.10

Restrict access to the REF2021 Exception field for Personal Users

UK : REF2021 improvements

This release includes new configurations that restrict access to the REF2021 Exception field for Personal Users, thereby ensuring that exceptions input are maintained and not overwritten erroneously.

As requested by the User Group, we have delivered new configurations restricting access to the REF2021 Exception field for Personal users:

- Enable REF2021 Exception field to be visible to Personal users
- Enable REF2021 Exception field to be editable by Personal users

For those institutions who wish to enable these restrictions, it will help to ensure that exceptions input are secure and can't be overwritten by colleagues unfamiliar with the REF OA policy and the application of exceptions. Further information is available in the [REF2021 wiki](#).

The screenshot displays the REF2021 configuration interface. At the top, there are several toggle switches for various settings, including 'REF2021 OA compliance start date', 'REF2021 OA compliance visible to roles', 'Enable predicted grade and peer comments for REF2', 'Enable predicted grades for REF2 to be visible to Personal users', 'Enable REF2021 Exception field to be visible to Personal Users', 'Enable REF2021 Exception field to be editable by Personal Users', and 'Show REF4a, REF4b, and REF4c data on the REF1a/c Summary screen'. The 'Enable REF2021 Exception field to be visible to Personal Users' and 'Enable REF2021 Exception field to be editable by Personal Users' options are highlighted with a red box. Below the settings, there is a section for 'REF Test 1' with a description: 'Research output: Contribution to journal > Article'. This is followed by an 'Electronic version(s), and related files and links' section with buttons for adding electronic versions, other links, and other files. An 'Assessment' section follows, showing 'REF2021 exception' with a dropdown menu set to 'Deposit on publication requirement met'. Below this, there is another 'REF Test 1' section with similar 'Electronic version(s), and related files and links' and 'Assessment' sections. In the second 'Assessment' section, the dropdown menu is open, showing options: 'No value', 'No exception', 'Deposit on publication requirement met', 'Deposit exceptions', 'Access exceptions', 'Technical exceptions', and 'Other'. A 'Back to top of page' link with an upward arrow is located at the bottom right of the screenshot.

REF2021 UoAs updated

As per the published Initial Decisions, we have updated the Units of Assessment for REF2021.

Notes:

- Engineering:
 - Any content assigned to 'old' UoAs 12, 13, 14, and 15 (the old Engineering UoAs) will be migrated to the new UoA 12 Engineering
 - Where Research Groups existed in the 'old' UoAs, these have been migrated to the new UoA 12 as follows:
 - All existing Research Groups will be migrated (this may mean new Research Group codes (i.e. A, B, C, ...) will be assigned)
 - If any Research Groups had **exactly** the same name, they will be merged into a single Research Group (e.g. UoA 13 A : Materials and UoA 14 C : Materials will merge into a single Materials research group in UoA 12)
 - If any of the 'old' UoAs had "Are individuals permitted to be assigned to more than one research group" set to YES, then the new UoA 12 will have "Are individuals permitted to be assigned to more than one research group" set to YES
 - If any of the 'old' UoAs has "Disable Research Group on REF2" set to NO, then the new UoA 12 will have "Disable Research Group on REF2" set to NO
- Geography, Environmental Studies and Archaeology:
 - Any content assigned to 'old' UoA 17 (Geography, Environmental Studies and Archaeology) will be migrated to the new UoA 14 Geography and Environmental Studies (any content you wish to submit to UoA 15 Archaeology will need to be moved manually).
- All other UoAs will simply migrate to the new UoA name / number, where this has changed
- Exact details of the REF2014 UoAs to REF2021 UoAs mapping in Pure is available [here](#)



5.9

Re-name REF2021

All previous references to REF2020 have now been replaced with REF2021, to reflect the expected name of the upcoming exercise. Note the following:

- All REF2020 text resources have been updated to REF2021. However, if you have manually edited any REF2021 text resources, these will not automatically update upon upgrade to 5.9.
- We have also updated the staff census date from 31 October 2019 to 31 October 2020. No other changes will be made to any other census periods / dates until these have been confirmed by HEFCE.
- Any REF2020 job already run / running will need to be removed and re-added for the new REF2021 label to take effect in the name of the job (the jobs will continue to function as normal without having to do this)

New job for uploading REF2 Peer predicted grades and comments

The 5.9 release includes a new bulk job for uploading REF2 Peer predicted grades and comments. Details are available in the [REF wiki](#).

REF OA Monitoring screens : Improved handling of changes to Organisational hierarchy

This release includes improved handling of changes to the Organisational hierarchy in the REF OA monitoring screens. Listed Managing Organisations now list not only directly affiliated content, but also content affiliated to Organisational units that have taken over by the listed Managing Organisation

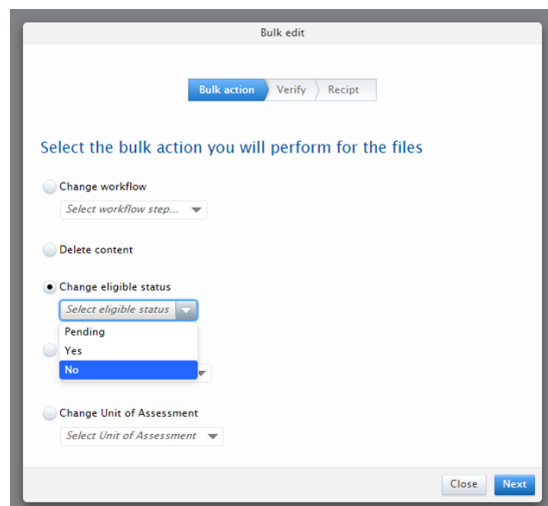
5.8

REF2020 : REF1a/c bulk actions

We have expanded the number of bulk actions available for REF1a/c content, enabling more efficient use of the REF module.

We have expanded the number of bulk actions available for REF1a/c content to include:

- Eligibility status
- Submission status
- UoA assignment
- *Workflow (already available)*
- *Delete content (already available)*



The screenshot shows a 'Bulk edit' window with a title bar. At the top, there are three buttons: 'Bulk action' (highlighted in blue), 'Verify', and 'Receipt'. Below this, the text reads 'Select the bulk action you will perform for the files'. There are four radio button options: 'Change workflow', 'Delete content', 'Change eligible status' (which is selected), and 'Change Unit of Assessment'. Each option has a corresponding dropdown menu. The 'Change eligible status' dropdown is open, showing 'Select eligible status...', 'Pending', 'Yes', and 'No' (which is highlighted in blue). At the bottom right, there are 'Close' and 'Next' buttons.

Roles affected: Administrator

Notes:

- As there is a relationship between Eligibility and Submission statuses, there is some logic in place that impacts on the bulk actions:
 - If a group of REF1a/c records that are currently flagged as Not Eligible are selected to be bulk moved to Submission status = Yes OR Pending, this will not be actioned (because, if a REF1a/c is flagged as Not eligible, it cannot be submitted, therefore it will always have the Submission status = No)
 - If a group of REF1a/c records are bulk moved to Eligibility status = No, the REF1a/c records will automatically also be moved to Submission status = No

5.7

New REF2020 Exception

As previously agreed by the User Group, until the REF OA policy is finally confirmed, Pure will continue to monitor REF OA Compliance against acceptance date, rather than publication date.

But the implications of this are that, at least for this first year of the policy (and, it is understood, now the second year as well), Pure is overstating non-compliance, as those outputs that meet the publication date criteria are appearing as non-compliant.

In order to help deal with this issue, we have added an additional exception to the REF2020 Exception classification scheme : *Deposit on publication requirement met*. Using this exception will flag the output as "Compliant", and as "Compliant (exception applies)" in the *REF2 Candidates OA Summary* screen.

Assessment

REF Open Access Compliance Status

NOT compliant - confirm exception applicability

Date output became available in the public domain
01/09/2016

Earliest deposit date
30/09/2016

Earliest access date
30/09/2016

REF2020 exception

No value

No value

No exception

Deposit on publication requirement met

Deposit exceptions

Access exceptions

Technical exceptions

Other

is Policy criteria (i.e. eligible version deposited within
length of deposit / end of embargo period), please
exception applies, please select "No exception".

The intention is that once the final policy rules are known and implemented in Pure, we will offer a job that will convert all those outputs with this exception to 'no value' for the REF exception (and they would move to being "Compliant" in their own right, without the use of an exception).

Run the "Generate OA Compliance Status For Existing Content" job on a nightly basis

As advised to the UK User Group by email on 26 July, we recommend that institutions run the "Generate OA Compliance Status For Existing Content" job on a nightly basis. In previous documentation, we had advised that this job only needed to be run after each upgrade, or upon updating the REF2020 OA compliance start date setting, but during recent routine testing of the REF2020 Open Access Compliance functionality, we came to the conclusion that this job should really be run on a nightly basis, in order to ensure that the REF OA Compliance Status updates as different stages are passed.

Further information on this job is available in the [REF2020 wiki](#).

5.6

REF2020 Module improvements

In response to customer feedback, this release includes:

- improvements to REF2 predicted grade functionality, enabling Personal users to view predicted grades assigned to outputs proposed for REF2020, and enabling the bulk upload of REF2 predicted grades
- improvements to elements associated with REF Open Access compliance monitoring
- enhanced REF2020 reporting

- We have introduced two new elements of REF2 predicted grade functionality:
 - Enable Personal users to view the predicted grades assigned to outputs proposed for REF2020
 - Is a configuration option, available in the REF2020 Settings (**Enable predicted grades for REF2 to be visible to Personal users**) (the setting is, by default, disabled)
 - This will be visible to Personal users, Editor of Persons, Administrator of Persons, and Administrator in the following locations:
 - Personal overview screen
 - Propose for Research outputs for REF2020 screen
 - Propose output screen

- Introduce a new job that enables REF2 predicted grades to be imported in bulk - see the [REF wiki](#) for further details
 - Import predicted grades for existing REF2 records
 - Note this job only imports 'overall' predicted grades, not peer comments and predicted grades
- We have also delivered improvements to elements associated with REF Open Access compliance monitoring
 - We believe that all bugs relating to the derivation of the REF Open Access compliance status are now resolved
 - In order to resolve the issue with Access date for files not updating when the accessibility properties of the file had been changed (e.g. from Open to Embargoed) (see [Open Access compliance - Notes and issues CLOSED](#)), we have introduced new functionality that enables specified users to 'Refresh' the system-generated Access date to reflect the updated accessibility properties. More information is available at [Open Access compliance](#).
 - Upon upgrade, ensure you run the [REF2020 : Generate OA Compliance Status for existing content](#) job for the updated logic to be applied.
- We have delivered additional items in response to customer feedback:
 - We have updated the REF2 navigation such that the landing page is the REF2 Summary screen, rather than the REF OA compliance tracking screen
 - We have improved REF2020 reporting (for example: enabling reporting on REF1a/c content when creating a REF2 report (available under Content > Person > Person, then select 'Click + to change default output'); introducing combined reporting functionality for Units of Assessment and REF1a/c)

The screenshot displays the REF2020 interface for a user named Samuel Adams. The top section shows a navigation menu on the left and a main content area. The main content area is divided into two columns: 'Research outputs in the period 2014 to 2019' and 'Proposed for REF2020'. The 'Research outputs' column lists various articles and chapters with their predicted grades. The 'Proposed for REF2020' column lists articles that have been proposed for the REF2020 assessment, also with their predicted grades. Below the main content area, there is a detailed view of a specific research output, 'Article TEST 34 (accepted 2019, pub 2020)', showing its metadata, associated user, and a 'Propose for REF2020' button. The bottom section shows the 'Submitters reason for proposing' and 'Rank this output' options for the selected article.

Propose output

Article TEST 30 (Published 2016)
 Adams, S. 2016 In: *Aquaculture*.
 Research output: Contribution to journal - Article

✓ Proposed for REF2020 Rank this output Predicted grade u/c

Give your reason for proposing this output:

2323

Approved:

- Where this is not evident within the output (e.g. non-text or practice-based outputs), provide information about the research process and/or content
- Does the output include significant material in common with an output published prior to 1 January 2017? If Yes, explain how the earlier work was revised to incorporate new material.
- As per any local instructions (may be most applicable in LoAs 11–26), provide factual information about the significance of the output:
 - Evidence about how an output has gained recognition, led to further developments or has been applied.
 - Information about nationally or internationally awarded prestigious prizes or similar significant recognition.

Has this output arisen from interdisciplinary research?

Co-authored output?

Would you like to propose this output for double-weighting?

Overview

Jobs

REF2020 - REF2 Predicted Grade job

Save the predicted grade on REF2 based on the provided mapping document. REF2 not included in this document will not be altered. NOTE REF2 where the Workflow for selection to REF2020 is set to 'Selected for REF2020' or 'None'. REF2 Confirmed the REF2 will not be altered. Please see the site for further documentation, including the format of the document and how to produce it. Run job REF202027PublishedGradeSetup as user root

Schedule
 Scheduled for 03 Mar 2016 01:00. Next run after that is 04 Mar 2016 01:00.
 @Group admin(s)

Configuration
 Please correct the invalid configuration values.

Central configuration
 Name: REF2020 - REF2 predicted grade job
 Run as user: root

Job configuration
 - Default configurations
 The exact path to the mapping document is required by the REF2 job. If you are using a different path, please update the job configuration. If you are using a different path, please update the job configuration. If you are using a different path, please update the job configuration.
 Drag file or browse your computer.

Electronic version(s) and related files and links

Edit uploaded electronic version

Upload an electronic (full-text) version of this work (e.g. the author's accepted manuscript)

File *

Full_Text_Example_File_1.pdf
 84 KB, application/pdf Replace

File title

Document version

 Peer reviewed version

Public access to file * f

Embargo start date Embargo end date
 Example: 21/10/2002 Example: 21/10/2002 Embargo ends: 01/01/2017

Visible on portal date

Access date

If the access properties of this file have been updated such that the derived Access date is no longer valid, select to 'refresh' the Access date. This will generate a new Access date based on the updated access properties of the file. Note that once you save the Research Output record, this action is irreversible.

License to document

Rights statement

Report overview

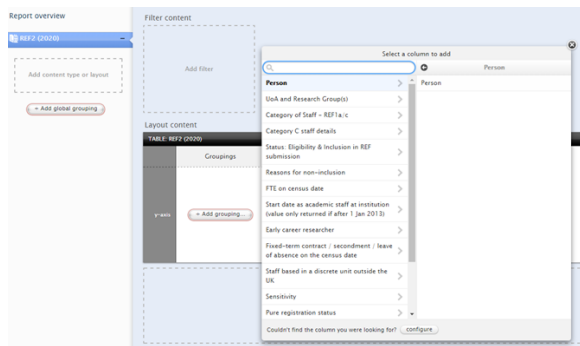
REF2 (2020)

Add content type or layout

Filter content
 Add filter

Layout content
 TABLE: REF2 (2020)

Groupings	Columns
Person	<p><input type="button" value="+ Add grouping"/></p> <p><input type="button" value="+ Click + to change default output"/></p>



Roles affected: Personal Users, Editor of Persons, Administrator of Persons, Administrator, REF user roles

Notes:

- Note that the **Enable predicted grades for REF2 to be visible to Personal users** configuration can only be enabled if the **Enable predicted grade and peer comments for REF2** configuration is enabled
 - (although in the Settings screen, if you try to enable the **Enable predicted grades for REF2 to be visible to Personal users** configuration while the **Enable predicted grade and peer comments for REF2** configuration is disabled, it will appear as though it is enabled unless you navigate away and then return (when the configuration will be automatically disabled).

Further information: [REF wiki](#)

Submitted to REF2014' can no longer be proposed for REF2020

Outputs flagged as 'Submitted to REF2014' can no longer be proposed for REF2020. Note that outputs already proposed for REF2020 that are flagged as 'Submitted to REF2014' will **not** be automatically removed from the REF2020 module.

Article TEST 225a
Research output: Contribution to journal · Article

Electronic version(s), and related files and links ⓘ

According to the archiving policy described in RoMEO an electronic version of the work can be uploaded

▶ RoMEO color: Green
Can archive pre-print and post-print or publisher's version/PDF
[Read more >](#)

Electronic version(s) of this work

[Add electronic version \(file, DOI, or link\)...](#)

Other links

[Add other link...](#)

Other files

[Add other file...](#)

Article Processing Charge (APC)

APC paid

Not set No Yes

Assessment

Submitted to REF 2014

On Off

Keywords ⓘ

KEYWORDS

Status: For validation [Save](#)

Roles affected: Personal Users, Editor of Persons, Administrator of Persons, Administrator, REF user roles

5.5

Improved messaging for electronic versions

Roles affected: Personal Users, Editor and Administrator of Research Outputs

Feature purpose: Improve messaging to highlight REF implications of editing existing electronic versions.

Customers are also encouraged to read recent release notes for details of additional developments in REF2020 functionality:

- [Release notes - Pure 5.4.0 \(4.23.0\)](#)
- [Release notes - Pure 5.4.1 \(4.23.1\)](#)
- [Release notes - Pure 5.4.2 \(4.23.2\)](#)

Feature description:

- Where the REF2020 module is enabled, an information box has been introduced in the Research Output editor "Electronic version(s), and related files and links" section, reminding individuals that they should exercise caution when deleting electronic versions as deletions may impact on the REF-eligibility of the output.

Screenshots:

Electronic version(s), and related files and links

Content input in this section indicates that this work is openly accessible:
Final published version - Open

REF Open Access compliance
Please note - editing existing electronic versions and/or their associated properties may impact on this research output's REF eligibility. It is recommended you consult with your local support team prior to making any changes in this section.

Electronic version(s) of this work
FINAL PUBLISHED VERSION

10.1000/182 Open	Show	Edit	+ -
10.1001/182 Open	Show	Edit	+ -

Add electronic version (file, DOI, or link)...

Other links
Add other link...

Other files
Add other file...

Further information:

- Further documentation is available from the [REF wiki](#)

Improvement REF OA Compliance monitoring

With regards to REF OA Compliance monitoring, we have fixed the issue that was resulting in Access dates not being populated for some uploaded electronic versions. Upon upgrade, you must run the 'Generate OA compliance status' job, and this will resolve the issue of missing 'Earliest access date' (and resulting erroneous REF OA Compliance status) for affected records.

Note that there are still some known issues relating to how DOIs are incorporated into the REF OA Compliance status. We hope to have these issues resolved in an upcoming 5.5. bug-fix release. Further details are available at [Open Access compliance - Notes and issues CLOSED](#).

Access dates being generated for Closed DOIs

With regards to REF OA Compliance monitoring, we have fixed the issue that was resulting in Access dates being generated for Closed DOIs. The logic now correctly takes the Public access to file state of DOIs into account when deriving the 'earliest access date'. Additionally, Author accepted manuscripts are being considered as expected. The logic employed is as follows:

When deriving the 'earliest access date', the DOI is only be included in the logic if:

- Document version = Author accepted manuscript OR Publisher PDF
- Public access to file = Open OR Embargoed

And the access date to be returned for the DOI is the earliest of the 'ePub ahead of print' or 'Published' dates, if Open, or the embargo end date, if Embargoed.

When determining the 'earliest access date' for the output, the logic looks to all access dates and returns the earliest. So, if the DOI access date is after the attached document, the access date of the document becomes the 'earliest access date'.

Upon upgrade you should run the [REF2020 : Generate OA Compliance Status for existing content](#) job

5.4

Analyse REF Publications and Persons in SciVal

Roles affected: Access to SciVal

Feature purpose: From within the REF 2020 and REF 2014 modules it is now possible to export REF2 Publications or Persons for analysis in SciVal.

Feature description:

- When selecting REF2 publications, the corresponding research output is selected and used for the analysis in SciVal, similar to exporting Research Output to SciVal.
- When selecting Persons from a REF module the feature functions in the same way as the Analyse Person sets in SciVal feature.

REF2020 Open Access Compliance Monitoring

Affected Bases: UK - UK customers

Roles affected: All roles with the ability to create / edit / report on Research Outputs (except for Personal Users)

Feature purpose: To enable institutions to undertake preparatory exercises for the next REF (REF2020 is used here for ease), a blank copy of the REF2014 module was made available in 5.3.0. In the first instance, this was simply a copy of the REF2014 module, with census period / date changes. For 5.4.0 we have focussed on the REF Open Access requirements and enabling institutions to monitor their compliance with the new policy. This includes determining and capturing the REF Open Access compliance status on relevant outputs, and enabling associated reporting. In an upcoming release, we will also deliver two new REF OA monitoring screens.

Note that Pure monitors compliance against acceptance date, as per the originally published policy. It was agreed at the recent User Group (Birmingham) to continue to monitor against acceptance date, until further details of the final policy are published.

Feature description:

- Relevant research outputs now display the following information in the 'Assessment' section:
 - REF Open Access compliance status
 - Earliest deposit date
 - Earliest access date
 - Date output became available in the public domain

- The acceptance date upon which Pure monitors compliance is configurable (the default is 1 April 2016)
- The newly added REF exception "The output was published as 'gold' open access" has been added to the classification scheme

Screenshots:

Assessment

REF Open Access Compliance Status

Compliant

Date output became available in the public domain
01/06/2015

Earliest deposit date
01/06/2015

Earliest access date
01/06/2015

REF2020 exception
No value

If this output does not comply with the REF2020 Open Access Policy criteria (i.e. eligible version deposited within 3 months of acceptance, and made accessible within one month of deposit / end of embargo period), please select whether one of the following exceptions apply. If no exception applies, please select "No exception".

Submitted to REF 2014
 Off

Assessment

REF Open Access Compliance Status

NOT compliant - confirm exception applicability

Date output became available in the public domain
20/09/2015

Earliest deposit date
15/08/2015

Earliest access date
20/09/2015

REF2020 exception
No value

If this output does not comply with the REF2020 Open Access Policy criteria (i.e. eligible version deposited within 3 months of acceptance, and made accessible within one month of deposit / end of embargo period), please select whether one of the following exceptions apply. If no exception applies, please select "No exception".

Submitted to REF 2014
 Off

Assessment

REF Open Access Compliance Status

NOT compliant - confirm exception applicability

Date output became available in the public domain
20/09/2015

Earliest deposit date
15/08/2015

Earliest access date
20/09/2015

REF2020 exception
No value

- No value
 - No exception
 - Deposit exceptions ▶ Individual was unable to secure the use of a repository at the point of acceptance
 - Access exceptions ▶ Individual experienced a delay in securing the final peer-reviewed text
 - Technical exceptions ▶ Individual was not employed by a UK HEI at the time of submission for publication
 - Other ▶ It would be unlawful to deposit, or request deposit of, the output
- Keywords ▶ Depositing the output would present a security risk

KEYWORDS ▶ The output was published as 'gold' open access

REF2020 - REF OA Status

Filter content

Organisational unit: 1 organisational units selected

Publication status and date: Is greater than or equal to 2015.


Select a column to add

- Publication state
- Publication information
- Authors and affiliations
- Journal
- Publication managed by
- Publisher
- Access to electronic version of this research output (full text)
- Article Processing Charge (APC)
- Additional files and links related to this research output
- Assessment**
- Keywords
- Relations
- Bibliographical note
- Type

Assessment

- REF2020 exception
- Date output became available in the public domain
- Earliest access date
- Earliest deposit date
- REF Open Access Compliance Status
- REF2020 Other exception description
- Submitted to REF 2014

Notes:

- The description of the logic behind deriving the REF OA compliance status of the record is available [here](#) 
- The 5.4.0-1 release includes the following developments:
 - changing the REF2020 exception now triggers re-validation
 - the REF2020 exception field only now appears for relevant output types
 - the REF2020 exception field only now appears for outputs where the Acceptance date falls on or after the date input in the configuration
 - the 'Submitted to REF2014' toggle (which is not visible to Personal users) now only appears for outputs where either the Published date or the ePub ahead of Print date is between 1 Jan 2007 and 31 Dec 2014 (1 extra year on either side of the actual REF2014 census period, to allow for the 'odd' cases).

Further information:

- Further documentation is available in the [REF2020 wiki](#)

REF2020 Module

Roles affected: All roles with the ability to create / edit / report on Research Output content

Feature purpose: To enable institutions to undertake preparatory exercises for the next REF (REF2020 is used here for ease), a blank copy of the REF2014 module was made available in 5.3.0. In the first instance, this was simply a copy of the REF2014 module, with census period / date changes. In 5.4.0 we focussed development on the REF Open Access requirements and enabling institutions to monitor compliance with the new policy; this included determining and capturing the REF Open Access compliance status on relevant outputs, and enabling associated reporting. In 5.4.1, we have made a small enhancement to help ensure users input the full Acceptance date.

Please note that this release does not include the planned REF OA monitoring screens, as at the time of release, testing continued to reveal data accuracy issues. Our expectation is to include these screens in the 5.4.2 release.

Feature description:

- Where the REF2020 module is enabled, when inputting an Acceptance date, the user is now advised that the full Acceptance date is required in order to determine the output's REF eligibility
 - Applicable only to:
 - Contribution to journal
 - Contribution to specialist publication
 - Chapter in Book / Report / Conference proceeding > Conference contribution
 - The date quoted is as per the 'REF2020 OA compliance start date' configuration



Further information:

Further documentation is available in the [REF2020 wiki](#)

REF2020 Module : REF Open Access compliance monitoring screens

Roles affected: REF2020 roles

Feature purpose: Give users an overview of the compliance status of all outputs subject to the REF Open Access policy, and to enable real-time tracking of outputs to help ensure appropriate actions are taken to ensure eligibility, in terms of compliance with the published policy.

Feature description:

In the REF2020 module, we have developed two new screens to help monitor compliance with the REF OA policy:

- REF OA Monitoring : Real-time tracking
- REF OA Monitoring : Overall compliance summary

5.3

Copy of REF2014

Roles affected: Administrator, Administrator of Persons, Administrator of Research Outputs, Editor of Persons, Editor of Research Outputs, Personal User, REF2020 roles

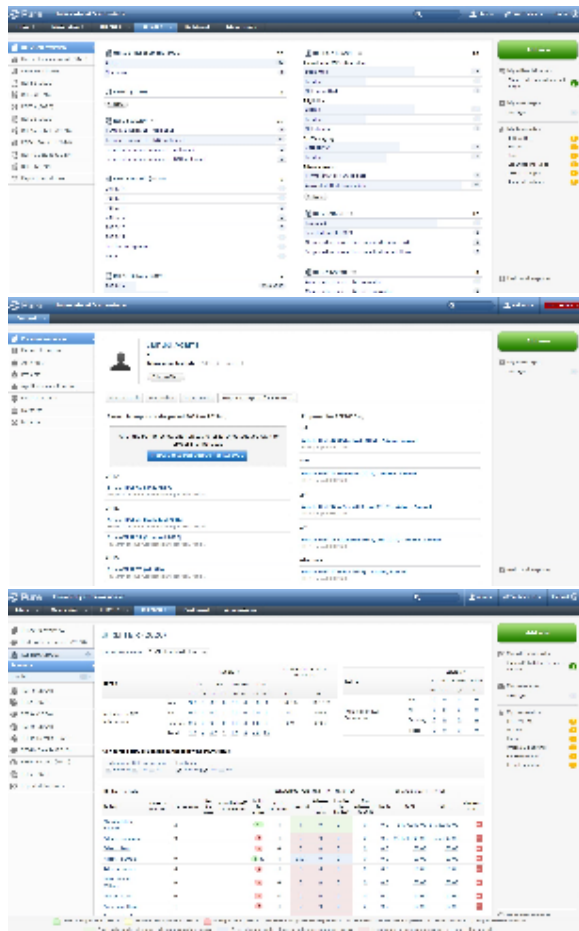
Feature purpose: In response to customer requests to provide functionality to enable preparatory exercises to be undertaken prior to REF2020, we have created a blank copy of the REF2014 module. In this first instance, this is pretty much a copy of the REF2014 module, with [census period / date changes](#). As the REF2020 requirements become known, the REF2020 Module will be updated as per priorities identified by the UK User Group

Feature description: The REF2020 module works in exactly the same way as the REF2014 module, and is accessible to authorised users via the REF2020 tab in the upper navigation. The REF2014 user documentation, for the most part, continues to be applicable for the REF2020 module, and will be updated as updates to the REF2020 module are made in line with the published submission requirements.

In addition to the REF module itself, the following functionality is also available to those customers with the REF2020 module:

- facility to capture REF Open Access Exceptions on the Research Output record
- facility to attach Acceptance date evidence (e.g. email confirmation from the Publisher) (this functionality can be turned on / off via REF2020 Settings - the default is 'off')

Screenshots:



Notes:

- The REF2020 Module is only available in Pure 5, to those UK customers who have purchased the module.
- For those customers that used the REF2014 module, immediately following upgrade, you should run the two jobs that capture REF2014 submission status on the REF1a/c and REF2 records. Further details are available in the REF2020 wiki, at [Upgrading to the new REF2021 module](#).

Further information: [REF2021 module](#) wiki (includes information on jobs, settings, and census dates employed in the REF2020 module)

REF Audit service



If you are a hosted client, please see the section on [how to request a server](#)

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- Preparations
- What Data is Needed
- How to Send Us Data
 - Disk Space Requirements
- Timeline
 - Testing Phase
 - After REF Submission Phase
- How Long Does an Upload Take?

Preparations

1. When your Pure is backed up to the cloud, some authentication methods may not work in the cloud Pure without further configuration. Therefore you should set up the appropriate local users before the backup process.
2. If you are running an antivirus product, you may experience problems with copying/uploading some files with certain filenames/contents, so we recommend you disable this during the uploading process.
3. The export job can take a considerable amount of time if you have a lot of Job Log Entries. It is worth making sure you frequently run the "Prune Job Log Entries" cronjob.

What Data is Needed

To recreate your Pure in our hosted environment, we will need a database dump, and all necessary local files, such as files stored in local file stores. Output(s) stored in non-local filestores such as eprints and dspace will not be retrieved, and therefore you will need to back these up yourself.

We will need to get two separate copies of the data, once for testing the process, and - if the tests are successful, again after the REF submission. To make sure we receive fully intact and coherent data, we strongly recommend that Pure is stopped during the backup process for the second data copy. We cannot guarantee data consistency for backups taken with a running Pure.



If you are running an antivirus product, you may experience problems with copying/uploading some files with certain filenames/contents, so we recommend you disable such software during the uploading process.

How to Send Us Data

To make the process more streamlined, we have created an Export Tool for use with Pure. This tool will be made available in your WebDAV folder, where you retrieve release files from.



Important

Please create a Jira ticket with the summary "REF Audit service <institution name>" and with information about the exact version of Pure that the dump was taken from, when the export process is done, such that we have a way of sending the link to the server, and to streamline communications on the export.

See [here](#) for information on how to access and use WebDAV. The package will be called: pva_data_exporter_<customer>.zip You should unzip this on your Pure server. See the README file in zip for more specific commands than the ones below (s3 bucket and credentials file are filled in for you).

This tool supports creating a dump of your database, regardless of the database type your Pure is running on - and will also gather necessary files from the local stores, as defined in Pure.

This tool has a big advantage in that it streams file data directly to a secure S3 bucket, therefore you do not need to have a large amount of free disk space to create database dumps and file zip archives. You still need some disk space for temporary storage during processing (see [Disk Space Requirements](#) below). The tool is also able to detect files that have already been upload and skip these files on subsequent runs - so that the time to copy is greatly reduced.

Example usage:

```
java -jar pva-data-exporter.jar export -db {db_string} -db_password {password} -db_user {user} -s3_bucket {elsevier_provided_bucket} -s3_credentials_file {elsevier_provided_credentials_file} -ref_mode
```

Note: If the password of username has symbols in it, you can use " " (windows) or ' ' (linux) to encapsulate the string, e.g. -db_password "password".


The DB string will be similar to the string used in the configuration of tomcat, and will be similar to one of the below:


```
Sample SQL server jdbc URL: jdbc:sqlserver://mssql.pure.dk:1433;databaseName=pure
Sample Oracle jdbc URL (Older Oracles): jdbc:oracle:thin:@oracle.pure.dk:1521:pure
Sample Oracle jdbc URL (Newer Oracles): jdbc:oracle:thin:@oracle.pure.dk:1521/pure
Sample Postgres jdbc URL: jdbc:postgresql://psql.pure.dk:5432/pure
```

Files only mode

The tool can also be run in "Files Only" mode so that you can reduce the time that Pure is stopped:

```
java -jar pva-data-exporter.jar export -db {db_string} -db_password {password} -db_user {user} -
s3_bucket {elsevier_provided_bucket} -s3_credentials_file {elsevier_provided_credentials_file} -
database_export_disabled -ref_mode
```

 It is highly recommended that the tool is run from your Pure server, with the same user as tomcat is run as. This server and user will have both access to the database, and the needed files.

Disk Space Requirements


The tool will send files directly to S3 storage, but the database will be packed temporarily on disk. Space will be needed in the `java.io.tmpdir` location ([system property for the JVM](#)). If you are running out of space in this location, you can adjust it with:

```
java -Djava.io.tmpdir={other_location} -jar pva-data-exporter.jar ...
```

Timeline

Testing Phase

The Export tool will be made available in your WebDAV from the middle of February, and you will be able to use it to upload the initial test data immediately upon receiving it. It is not necessary that Pure is stopped for the test upload, as small data inconsistencies should not inhibit the testing process.

 The tool will ask if Pure has been stopped, and if answering 'No' the tool will stop, for the testing purposed it is ok to answer 'Yes' even if Pure isn't stopped.

After REF Submission Phase

You should run the tool again, so we can create the final version of the backup. It is recommended to run the tool twice in this phase, once in "Files Only" mode, and again including database copy.

How Long Does an Upload Take?

This depends of course entirely on the size of your data, but we highly suggest you run the tool first in [files only mode](#), then run the tool again with the database included.

A suggested pattern for the final submission:

1. Run the tools in files only mode to upload the bulk of the files
2. Run again in files only mode just before stopping your Pure
3. Stop your Pure and run the tool with the database included (this is the [default](#) run mode).



We need both the files and the database in order for us to spin up a server.



You can only upload the database to the S3 bucket one time. If you want to do another upload, please let us know so we can clear the dump in the bucket. The database dump will be cleared in any case on the 31st March, ready for the final submission.

How to Request a Cloud Copy of the Backup

When we have received the post REF submission data and created your Pure backup, you will be able to request a Pure is create in AWS, in the case that an audit is required. Please request these by creating a Support ticket:

With the summary "REF Audit service <institution name>"

And provide the following information:

1. Pure Version (we need to know the exact dash release)
2. How many days you need to keep the Cloud Pure running (max 10)