Pure

Edge Hill University

REF2 for UOA Co-ordinators

This feature is only available to REF UOA co-ordinators.

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Contents

- As a REF UOA co-ordinator, you can edit REF2 records, which will help inform the decisions of the University's REF Decisions Panel in 2020.
- We will export key metadata directly from Pure REF2 to the REF submission system so it is important you update the metadata as required by your REF panel e.g. including additional information, using checkboxes/radio buttons appropriately.
- Click on [REF2021 ▼] at the top, then [REF2 (2021)] on the left.

When do you need to act?

- When an author proposes an output, Pure creates an associated REF2 record. You will receive a notification when a REF2 has been created in your UOA (depending on your user account settings).
- The REF2 workflow flowchart shows all REF2 tasks from proposal to REF submission.

Always click [Save] or [Create] or [Update] where you see them before you close a window or section, or your changes will not be saved.

Actions in summary

1. Review each REF2 that is proposed.
2. Change the *Workflow for selection to REF2021* (the UOA workflow) to **Selected for review** when the UOA review of that REF2 begins.
3. Update the metadata fields in the REF2 editor as required.
4. Ensure the REF2 is attributed to one of the authors available in the REF2 editor.
5. If the UOA **is** recommending the output to the REF Decisions Panel for the submission, change the UOA workflow to **Selected for UOA pool**.
6. If the UOA **is not** recommending the output to the REF Decisions Panel for the submission, change the UOA workflow to **Not selected for UOA pool**.
7. Later, when the RO gives you a list, ask authors to supply PDFs of their outputs for the REF.

Overview screen

- As an Editor of REF2, you have access to the REF2021 overview screen, containing an overview of REF2 for your UOA.

- Clicking on any row will take you to a summary screen filtered on content applicable to that row.
- If the overview does not show the UOA workflow statuses, simply click on the three horizontal bars next to *REF2 (2021)* and choose *Submitted overview*.

Summary screens

- When you click on REF2 in the left-hand side menu, you get links below it to several screens that help you view the UOA and locate specific records.
- N.B. double-weighted outputs will be counted twice in the total number for some tables, but they will only appear once in REF2 lists.

Summary

- Shows information about your UOA's REF2s.
- Valid/Not valid refers to whether the output meets the data validation rules for the REF submission system. The RO will deal with this.

Individual Profile

- Shows REF2 information on each person (REF1) associated to your UOA:
  - o Their inclusion & eligibility status in the REF
  - o Key details about their REF2 profile, such as:
    - Predicted grades
    - The number of REF2s they have at each stage of the UOA *Workflow for selection to REF2021* (below).

The *Total Count* row is the total for the UOA: each REF2 is counted just once, regardless of how many co-authors in the UOA are associated to it. **It is not the sum of the data in the rows beneath it.**

The figures against each author count **all** REF2s associated with the person, so a REF2 with more than one co-author in the UOA will appear in the figures against each author i.e. counted more than once in the table.

You should therefore treat Total Count as a separate table to the individual author data.

Attribution Profile

- Breaks REF2 into whether an author has been attributed or not.

- The *#Attributed* value against each author will be shaded if the value is less than 1 or greater than 5.

OA tracking

- Helps identify *research outputs* (not just those with associated REF2s) requiring action due to the deposit or access criteria of the REF OA policy.
  - o Set the grouping at the top:
    - ▪ *REF2021 UOA of associated REF2s* shows **proposed outputs** for your UOA i.e. a REF2 exists.
    - ▪ *REF2021 UOA of associated author(s)* shows outputs related to authors in your UOA, whether those outputs have been **proposed or not** i.e. a REF2 may not exist.
  - o There must be a complete acceptance date against the *research output* record for it to appear in this summary.
  - o Once the period for action has passed, that output will no longer be listed in the summary. Check the OA summary (below) instead.
  - o As these statuses are generated against the underlying **output**, **not** the **REF2** record, Contact [Learning Services](#) if you have questions about why an output is not compliant.

OA summary

- Summarises outputs (not just those with associated REF2s) by REF open access compliance status, where they are subject to the REF OA policy.
  - o Set the grouping at the top, as explained in *OA tracking*, above.
  - o Further action is required for outputs with statuses of:
    - ▪ *Potentially subject to policy*
    - ▪ *No full publication date set* – it can be made compliant if the appropriate missing date is added
    - ▪ *Indeterminate*
    - ▪ *NOT compliant – confirm exception applicability* i.e. it can be made compliant with an appropriate exception applied
  - o There are various reasons for these statuses, including a missing acceptance or publication date missing, or problem with the full text.
  - o As these statuses are generated against the underlying **output**, **not** the **REF2** record, Contact [Learning Services](#) if you have questions about why an output is not compliant.

Editable

- Gives you a list of the proposed outputs in your UOA.
  - o You can [apply custom filters to this screen](#) e.g.:
    - ▪ *Staff REF2021* allows you to filter on specific staff in the UOA
    - ▪ *Selected status* refers to the *Workflow for selection to REF2021* i.e. the [UOA workflow](#) (below)
  - o Click on a REF2 title to open the record.

Identifying outputs not proposed for REF

- You can see which research outputs do not have an associated REF2 record. For example, if you want to check whether your colleagues have forgotten to propose a potentially high scoring output.
- This involves looking at the *Research Output* content type, not REF2 records, so you must already hold a Pure user role that gives you access to the outputs screen i.e.:
  - o Personal user.
  - o Editor or reporter of anything other than REF.
  - o If your only role is Editor of REF2, you will not be able to do this.

Find the *Research Outputs* screen

If you hold a non-REF editor/reporter role

- Use the *Editor* tab along the top of your screen to locate *Research Outputs*.


### If you are a personal user without a non-REF editor/reporter role

- Go to your *Research Outputs* via your Personal User Overview.

Apply the filter

- To start, you will only see outputs your user roles allow (if any) i.e. your own/those in a department you have rights to access.
- Because you want to see outputs related to a UOA, you need to apply a filter to outputs.
- First, make sure you are in *Editable* in the left-hand side menu under *Research outputs*.
- Remove the *My Content* filter that is applied by default.
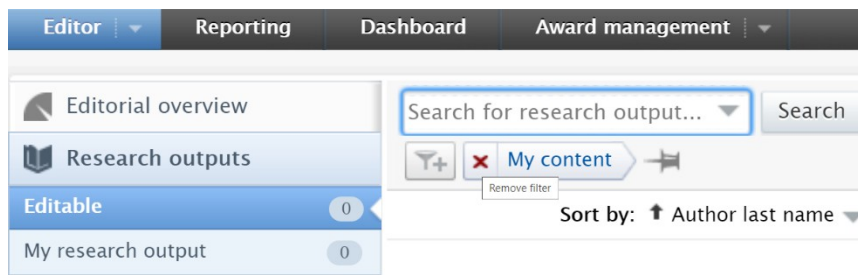
- Add new filters – click on the funnel icon below the search bar, and select (in any order):
  - o *Associated REF2*. Choose either:
    - Only show Research Outputs **with** associated REF2s.
    - Only show Research Outputs **without** associated REF2s.
  - o *Author REF 2021 Unit of Assessment*. Choose your UOA.
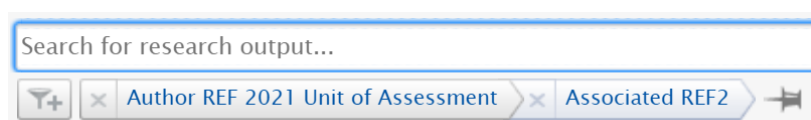
- You will now only see outputs that match those two filters.

- You can export a list of the results in different formats using the *Download List* options at the foot of your browser.

Download list: PDF | HTML | RIS (RefMan) | Word | BibTeX

- Depending on your Pure user roles, you may not be able to see the full details of those outputs when you click to open them, but you should see enough to enable you to chase authors/cross-reference against the public-facing output record on the portal.
- Save your filter by clicking the pin icon next to the filter variables. Your saved search will then be available to you in the left-hand side menu under *Research Outputs*.

Navigating a REF2 record

- Click on a REF2 to open it in a new, REF2 editor window.
- When you open a REF2 record, there is some information you **will** need to edit, some you **will not**, and some you **might**.
- This guide will walk you through the screen from top to bottom.

Associated research output

- Remember: the REF2 is **not** the output; it is generated from the output.
- You can click this section to view more metadata about the associated output in Pure. Only certain users can open/edit the output from this screen, so it is read only for most.
- *Total no. of authors override*: the total number is drawn from the underlying output. Do not use the override. Instead, let the RO know if the number is wrong and we will update the output.

Unit of assessment

- You cannot edit this.
- You can only see REF2s that are assigned to your designated UOA.

Workflow for selection to REF2021 (UOA workflow)

- Indicates the REF2's progress through the **UOA review process**.
- You need to update this as you take the REF2 through the UOA's review and decision-making process.
- Every REF2 should ultimately end up either *Selected for UOA pool* or *Not selected for UOA pool*.
- For details on what each workflow step means and how it affects the REF submission see the standalone REF2 workflows guide.

Workflow for selection to REF2021

Selected for UoA pool *
● Proposed ◯ Selected for review ◯ Selected for UoA pool ◯ Not selected for UoA pool

- There is no notes field for the selection workflow. For audit purposes, you may want to record the reason for the UOA decision in the History and comments section or have a record to hand outside Pure in case required at short notice.

> Neither authors nor you can delete REF2 records so, if a proposal is to be withdrawn, mark it as *Not selected for UOA pool*. It will still appear in the author's list of proposals on their [personal user overview](#) but you can filter it out of your reports.

Predicted grade & peer comments

> This information will be important for the REF Decisions Panel.

- When you choose *Selected for review*, you will be able to add:
  - An overall **predicted grade** from the UOA.
    - Manual input; not affected by the peer reviewers' predicted grades (below).
    - Visible to the academic.
  - **Peer comments**. Not visible to the academic. Peer reviewers do not have access unless they also have the Editor of REF2 role for your UOA, so you need to input/paste their reviews in this section. Add a separate *Peer comment* for each reviewer, comprising:
    - Name (you can use a pseudonym if you wish).
    - Predicted grade from that reviewer.
    - Reviewer comment – this should be completed but full feedback can be very detailed, so you may choose to use this field only for the key/headline feedback to help the REF Decisions Panel, saving the full feedback for it to access from the Y drive.

Reserve output needed – double weight
- If you plan to double weight an output, selecting *Yes* here will open a text field for you to enter the request to your REF Panel.
- It will also give you the option to attribute the output to two authors, if necessary (see *Attribution*, below).
- If double weighting, you need to nominate a reserve output.
- Click to select the reserve REF2 record from Pure, which:
  - Must have been proposed for the same UOA
  - Cannot be a reserve for another REF2 record
  - Cannot have a reserve assigned to it
  - Cannot be attributed (see below)
  - Cannot be double weighted

Research output needed - pending publication
- Do not use. Since the deadline moved to 2021, this is no longer relevant and may be removed in a future update.

Output acts as reserve output
- This section indicates if the current REF2 record has been selected as a reserve output for another REF2.

Attribution

- Here you will see all authors (with associated REF1s) from your UOA who are **associated** with this REF2.
- There is only one REF2 per output per UOA, not one per author.
- You therefore need to **attribute** the REF2 to a REF1.

> The output cannot be submitted to the REF submission system if it has not been attributed to one of the associated authors.

- By default, the REF2 is not attributed to any associated REF1, even if there is only one associated REF1.
- You will only be able to change the *REF1 Attribution* value to *Yes* if:
    - **We** have set:
        - *Inclusion in the REF Submission* to *Yes*, **and**
    - **You** have set:
        - *Workflow for Selection to REF2021* to *Selected for UOA Pool*, **and**
        - *Significant Contribution* against the author in the *Attribution* section to *Yes*.
- When you select *Yes* under *REF1 attribution*, the *Locked Attribution* button above the table will change to *On*.
    - This prevents accidental changes to attribution, but you can edit attribution if you toggle the lock to *Off*.

> Whether attributed or not, include the reason for the REF attribution decision in the *Attribution notes* field against each author in case the output is the subject of an audit request or other enquiry.

- The author does not have direct access to the attribution notes through Pure unless they also have REF2 editor rights for the UOA but remember that they may be entitled to see your note in the event of an appeal.

Outputs with more than 15 authors

- Some UOAs are required to provide a statement on the author's contribution to the output if the number of co-authors on the output exceeds 15.

- If this is the case, a text field for *Researcher's contribution* will be provided at the bottom of the *Attribution* section.

Researcher's contribution

Words 1 | Max. 100

- Although the REF Panel Criteria states this is only needed where the attributed author is neither lead nor corresponding author, Pure will not factor this in so, to avoid potential problems when we export to the REF submission system, please include a brief statement even in those cases.

Attributing double weighted outputs to two authors

- If you have selected to double weight the output, **and** there are two or more author REF1s associated with this REF2 in your UOA, you can attribute that REF2 to two of those associated REF1s, if necessary.

- Make sure Locked attribution Off , at the top of the *Attribution* section, is set to *Off*.

- You should then see the *Yes/No* radio buttons under *REF1 attribution* against each associated author.

- Make sure Select two contributors On , at the bottom of the *Attribution* section, is set to *On*.

- Once you set *REF1 attribution* to *Yes* for one author, the *Locked attribution* switch will change from Locked attribution Off to Locked attribution On .

- You will need to change it back to Locked attribution Off to attribute to the second author. Attribution will lock again when you have done this.

Attribution

Locked attribution
Off

Internal authors	Significant contribution	REF1 attribution	Attribution notes (internal)
Test, Staff 4: Psychology, Psychiatry and Ne... Staff category: A Eligibility : Yes Inclusion in REF submission: Yes	● Yes ○ No	● Yes ○ No	
Test2, Staff 4: Psychology, Psychiatry and Ne... Staff category: A Eligibility : Yes Inclusion in REF submission: Yes	● Yes ○ No	● Yes ○ No	

Select two contributors
On

Open access compliance status

- This information is taken from the associated research output.
- It is the metadata used to calculate the OA compliance status for this REF2.
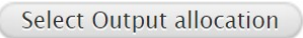
Submitter's reason for proposing

- When the author proposes the output through Pure, they should give a reason and a personal ranking of it to help the UOA review.
- If there is no reason and the ranking is *Alternate*, it *could* be that the output was proposed by a co-author in another UOA or imported from EHRA.

Information to sub-panel

- Whether you complete any of this section will depend on the output and your REF panel's criteria.
- What you input here will inform the REF Decisions Panel **and** be exported to the REF submission system.

Output allocation

If you have this button, it is needed for the submission.

- If your sub-panel requires additional information to allocate outputs to different readers, the REF2 will include Select Output allocation.
- Use this to select the relevant subject area from the hierarchy.

Output sub-profile category

- If your sub-panel offers the chance to specify a sub-profile category, you will have access to a drop-down menu in this section.

Common fields

- **Additional information**: please refer to your REF Panel Criteria to see if this is needed.
- **Output type**: automatically populated based on the type of underlying output. Do not override. Instead, let the RO know if this is incorrect and we will update the associated output.
- **Affected output statement**: to capture details of the negative impact of COVID-19 on the output, if applicable.
  - Max. 100 words.
  - See REF [Guidance on revisions to REF 2021](#) (paragraphs 28 – 45).
- **Audit evidence**: to upload files in support of the affected output statement in the event of an audit.
- A series of radio buttons. Responses depend on the output and may lead to additional information requirements.
- **Publication year** is imported from the associated research output. Do not use the override field. Instead, let the RO know if the publication year is incorrect and we will update the associated output.

DOI/PDF/Physical copy tracking

You do not need to do anything with this section

- The Research Office will update it, but only after [you have updated the UOA workflow to certain statuses](#).
- Following our checks, you may be provided with a list of outputs for you to ask the authors to supply PDFs.
- The RO has [published guidance on the acceptable output submission formats](#) (based on the REF guidance).

Status (RO workflow)

You do not need to change this status.

- In the footer of the REF2 editor window.
- The statuses are explained in the [REF2 workflows guide](#).

REF reporting

- There is a separate guide on [REF Reporting](#).