

Data collection release guide

August 2007

rae2008
Research Assessment Exercise

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Purpose of this document

This document provides key institutional users of the data collection system for the 2008 Research Assessment Exercise (RAE) with the essential information for making a submission. It accompanies the final release version of the software and introduces key institutional users to important features of the data collection system. It also points them to the parts of the *RAE 2008 Data collection user guide* that are most relevant to their institution's needs. The information in the last two chapters can be selectively distributed to users for whom the individual points are relevant.

This document is also intended for senior administrators and managers in the institution, who may not be users, to give them an overview of the data collection system.

The *Data collection release guide* will be updated in conjunction with each rebuild of the data collection system. For further information on the RAE 2008 data collection system, see: <http://www.rae.ac.uk/datacoll/>

Chapter 1 – Making an RAE 2008 submission

1. The RAE 2008 data collection system includes all the functionality required to prepare submissions for RAE 2008. You will be able to input, validate and print actual submission data from now until 30 November 2007.
2. Any data entered through the pilot system will have been retained for the final version.
3. An RAE 2008 submission consists of a cover sheet and several forms (RA0 – RA5 and RG – Research groups) which contain all the information that RAE panels require to make an assessment of the overall quality of the research activity in the submission.
4. You will be able to make a final submission in the RAE 2008 data collection system from June 2007, when the necessary functionality will be added, until the deadline of 12:00 on 30 November 2007.

Submission instructions for the RAE 2008 data collection system

5. An invitation to submit has been sent to institutions (RAE Circular letter 2006/02). This explains the process by which institutions will formally 'sign off' submissions. No hard copy forms will need to be submitted, but an electronic confirmation should be made by one of two authorised submitters. We would expect the authorised submitter to be a senior member of staff able to act on behalf of the institution.
6. The letter asked institutions to register the names and contact details of their two authorised submitters. These individuals will have authority to finalise all the institution's submission data in the RAE 2008 database.
7. If you need to change or update details for either of these submitters, the head of institution should notify the RAE team in writing.
8. You will need to set up the two authorised submitters as users on the RAE 2008 data collection system.
9. The process for a final submission is in two stages: an initial validation phase for any individual in the institution who has administrator rights to the RAE 2008 data collection system (an administrator), and a final submit process for either of the authorised submitters.
10. The **Submit** function will feature two views, one for each of the above roles. Before a submitter finally submits the submission data, an administrator should validate the data in each submission. If they have not successfully validated the data, the final submit process will be disabled.
11. The view of the **Submit** function for administrators includes:

- contact details of both submitters
 - status, which will be one of:
 - i. validation failed
 - ii. validation passed and database locked
 - iii. submitted and database locked
 - iv. not validated
 - a **Validate all** button to validate all the submissions for the institution
 - a **Progress** table which details the resulting validation report.
12. The view of the **Submit** function for the submitters will consist of:
- text showing the current status of the institution's submission
 - a **Submit** button to finalise the submission. Clicking this will result in:
 - i. displaying response text
 - ii. sending receipts by e-mail to both the submitters
 - an **Unlock** button to unlock all the institution's submission data. Clicking this will result in:
 - i. retracting the institution's submission and unlocking its data in the RAE 2008 database
 - ii. displaying response text
 - iii. sending notifications by e-mail to both the submitters.
13. Once an administrator has validated and locked all the submissions they should then notify the submitters that all the institution's submissions are ready.
14. The **Submit** function, was released in June 2007.

Forms

15. Each RAE form requires different information relating to the department making the submission. All forms from RA0 to RA5a need to be completed in order to make a submission. Complete RA5b, RA5c and Research groups if applicable.

Form	Details
RA0	Overall staff summary
RA1	Research active staff details
RA2	Research outputs
RA3a	Research students
RA3b	Research studentships
RA4	External research income
RA5a	Research environment and esteem
RA5b	Individual staff circumstances
RA5c	Category C staff circumstances
Research group	Research groups

Chapter 2 – Scenarios: approaches to using the RAE 2008 data collection system

Read this chapter before you read the *RAE 2008 Data collection user guide*, referred to from now on as the *User Guide*. Chapter references in italics are to those in the *User Guide*.

We recognise that institutions may make their submissions in a range of different ways. This chapter is a series of signposts, aimed at administrators, to guide users to the most important chapters of the *User Guide* appropriate for the scenario at the institution. Five typical scenarios are listed below.

All users should read the *Preface*, *Chapter 1 – Help* and *Chapter 2 – Getting started in the User Guide*.

1. If you intend to use **Web services**, you should pay particular attention to *Chapter 3 – Administration* and *Chapter 12 – Web services*. Ensure that you have set up an account of type 'Automated' for this purpose.
2. If you intend to centrally **bulk upload** data originating from existing management information systems, you should pay particular attention to *Chapter 3 – Administration* and *Chapter 6 – Import*. Also read the parts of *Chapter 4 – Data entry* which relate to the forms you are uploading. Ensure that you have set up an account of type 'User' or 'Administrator' for this purpose. You should check the 'Import' function in the user's account and set 'Read/write' access for all submissions for this user.
3. If you intend to **upload** data originating from existing management information systems on a **distributed** basis, for example by enabling departmental users to upload data for particular units of assessment or forms, you should pay particular attention to *Chapter 3 – Administration*, and ensure that the users read the parts of *Chapter 6 – Import* that are relevant to them. Users should also read the parts of *Chapter 4 – Data entry* which relate to the forms they are uploading. Ensure that you have set up accounts of type 'User' for this purpose. You should check the 'Import' function in the users' accounts, and set 'Read/write' access for all submissions these users should have access to.
4. If you intend to **centralise manual data entry**, you should pay particular attention to *Chapter 3 – Administration* and *Chapter 4 – Data entry*. Ensure that you have set up an account of type 'User' or 'Administrator' for this purpose, and set 'Read/write' access for all submissions for this user.

5. If you intend to **de-centralise manual data entry**, for example by enabling departmental users to enter data for particular units of assessment or forms, you should pay particular attention to *Chapter 3 – Administration* and ensure that the users read the parts of *Chapter 4 – Data entry* that are relevant to them. Ensure that you have set up accounts of type 'User' for this purpose, and set 'Read/write' access for all submissions these users should have access to.

For this scenario, consider using the templates listed below. See *Chapter 3 – Administration* for details of each role and how to enact them:

- RAE departmental submissions manager
- RAE income information submitter
- RAE officer
- RAE read only user
- RAE research output submitter
- RAE staff information submitter
- RAE student information submitter.

6. You may decide to combine the above scenarios, in which case you should pay particular attention to the corresponding chapters in the *User Guide*.

Chapter 5 – Search and *Chapters 7 to 10 (Import, Export, Validate, Print, Reports)* describe functions which you can use after data input. Use these chapters and *Chapter 11 – Options* as appropriate. Use the Annexes in the *User Guide* for reference purposes.

Chapter 3 – Differences between the RAE 2001 and RAE 2008 data collection systems

This chapter lists six main differences between the RAE 2001 and RAE 2008 data collection systems.

1. The RAE 2001 data collection system was an application – the RDA – which was installed on the personal computers of users in institutions. The RAE 2008 data collection system has been implemented using a web interface, accessible by all submitting institutions.

The entire RAE 2008 database is held at the HEFCE headquarters in Bristol, and backed up routinely. This is to minimise support required on-site at institutions, and to facilitate centralised user support and maintenance at HEFCE.

2. The form structure has changed, chiefly in the following respects:
 - a. RA5 and RA6 have been re-structured into three distinct forms as follows:
 - i. RA5a: Environment and esteem
 - ii. RA5b: Individual staff circumstances
 - iii. RA5c: Category C staff circumstances.
 - b. A number of fields have changed or been removed, and others have been introduced. See Annexes C-J of the *User Guide* for complete listings of fields by form. See Annex K of the *User Guide* for a breakdown of any relationships between the RAE 2001 and RAE 2008 fields.
3. The procedure for requesting multiple submissions has been integrated into the data collection process. See *Chapter 3 – Administration of the User Guide*.
4. The list of file formats for bulk upload (import) has been expanded to include:
 - XML format
 - Microsoft Excel format
 - Microsoft Access format
 - Delimited text
 - RAE 2001 database format
 - RTF
 - EndNote[®] export
 - Reference Manager[®] output.

5. The ability to upload data programmatically using web services has been implemented for RAE 2008.
6. The printed documentation supporting the RAE 2008 data collection system differs from that for RAE 2001.
 - a. The documentation for RAE 2001 was in three parts:
 - i. User's guide
 - ii. Technical manual
 - iii. Quick start guide.
 - b. The documentation for RAE 2008 is in two parts:
 - i. User guide
 - ii. Release guide.

Chapter 4 – Additional Functionality in August Update

Some institutions have reported difficulties importing the RA5a textual commentary into the Data Collection system. In particular problems have occurred where imported text for RA5a leads either to validation failures due to “illegal” tags being introduced to the text and/or to formatting problems as a result of the RTF to HTML to PDF conversion processes.

For those institutions that are encountering difficulties we have developed the following workaround to ensure that HEIs can both submit valid data via the RAE Data Collection system and provide panel members with a clear textual commentary as part of the RAE submissions.

The Data Collection system has been updated as follows;-

1. HEIs will still need to include the textual commentary (RA5a) in the data collection system. However, the validation routines which previously caused difficulties will not now be enforced as errors, but will show as warnings in the system. These warnings will not prevent institutions from making their submission.
2. In addition, we have added the **optional** functionality to append, via the Data Collection system, a single PDF file of the textual commentary in RA5a. The text of the PDF file must be identical to that included in the data collection system, but can be formatted to overcome difficulties some users may have experienced when importing text through the data collection system.
3. In order to minimise disruption in the preparation of submissions we have added an additional option to clear all data in a given submission except form RA5a without deleting the submission itself (“Clear Down”). Thus, once HEIs are satisfied that the RA5a data has been successfully introduced, they can continue to develop the rest of their submission through import/export of data without losing any formatting from RA5a.

In keeping with practice in previous RAEs, extensive formatting (including the use of colour) and the use of graphs and diagrams is not permitted. These constraints were imposed through the data collection system, but with the acceptance of the PDF file alternative it is incumbent on HEIs to observe these principles. Limited formatting as set out in Chapter 4 of the Data Collection user guide will be permitted.

Institutions should follow the steps below to implement this workaround in one of three ways – (i) using the “import” function, (ii) via the Data Entry screens or (iii) through Web Services.

As part of this workaround we have also added an option to “clear down” all the data in a Unit of Assessment except the RA5a. This may be of assistance to those users who have entered a completed version of the RA5a into the data collection system but still wish to amend data in the other parts of the submission.

RA5a PDF Format upload

Insert PDF using “Import” function

1. You should first save your RA5a textual submission file in Portable Document Format (PDF). Once this file is prepared you should access the **Import** button on the **Main menu**.
2. The **Import data** screen will appear:

Import data ?

File

File type RA5a PDF attachment ▾

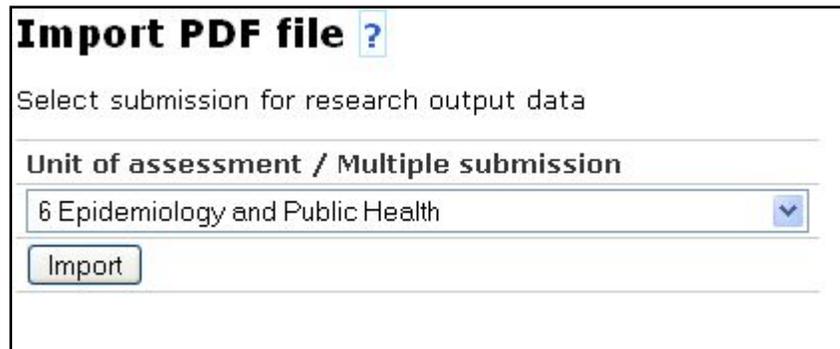
Allow data to be imported when there are validation errors

Validation report format PDF print out ▾

Progress

3. Click on the button to select the PDF file to import.
4. Select “**RA5a PDF attachment**” from the **File Type** dropdown box.
5. You can choose whether or not the file is transferred to the RAE 2008 database if validation fails. With an RA5a attachment the RA5a standard text field is validated. To allow the PDF file to be imported if the validation fails for any part of the submissions, check the box labelled **Allow data to be imported when there are validation errors**. Otherwise the PDF will not be uploaded if the validation check on the RA5a field fails.
6. Click on the button.
7. If you obtain the error message **File extension does not match the file type**, it means you have not selected a PDF file to upload. You must select a PDF file for this type of upload.

8. The **Import PDF Screen** will appear:



Import PDF file ?

Select submission for research output data

Unit of assessment / Multiple submission

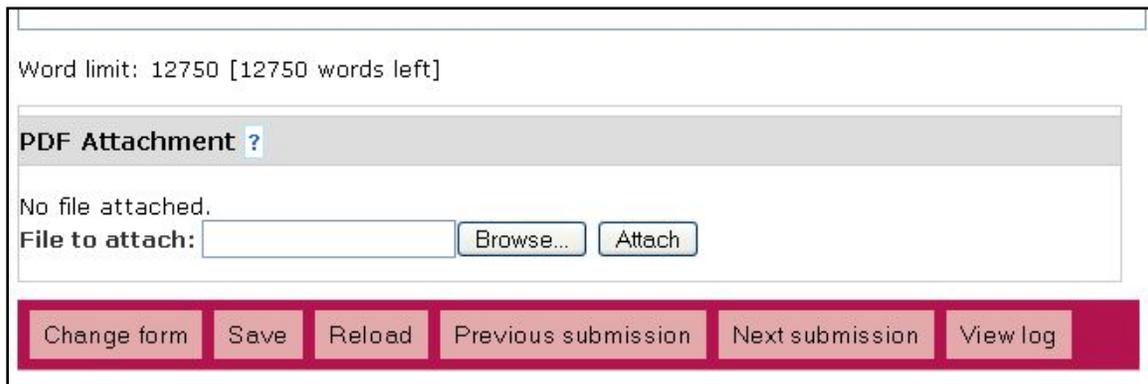
6 Epidemiology and Public Health

Import

9. Select the submission from the drop-down list and click on the **Import** button. The PDF file will import in the same fashion as any other type of import with the usual status notifications in the table below.

Attaching RA5a as a PDF from RA5a Data Entry Screen

10. RA5a textual submissions may also be imported from the **RA5a** screen found under the **Data Entry** section



Word limit: 12750 [12750 words left]

PDF Attachment ?

No file attached.

File to attach:

Change form Save Reload Previous submission Next submission View log

11. Click on the **Browse...** button to select the PDF file to import.
12. Click on the **Attach** button.

13. A message will appear at the top of the RA5a screen informing you whether the process has been successful.

RA5a - Research environment and esteem ?

6 Epidemiology and Public Health

Change form Save Reload Previous submission Next submission View log

The file RA5aTest.pdf has been attached.

Passed

14. To view a PDF file that has been attached, click on the button.
15. To remove an attached PDF file click on the button. A message will be displayed at the top of the RA5a screen confirming that the attached PDF file has been removed.

Attaching a PDF to RA5a via Web Services

16. Follow the instructions in the Data Collection User Guide in Chapter 12 as if you were importing or exporting an RTF file to or from RA5a. PDF has been added as an option for import under FileType and for export under ExportFileType.
NB: You must specify the encoding as Base64

Exclude RA5a from submission clear downs

1. Select the **“Options”** function from the **Main menu**.
2. To exclude the RA5a form from a submission clear down on an institution-wide level, set the drop down box to **“No”** from the **Include RA5a in Submission clear downs** option.

Options ?

Save Reload

Passed validation

Name	New value	Level
The max. no. of failed logins before account lockout.	3	Institution
Use EditLive to enter formatted text (RA5a, RA5b, RA5c, RA2)	No <input type="button" value="v"/>	Institution
Use EditLive to enter formatted text (RA5a, RA5b, RA5c, RA2)	No <input type="button" value="v"/>	User
Include RA5a in submission clear downs	No <input type="button" value="v"/>	Institution

Save Reload

3. To save your changes, click on the **“Save”** button.
4. To cancel any changes and reload the last saved data, click on the **“Reload”** button.

Chapter 5 – The “Submit” function (added in June 2007)

The RAE data collection system was updated at the end of June 2007. This rebuild not only fixed a number of bugs, but added additional functionality to the Data Collection system particularly in the form of the Submit function. The RTF file handler for the RAE data collection system has also been updated to help address problems surrounding the import of RTF files to RA5a.

This chapter comprises a complete user guide of how to use the Submit function, as well as details of the new journal article PDF file naming scheme for those submitting articles without DOIs. For those users who have not used the system since the pilot version a summary of changes since then is provided at the end of this chapter.

Submit

Submission functionality has been added to the system: institutions may make their submissions at any time between now and the submission deadline of 1200 on 30 November 2007. The process for making submissions is in two stages: an initial validation stage for completion by any individual in the institution who has administrator rights to the RAE 2008 data collection system (an administrator), and a submission stage for completion by either of the institution’s authorised submitters (submitters). An administrator validates all the submissions and then they are locked to prevent further data editing. The administrator needs then to notify a submitter that the submissions are ready to submit. After submitting, a submitter may unlock the submissions to correct any errors or make changes before the deadline.

1. Use the **Submit** function to submit your institution’s data to the RAE 2008 database. To access the **Submit** function click on the **Submit** button on the **Main menu**. Only administrators and/or authorised submitters have access to this.

2. The **Submit to RAE 2008** screen will appear:

You are in : **Submit to RAE 2008**

Submit to RAE 2008 ?

Current status of your submission

The submission needs to be validated before it can be submitted.

Validation process added to the queue

Progress

Authorised submitters

Administrator
H-0077-A

- Click on the **Validate all** button to validate all your institution's submissions in all units of assessment. You will not be able to submit your institution's data until all the data has passed validation.

You are in : **Submit to RAE 2008**

Submit to RAE 2008 ?

Current status of your submission

The submission needs to be validated before it can be submitted.

Validate all **Submit** **Unlock**

Validation process added to the queue

Progress

Refresh list

Job ID	File	Status	Queue position	Created	Started	Ended	Cancelled
5754	report_05754.pdf	Waiting	1	21/06/2007 15:40:04			Cancel
5749	report_05749.pdf	Errors		21/06/2007 11:20:20	21/06/2007 11:20:20	21/06/2007 11:20:21	

View log **Download file**

- To refresh the log click on the **Refresh list** button.
- If validation fails, then the following will appear:

You are in : **Submit to RAE 2008**

Submit to RAE 2008 ?

Current status of your submission

The submission needs to be validated before it can be submitted.

Validate all **Submit** **Unlock**

Progress

Refresh list

Job ID	File	Status	Queue position	Created	Started	Ended	Cancelled
5754	report_05754.pdf	Errors		21/06/2007 15:40:04	21/06/2007 15:40:05	21/06/2007 15:40:06	

View log **Download file**

All submission data is then left in the state it was in before you ran validation. You then need to make the necessary changes to the data in order to pass validation. To view the report click on **Download file**. The report will indicate what data has failed validation. Warnings will not fail validation, and submissions can be made with warning indicators.

6. If validation passes, then the following will appear:

You are in : **Submit to RAE 2008**

Submit to RAE 2008 ?

Current status of your submission

The submission has passed validation and is ready to be submitted.

Validate all Submit Unlock

Progress

Refresh list

	Job ID	File	Status	Queue position	Created	Started	Ended	Cancelled
View log	5761	report_05761.pdf	Warnings		21/06/2007 15:59:11	21/06/2007 15:59:12	21/06/2007 15:59:13	

Authorised submitters

Administrator
H-0077-A

All submissions are then locked to prevent data from being changed. Only administrators can unlock a submission by using the **Unlock** button in the Administration, Submissions management page. If a submission has been unlocked and the data has been changed, then an administrator will have to re-run the submit validation again.

7. Once all submissions have passed validation one of the authorised submitters can then press the **Submit** button. The **Submit** button is only visible to the authorised submitters. The **Submission confirmation** screen then appears as follows:

following the end of the assessment process. Information that will not be published includes personal and contractual details, material provided in RASb, research outputs listed as type O ("confidential report"), and other information which is either commercially sensitive or which the institution would not itself expect to have to make public. Following the publication of results, submitted data may be made available, in whole or in part, under the terms of an appropriate data protection agreement, to selected third parties for further research.

Use of data

5. I note that the information presented to panels will contain all the information which we have submitted except dates of birth and HESA staff identifiers in form RA1. I note that the RAE team will extract and pass to HESA the following data from RA1 to enable verification: for each individual submitted as research active in categories A and B, their Unit of Assessment (UOA), HESA staff identifier code and date of birth.
6. I note that, apart from the data mentioned in paragraph 5, information contained in this RAE submission may be provided to panel members, the panel secretariat, specialist advisors (including Welsh language advisors) and the RAE team as part of the assessment process.
7. I confirm that all information contained in the submission is, to the best of our knowledge, correct and acknowledge that all aspects of RAE data may be subject to audit and verification by the RAE team.
8. I confirm that the institution will provide, at the request of the RAE team, copies of research outputs or other supporting materials as specified by the panels.
9. I acknowledge that the data provided in the submission, especially in relation to research active staff, may be used later by the UK funding bodies to calculate allocations of grants for research.

Confirmation of submission

10. I note that authorised submitters and the designated RAE contact will receive an e-mail confirming that the submission process has been completed.

Confirm Cancel

8. The submitter then needs to confirm that they wish to submit using the  button at the bottom of the statement.

9. You can click  on this screen which will stop the submission process completing and you will return to the previous screen with the submission validated as before, but not submitted.

10. The **Submit to RAE 2008** screen will appear:



You are in : **Submit to RAE 2008**

Submit to RAE 2008 ?

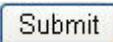
Current status of your submission

The submission has been submitted.

Authorised submitters

Administrator
H-0077-A

Confirmation of the submission is sent by email to each of the authorised submitters and the RAE contact. A news item is added for the institution stating the submission has been made.

11. To change data after pressing the  button, but before the submit deadline of noon on 30 November 2007 click on the  button. Only an authorised submitter can do this. This will return submissions to the pre-submitted state with the locks still in place. An administrator can then use the **Submissions management** screen to unlock individual submissions. Once the submission has reverted to its unlocked, pre-submitted state, changes can be made to the data. Any changes made to the data will mean that the administrator will need to re-run the submit final validation process through the process described from paragraph 1 (above). Each resubmission process will prompt emails to the authorised submitted and designated RAE contact.

How to submit joint submissions

1. Only the lead institution can validate a joint submission.
2. In order to submit, an institution that has the status of member in a joint submission will not have that submission included in the submit validation process.
3. The lead institution cannot run the submit validation unless they have at least read-only permissions to all the parts of the joint submission. Documentation on how to do this is available on p.34 of the Data Collection user guide.
4. The member institution cannot submit until the lead institution has validated the joint submission.
5. Each institution will then submit their own part of the joint submission when they press the button. Once a part of the joint submission has been submitted no other part of the joint submission can then be changed.
6. To change a part of the joint submission after submission all institutions involved in the joint submission will need to unlock their submissions.

After the submission deadline

1. After the submission deadline has passed all screens apart from **News** and **User accounts** should become read-only and the and buttons on the **Submit to RAE 2008** screen will be disabled. You can continue to output data from the RAE 2008 data collection system using **Export, Print** and **Reports**.
2. All data marked as excluded from the submission will be automatically deleted after the submission deadline has passed. If you then try to read this data it will no longer be present.

Journal Article File Naming Schema

Institutions needing to submit PDF files (in the absence of a DOI) for journal articles were previously advised to use the unique RAE 2008 RA2Id for naming such files. This method still exists, but there are now an additional three acceptable naming schemes:

r[ra2Id].pdf – this is the current naming scheme
eg: **r321456.pdf**

H[d][HESAInstId][d][uoaId][msubId][d][HESAStaffId][d][outputNumber].pdf
eg: **H-0077-43-0710471234568-4.pdf**

S[d][HESAInstId][d][uoaId][msubId][d][StaffId][d][outputNumber].pdf
eg: **S_0077_43_123456_4.pdf**

O[d][HESAInstId][d][uoaId][msubId][d][outputId].pdf
eg: **O+0077+43+BloggsJ1.pdf**

ra2Id – is the internal ra2 identifier used by the data collection system. A report can be run to generate the RA2Id.

[d] – is a delimiter of the institution's choice. The examples above use three different delimiters. Any character can be used as long as the delimiter is consistent within a single filename. The character used as a delimiter must not also occur within the output and/or staff identifiers..

HESAInstId – is the institution's HESA code.

uoaId – is the unit of assessment number.

msubId – is the multiple submission letter/ Omit this if not required.

HESAStaffId – is the HESA staff identifier for the member of staff the output belongs to.

outputNumber – is the output number for the output.

StaffId – is the staff identifier for the member of staff the output belongs to.

outputId – is the output identifier for the output.

The system processing the files will use the first character to identify the naming scheme and, for the H, S and O schemes, will use the second character to identify the delimiter.

Developments since the pilot version

Since the pilot was released in August 2006 the RAE 2008 data collection system has undergone several re-builds during which a number of bugs have been fixed and functionality has been added or changed. Some of the key functional aspects that have changed from the pilot version are listed here. All references in this chapter are to the *Data Collection User Guide*.

1. The RAE 2008 data collection system requires research outputs submitted as type D (journal articles) to be referenced in RA2 using their Digital Object Identifier (DOI) where this exists. A DOI is a unique alphanumeric string assigned to a digital object such as an electronic journal article: the majority of journal articles published since 2001 have had a DOI assigned.

DOIs will enable the RAE team and panels to access the published version of journal articles in electronic form via publishers' websites, thereby reducing the burden on institutions to provide hard copies. If a journal article does not have a DOI assigned, the institution will need to provide an electronic copy of the article in PDF format in addition to the bibliographic data in RA2.

The RAE 2008 data collection system enables institutions to interrogate the database held by CrossRef, the DOI link registration agency, in order to look up or verify the accuracy of DOIs individually or for small batches of journal articles.

See *Chapter 3 – Administration* for instructions on how to look up or verify a batch of DOIs. See *Chapter 4 – Data entry: RA2 – Research outputs* for instructions on how to look up or verify an individual DOI for a single research output of type D, journal article.

2. There is a text editor called EditLive! which gives an optional way of entering formatted text in the text fields in RA2, RA5a, RA5b and RA5c. In the pilot, the default value for enabling this editor was **Yes** whereas this is now **No**. See *Chapter 11 – Options* for instructions on how to change this value. See *Chapter 4 – Data entry* for further information and instructions on EditLive!, as well as chapter 5 in this document.

3. There is now a method for importing null values into the RAE 2008 data collection system. For each data type, a specific value signifies that the existing value in the RAE 2008 database should be deleted. This differs from the pilot version, in which the only way of deleting an existing value was by deleting it manually in the data entry function. See *Chapter 6 – Import* for instructions on how to import null values.

4. There is also now a method for the import and export of user accounts, user permissions to research assessment forms, and user permissions to functions. See *Chapter 3 – Administration* and See *Chapter 6 – Import* for instructions.

Chapter 5 – Frequently asked questions

Forms

Q: Will the data collection system need to be populated in a certain order? Specifically, do the staff data in RA1 have to be set up before we can import or type in RA2 data? And are there any other constraints which would impact on the way we plan our workflows?

A: There are only a few dependencies you need to be aware of. These are as follows:

- Research group: Research group referral/RA4*
- Research group: RA1/RA2 (recommendation)
- RA1: RA1Cross-Referral
- RA1: RA5b**/RA5c**

In each case the form before the colon needs to be completed before the ones after. Those after the colon need not be completed in any particular order in relation to each other.

* This case only applies to units of assessment which require RA4 by research group.

**In these cases you can import RA5b and RA5c before RA1, but not enter the RA5b and RA5c data directly.

Research Groups

Q: Is the field 'Code' in the Import table 'ResearchGroupReferral' the same 'Code' as in the Research groups form? And will this code be used in the fields 'ResearchGroup1', 'ResearchGroup2', 'ResearchGroup3' and 'ResearchGroup4' in the RA1 Import table?

A: Yes, the 'Code' field in Research groups is used to identify the research group and is one character long: either an alphabetic A - Z character or numeric 0 – 9. This code is then used in the 'ResearchGroupReferral' table and in the four fields (not mandatory) in RA1, and subsequently in RA2 and RA4.

RA0

Q: RAE 03/2005 *Guidance on Submissions* states in paragraph 67a that the data collection software will populate some of RA0 using the data HEIs enter in RA1. Does this mean I cannot enter data into these fields?

A: Correct. These values contain totals from RA1 records held in the RAE 2008 database. There are no database fields associated with them.

Q: I see that there will be a headcount for category A, B, C and D staff. Will this be a single total?

A: No. Individual totals for each staff category will be given.

Q: Are there any instances other than in RA0 where totals are calculated from one form onto another?

A: Only in one other place: for units of assessment which require RA4 by research group, there are totals of all research groups.

RA2

Q: 'A location is required by the output's type' is displayed for a few of the publications, but where, in the spreadsheet, is this supposed to go? I cannot see a column for 'location' in the template.

A: The 'location' of output corresponds with the ShortTitle field when you import it. Although many import field names are the same or similar to their on-screen equivalents in data entry, some are different, and this is a case in point. There are notes on this in Chapter 4 – Data entry. If you are importing data into a form it is advisable to read the part of the chapter corresponding with that form for some special notes on each field.

Q: When we are making a record of 'Chapter in Book' type how do we assign both the book title and chapter title in the RA2 form?

A: Put the title of the chapter in the Title field (LongTitle field in Import) and the title of the book in the Location (ShortTitle field in Import).

Q: For RAE 2001 only the year of publication was required. In RAE 03/2005 Guidance on Submissions it asks for month and year of publication. Institutional staff tend to provide us with volume, issue (if it exists) and year. Is the month still required?

A: We intend to collect month for all outputs other than books (authored and edited) and chapters in books, as specified in RAE 03/2005 Guidance on Submissions, paragraph 93.

Q: We are making entries for journals and scholarly editions, and find that many do not give a month, as required by the RA2 form, though sometimes they give a season. What should we do?

A: If the journal issue is not denoted by the month of publication, you should enter your best possible estimate of the month of publication. If it gives a season, nominate a month for each season, and keep to that standard. We suggest the following:

- 1 = winter (beginning of year)
- 4 = spring
- 7 = summer
- 10 = autumn
- 12 = winter (end of year)

If absolutely no information on season or month of publication is available, enter 1 as a nominal month. Enter 1 for a nominal day of the month if necessary.

Q: In the Research Output (RA2) table, what is the definition for Output identifier other than simply 'Value must be a string of no more than 24 characters'. What's expected in there?

A: The Output identifier is devised by the HEI to uniquely identify the research output. As long as it is unique, it can take any format you want. This field exists so that a research output can be added to the database before it is assigned to a staff member.

Q: Where should I indicate the 'medium of output' and other information for non-text based research outputs?

A: The type of research output, e.g. performance, is entered in the Type field (OutputType in Import), the title and/or description are entered in the Title field (LongTitle in Import), the medium is entered in the Editors field, and the place is entered in the Location field (ShortTitle in Import). See Annex F of the User Guide.

Q: If the research output is a journal article but also available electronically, should we include details of both?

A: For journal articles, we require the DOI if it is available. If there is also a URL, you may choose to add this but the URL will not be the way that we access journal articles. For more information on DOIs see <http://www.crossref.org>

Q: How do we return research outputs that are only available on-line?

A: Items that are only available electronically should be treated as internet publications and the URL cited. This includes forthcoming journal or other articles that are available electronically before the planned publication date on publishers' or author's web-sites, which should be treated as internet publications (see paragraph 93.j.iii of the RAE 03/2005 Guidance on Submissions).

Q: If an individual contributed more than one item to a research output and wanted to submit them all as one related research output, how should we present this in the data collection system? If, for example, it was three chapters in a book, should we enter details three times in the pagination field or should we just refer to the other outputs in the RA2 'Other relevant details' field (OtherDetails in Import)?

A: Where an output is published as a single coherent work it should be submitted as such and not subdivided for submission as two or more separate items (see paragraph 28 of the generic statement in RAE 01/2006 Panel criteria and working methods). Likewise, if outputs are single coherent works, they should not be grouped together to return more than one output as a single output.

HEIs must decide whether several chapters in a book are coherent single outputs, or whether they are only coherent as a research output when assessed together. The same applies to other outputs in various parts, such as a multiple part paper.

If you are listing a group of items in the same outlet (e.g. a dictionary or edited book) as one output, you should return these as output type T, (Other), enter the details of a lead item and give the page numbers only for the other sections of the outlet (such as dictionary entries or

chapters). You should use the 'Other relevant details' field to give further information, such as identifying which items those page references refer to. Likewise, if the items grouped together are from different outlets, you should again return the group as output type T, Other, give details of a lead item, and use the 'Other relevant details' field to give full details of the remaining items.

Q: Does the system recognise the 13 digit ISBN format?

A: Yes, it recognises both the old 10 digit and the new 13 digit formats.

Q: How do I insert special characters such as scientific symbols or foreign characters from other alphabets into forms forms, particularly RA2 and RA5a?

A: If you are using Microsoft Windows there are two ways to do this:

Use the Character Map, which is in the Windows Accessories menu. Set the font to Arial Unicode MS. Select and copy the individual characters into the RAE 2008 data collection system as you need them.

Alternatively if you initially want to edit your text in Microsoft Word, access the Insert menu, followed by the Symbol option. Then set the font to Arial Unicode MS. Select and insert the individual characters in the appropriate position in the text. When you have finished the text entry use the Edit menu to copy the text. In the RAE 2008 data collection system use the browser's Edit menu to paste in the text.

If you are using an Apple Macintosh, use the Character palette, which is accessible from your text editor or word-processor. Select and insert the individual characters in the appropriate position in the text. When you have finished the text entry, copy the text. In the RAE 2008 data collection system use the browser's Edit menu to paste in the text.

Q: What ISSN should be used for a journal article?

A: This depends on the media and publication date of the journal article.

- If the journal article is only available in print and does not have a DOI, it should only have a print ISSN, and you should submit the print ISSN.
- If the journal article is only available on-line it should be returned as an internet publication, and no ISSN is required.
- If the journal article is available both on-line and in print, it may have two ISSNs: a print ISSN and an electronic ISSN. The ISSN that relates to the version of the research output being submitted for assessment should be cited, considering the following:
 - if the two ISSNs refer to the same research output, either can be cited,
 - if you use the RAE 2008 data collection system to search for a DOI, and the research output has both a print ISSN and an electronic ISSN, the automated functions of the data collection system return the electronic ISSN ahead of the printed ISSN,
 - if the publication dates for the print and electronic versions of the research output differ, institutions must ensure that the publication date matches the ISSN they cite.

For those journal articles which do not have a DOI, the submitting institution will need to be able to provide a scanned PDF of the research output for assessment.

See RAE 03/2005 Guidance on Submissions, paragraphs 93.j.iii, 97.

See also Collecting research outputs: <http://www.rae.ac.uk/aboutus/policies/outputs/>

Q: If a journal article has both an electronic and print ISSN with differing publication dates, which data should be returned if one of the publication dates lies outside the publication period? [FAQ amended 16 October 2007. Amended items in bold]

- If the electronic version publication date is after 31 December 2007, but the print version meets the eligibility criteria, use the print ISSN and publication date. If the DOI is available but this incorporates the electronic publication date, provide the DOI with the print ISSN and publication dates, and note the variance in dates in the RAE 2008 data collection system.
- If the print publication date lies outside the publication period, but the electronic version meets the eligibility criteria, use the electronic ISSN and publication date, and note the variance in dates in the RAE 2008 data collection system, considering the following:
 - **if this relates to outputs published at the start of the publication period, and the electronic version of the journal article is the same as the printed version, cite the electronic ISSN**
 - if journals due for print publication at the end of 2007 are put on-line in journal format within the publication period, but the hard copy publication is not publicly available until early 2008, **they should be returned as an internet publication (as they are only available electronically and are not available in their print journal format until after the publication period). ISSN is optional for internet publications.**
- If the research output is available electronically on the journal's web-site prior to publication in a different format, such as Online Early and Pre-View, the research output should be returned as an internet publication, and no ISSN is required **(but optionally may be provided)**.

See RAE 03/2005 [Guidance on submissions](#), paragraphs 93.j.iii, 100.

See the [User Guide](#), Chapter 4 - Data entry: RA2, paragraph 38.

DOI

Q: Regardless of whether you enter the print ISSN OR electronic ISSN, the Query CrossRef function returns the same DOI, but always the electronic ISSN. If the publication dates for the print and electronic versions are different, if the system overwrites a print ISSN with an electronic ISSN, the date no longer matches the ISSN. What should I do?

A: It doesn't matter to us or the panels which (i.e. print or electronic) bibliographic data you use to generate the DOI - provided that a) the date and ISSN supplied are consistent and b) the date field makes clear that the item was produced and made available within the public domain within the publication period (1 January 2001 – 31 December 2007). If there are two publication dates (one for the electronic version and one for the print version) institutions must be vigilant to ensure that the publication date tallies with the ISSN that is returned.

Q: I have used the "CrossRef lookup" button, and the metadata returned from CrossRef is different to what already exists in the RA2 form, should I change my RA2 data to match that of the CrossRef response?

A: CrossRef rely on the data provided to them by the publisher. If this has been entered inaccurately, the data held by CrossRef will be inaccurate. Follow the DOI and if the date on this matches the date you have entered, you can ignore the date supplied in the metadata returned from the CrossRef lookup. You could also inform CrossRef of this inaccuracy by e-mailing support@crossref.org with the relevant metadata, including "RAE" in the subject line, and CrossRef will look into this further with the relevant publisher.

Q: Some journal articles do not use standard page numbering. If we want to search for the DOI using CrossRef, what pagination format should we use?

A: CrossRef rely on the data provided to them by the publisher, and so this will depend on how the publisher has provided the pagination details. However, even if the pagination entered differs to that held by CrossRef, it is likely that CrossRef will be able to identify the article and DOI by other metadata such as author.

Q. Is it obligatory to use the Query CrossRef button in the RAE2008 data collection system in order to find or verify DOIs?

A: No. There is no requirement that DOIs included in form RA2 have been retrieved or verified using the CrossRef look up tool. It is only intended as a tool.

If the DOI is readily available from another source such as the publisher's website, other searchable databases or the print version of the article, and it resolves to the actual journal article being cited, that DOI may be included in RA2. Likewise if the DOI is not held in the CrossRef database, and does not therefore resolve when using the Query CrossRef button in the RAE2008 data collection system, institutions may wish to make reasonable effort to find this by other means, but if this does not readily provide the DOI, the institution may provide a scanned pdf of the article.

Q: I have had problems using the Query CrossRef button in Form RA2 to look up a DOI for a journal article and also to check a DOI, obtained from another source. The messages returned from CrossRef in each case were "Could not resolve DOI with data supplied" and "Could not resolve journal article with data supplied" respectively. Why is this and what should I do?

A: Valid DOIs might not be found in the CrossRef database for several reasons.

- Did you enter sufficient or sufficiently accurate bibliographic data? If both author name and page details are accurate, the likelihood of good matching increases.
- The journal article may not be listed at all in the CrossRef database. The most likely reasons for this are that:
 - a) The journal title (and possibly its publisher) is not registered with CrossRef. A list of all of the journal publishers and journal titles that are registered with CrossRef is available at <http://www.crossref.org/> To access a searchable, alphabetically indexed list of journals for

which CrossRef has article metadata, Click on “Browsable title list” under “Technical resources”: If a particular journal publisher or title is not in this list, using the Query CrossRef button will not find DOIs for articles from that publisher or journal title.

b) The publisher has not yet deposited the article and DOI with CrossRef .. Publishers normally deposit articles and DOIs just before or soon after publication - so very recently published items, might not yet be listed.

What should you do?

- There is no requirement that the DOI must have been retrieved or verified via CrossRef. You should check other sources such as the publisher’s website, other searchable databases, or the print version of the article, to see if a DOI exists. If these sources draw a blank, it is reasonable to assume that no valid DOI exists and that you may therefore omit the DOI from Form RA2.
- If a published article is not retrieved when you look it up on CrossRef, especially if you’ve checked that the publisher or journal title is amongst CrossRef’s browsable list of publishers, you should either:
 - a) contact the publisher direct and ask them to deposit the article with CrossRef, or
 - b) send details of the article to CrossRef at support@crossref.org including “RAE” in the subject line and CrossRef will ask the publisher to deposit the article.Similarly, you may notify CrossRef of unregistered publishers and titles by emailing support@crossref.org including “RAE” in the subject line, so that they may invite the publisher or title to register with them.

Q: I entered what I know to be a valid DOI and used the Query CrossRef button in Form RA2 to verify the DOI. The metadata returned by CrossRef was for a different article than the one I was intending to cite. Why is this and what should I do?

A: It is possible that the DOI held in the CrossRef database is inaccurate. CrossRef relies on publishers for the accuracy of both the metadata and DOIs held in its database, because journal publishers deposit these themselves.

What should you do?

- If you have obtained a DOI from another source and are satisfied that it is accurate, you should include it in form RA2. It would be prudent to try to verify the DOI, for example by entering it in an Internet browser and checking that it leads to the abstract of the article that you anticipate.
- Report the details to support@crossref.org. CrossRef will then liaise with the publisher to correct the details.

RA3

Q: The XML schema seems to define FulltimeHeadCount in RA3a as a decimal specified to two places. Yet the *Guidance on Submissions* in paragraph 105a seems to require a 'headcount' (presumably on the basis that they are full time so they are either a 'whole' valid research student or not). Should FulltimeHeadCount actually be an integer?

A: A full-time student headcount can only be returned fractionally if supervised fractionally across more than one unit of assessment. See RAE 03/2005 *Guidance on Submissions*, paragraph 119.

Q: Why does the research income range start with a negative value?

A: The validation range starts at -10million £. It is unlikely that an institution would report a negative value in this range in any particular UOA and year. However, negative values could be reported against particular sources in particular years, if, for example, a funder clawed back grant; or an estimation of the income in one year led to an adjustment in subsequent years, for example because a grant or contract was rescheduled over a longer period than the original award.

RA4

Q: Can we do our RA4 submission by research group?

A: Yes – for certain units of assessment only. Generally there will be one RA4 form per submission (ordinary, multiple or part of a joint), but for the UOAs listed below there will need to be an RA4 for each research group in the submission (ordinary, multiple or joint):

C13 - Pharmacy

E19 - Physics

G24 - Electrical and Electronic Engineering

G25 - General Engineering and Mineral & Mining Engineering

G27 - Civil Engineering

I36 - Business and Management Studies

The data collection system produces a page that sums the RA4 values for each research group.

RA5a

Q. Are there any characters I should avoid using in the RA5a field?

A. Yes, the XHTML text fields in the forms RA2, RA5a, RA5b and RA5c must contain valid XHTML. Users have been experiencing problems when using the characters **&**, **<** and **>** when they are not part of any XHTML tags. Where possible we would advise not to use these characters. If absolutely necessary you should instead use **&**, **<** and **>**; respectively. Alternatively use **&**, **<** and **>** .

Q. What formatting is allowed to the textual submission in RA5a? [FAQ added August 2007]

A. In keeping with practice in previous RAEs, extensive formatting (including the use of colour) and the use of graphs and diagrams is not permitted. Limited formatting as set out in Chapter 4 of the Data Collection system user guide will be permitted. These constraints were imposed through the data collection system, but as institutions may now also include an optional PDF of their RA5a, it is incumbent on the submitting HEI to observe the same principles with regard to extensive formatting for the PDF as for the RA5a text in the data collection system.

Q. The RA5a text is not displaying as it was created when it is printed out using the Print function. What can I do? [FAQ added August 2007]

A. It is worth bearing in mind that the simpler the document the more likely it is to display correctly. However, if reasonable attempts to correct this fail then you may also upload a PDF file of the RA5a, which if supplied will be the version made available to the panels for assessment. You are still required to provide the RA5a text in the RA5a field in the data collection system; the PDF file is an optional addition and not a replacement.

Q. Is the PDF file upload for RA5a compulsory? [FAQ added August 2007]

A. No, a PDF file need only be imported if the institution is not happy with the presentation of the document when printed through the Data Collection System.

Q. How do I mark-up any sections of the PDF file as confidential, to be excluded from publication? [FAQ added August 2007]

A. You cannot mark-up the PDF file; instead you must mark-up the text that appears in the normal RA5a form, using the tag <excluded>.

Import

Q. If you import a file and then re-import to the same RA form, do all the new data overwrite?

A: On import, empty field values in the same record do not replace previously imported data. However If you need to import null values into the database to over-write existing values, enter the following values:

- 0 for numeric fields
- a space for character or string fields
- 1/1/1900 for date fields

Boolean fields must have a value (true/false).

Q: Within Import why is it necessary to select the file type when this should be clear from the file extension?

A: File types do not have a one-to-one relationship with extensions. For example, delimited text files can have one of a number of different extensions. Furthermore, .txt is a valid extension for delimited text, EndNote® and Reference Manager® output.

Import: Excel

Q: We need to import leading zeros for some of our HESASTaffIdentifiers and we are finding the import function is stripping them out. How can we do this?

A: You need to prefix these numeric values with apostrophes.

Export

Q: Does export take less time than print?

A: Yes. This may be a better route for printing out data if you do not want it in PDF format.

Print

Q: Printing RA0 for a selected submission gives us all our RA0 records. Is this correct?

A: This is correct. Printing RA0 will print all your RA0 records.

Q: Why has my Print of RA5a failed?

A: The most likely cause is that your text in RA5a has failed validation. You need to correct the text so it contains valid XHTML with no invalid tags

Reports

Q: How do I give permission to a user to access the reports function?

A: This function is restricted to the **Account type** Administrator.

Q: Which part of the submission data does the standard analyses report show for a joint submission?

A: It only shows the data in the joint submission for your institution.

Q: We are finding that whenever we add a new research output, the RA2 screen is initially full of errors. Why is this?

A: The system has been designed in this way. This is so that users are fully aware of which fields are required as they enter data. This applies to all the forms in Data entry.

Q: I am trying to edit a record in the RAE 2008 data collection system but it keeps saying that the record is currently locked by me. I haven't locked anything. I have tried to fix it but it won't let me edit the record?

A: You are locked out because of incorrect exit from the record you were editing. The most likely cause of this is that you pressed the 'Back' button on the browser rather than using the navigation buttons of the RAE 2008 data collection system. This can also happen if you closed the browser without first clicking on the **Log out** button, or if your computer or network crashed while you were editing the record. The lock should release automatically after 30-35 minutes.

Q: What happens when two users try to edit a record at the same time?

A: The first user with appropriate permissions to access the record gets edit rights to that record, and users who subsequently access it have read-only rights.

Data Entry

Q: Can we use commas to separate digit groups in large numbers? For example: 78,456.

A: Yes, the data entry function will ignore commas in any position.

Q: We are finding that when we go into RA2 or RA5a/b/c the RAE 2008 data collection system locks up and we have to close the browser. What's more the record we were trying to edit is shown as locked. Why is this?

A: It is likely that the live "word processor" EditLive! is trying to run but can't, hence the PC freezing. You should be aware that there are two ways of entering text into the formatted text fields - this is documented in the *User Guide: Chapter 4 – Data entry* and in the next section. The first line of defence is to switch EditLive! off. You can do this from the **Options** menu. If once having switched EditLive! off you find that you can enter raw text then you have definitely identified the problem.

So you would need to find out why EditLive! is not running on your computer. Refer to the Data entry: EditLive! section.

Note that when your browser and/or computer crashed, you were editing a specific record, so the RAE 2008 data collection system will lock that for about half an hour. In some exceptional cases you may need to clear it manually using **Lock Management** within **Administration**.

Data Entry: EditLive!

Q: What are the benefits of using EditLive!?

A: You can use EditLive! to mark up specific text fields on WYSIWYG ('what you see is what you get') principles. You can represent special characters such as mathematical and scientific symbols as well as characters not in the roman alphabet. You can use EditLive! to insert simple tables into these fields. Although other basic formatting options such as bold

and italics are available, it is not intended as a tool for cosmetic improvements. Diagrams are specifically excluded for policy reasons.

Q: Do we need to install any special software to run EditLive! for the RA2 and RA5 forms?

A: Java JRE 1.4.2 or later must be installed on your computer. This is available at:

<http://java.sun.com/j2se/1.4.2/download.html>

Check your institution's software installation policy before installing the software. You will also need to activate this software on your browser before using it with the RAE 2008 data collection system.

You can check whether JRE 1.4.2 is installed by initialising the PC command prompt, and entering:

JAVA – version

If it is installed, Windows will return this version number (or a later one).

Also ensure that your system meets the recommended minimum system requirements. For more information see the manufacturer's web-site:

<http://www.ephox.com/products/editlive/requirements.html>

Multiple Submissions

Q: We want to request a multiple submission, so we have initially set the submission up. Then we have gone into 'Manage multiple submissions', and found that when we make a 'New request', it is not listed, so we can't select it. Why is this?

A: If you initially set up the submission, the system assumes you want this set up as a single (i.e., not a multiple) submission. You can't have a single and multiple submissions in the same unit of assessment. So you need to export any data that you wish to keep, and then delete the submission in 'Submissions management'. Then it will be selectable from 'New request' in 'Manage multiple submissions'.

Q: We previously set up a multiple submission. We no longer wish to carry this through, and we did not submit the multiple submission before the deadline at any rate. How do we go about backing out of this?

A: First export the data from the multiple submission, then delete the submission. Then set up the submission again as a **New submission** in **Submissions management**. In the file(s) you exported, delete each entry of the multiple submission code, before re-importing the file(s).

Joint Submissions

Q. We wish to import data into a Joint submission's common forms, which Institution's HESA Institution Identifier should we use?

A. You should use the lead submitter's HESA Institution Identifier.

Q: For a joint submission, what is the definition of an external co-author? Do they have to be external to both institutions?

A: To qualify as internal, the member of staff needs to be internal to any of the participating institutions. Otherwise they are external.

User Accounts

Q: A user has been locked out after forgetting their password. How do I unlock them?

A: Go to **Administration > User accounts**. Find the user. **Edit** the user's account. Uncheck the box **Account locked out**, change the password and **Save**. Then inform the user of the new password and advise them to personalise it.

Q: Can we change the e-mail address of an administrator?

A: Yes. You can change the e-mail address of any of your users as long as they are not logged in.

Q: We can't seem to delete users. How can we do this?

A: You cannot delete users. The RAE 2008 data collection system has been designed in this way. You can, however, bar access to a user account by setting the **Account type** to 'No access'.

Q: Why can't we see a report when we try to import user accounts?

A: Because the data is not going into the RA forms. This means that the RA form validation process does not run, and there is, therefore, no validation report. Any errors will result in failure to upload that record.

Q: Is it possible to enter wildcards for user name searches?

A: Yes. When you enter a string of characters, all occurrences of that sequence will be returned in the search. You do not need to enter specific wildcard characters such as *, ? or %, but you can if you wish.

System

Q: How long does it take before the system logs me off if I don't use it for a while?

A: The 'time-out' is 30 minutes.

Q: Does time-out release locks?

A: Yes, but you may have to wait about five minutes. A user with the necessary rights can release all timed-out locks.

Q. The status on my job reports that it is "Successful" but there is no download button, where has it gone?

A: The button will appear when the rendering of your report is complete, this should not take longer than a few minutes.

Output Collection

Q. How do I name PDF files of journal articles for which no DOI exists?

A: Institutions needing to submit PDF files (in the absence of a DOI) for journal articles were previously advised to use the unique RAE 2008 RA2Id for naming such files. This method still exists, but there are now an additional three acceptable naming schemes:

r[ra2Id].pdf – this is the current naming scheme

eg: **r321456.pdf**

H[d][HESAInstId][d][uoaId][msubId][d][HESAStaffId][d][outputNumber].pdf

eg: **H-0077-43-0710471234568-4.pdf**

S[d][HESAInstId][d][uoaId][msubId][d][StaffId][d][outputNumber].pdf

eg: **S_0077_43_123456_4.pdf**

O[d][HESAInstId][d][uoaId][msubId][d][outputId].pdf

eg: **O+0077+43+BloggsJ1.pdf**

ra2Id – is the internal ra2 identifier used by the data collection system. A report can be run to generate the RA2Id.

[d] – is a delimiter of the institution's choice. The examples above use three different delimiters. Any character can be used as long as the delimiter is consistent within a single filename. The character used as a delimiter must not also occur within the output and/or staff identifiers..

HESAInstId – is the institution's HESA code.

uoaId – is the unit of assessment number.

msubId – is the multiple submission letter/ Omit this if not required.

HESAStaffId – is the HESA staff identifier for the member of staff the output belongs to.

outputNumber – is the output number for the output.

StaffId – is the staff identifier for the member of staff the output belongs to.

outputId – is the output identifier for the output.

The system processing the files will use the first character to identify the naming scheme and, for the H, S and O schemes, will use the second character to identify the delimiter.

Chapter 6 – Known problems and workarounds

The following are known problems and issues raised with the current build of the RAE 2008 data collection system. Where possible we have identified 'workarounds' for these. These particularly relate to the functionality of the EditLive! Java applet and the characteristics of different web browsers. We will update the list of known problems and workarounds periodically.

Web browser issues

1. Pressing the **Back** button on your web browser, or any other browser navigation buttons or keyboard shortcuts, are liable not to work correctly.
 - **Workaround:** Do not use the **Back** or **Forward** button on your web browser unless explicitly instructed to do so in the *User Guide*. Doing so may cause loss of data.
2. Microsoft Internet Explorer may cause the content of some on-line forms (e.g. RA3a, RA3b, RA4, Select submission) to drop down the page, showing blank white space between the top row of buttons and the content. Other browsers such as Opera and Mozilla Firefox do not exhibit this behaviour.
 - **Workaround:** Scroll down to reach the content.
3. Microsoft Internet Explorer does not horizontally resize some tables of cells on some on-line forms (e.g. RA3a, RA3b or RA4) to the width of the browser window. Other browsers such as Opera and Mozilla Firefox do not exhibit this behaviour.
 - **Workaround:** Ignore this.
4. If, while editing a field, you press the Enter key, some browsers will log you out (as if you had pressed the 'Log out' button). All 'data not saved' protocols are enforced.
 - **Workaround:** Do not press the Enter key. Use the data collection system's **Save** button.
5. If you use the TAB key to navigate around the data entry screens, the results can be different depending on the way the browser handles check-boxes. In Microsoft Internet Explorer, the check-box is active when the field name (label) is highlighted (in focus), whereas in other browsers the check-box is highlighted as expected.
 - **Workaround:** No specific user action required, but if in doubt use the mouse. Pressing the space-bar in either case will invert the status of the check-box.
6. Depending on the font that you chose, some characters may not render correctly, particularly in Microsoft Internet Explorer.

- **Workaround:** Use Arial Unicode MS as the default font when working with Microsoft Internet Explorer.
7. Users of Safari on the Apple Macintosh will notice that the navigation buttons look different to those in the documentation.
- **Workaround:** Ignore this. The system is functionally the same for every combination of browser and operating system.
8. If you click on a highlighted error message to obtain a different window, the window is not necessarily brought to the front.
- **Workaround:** Close any error message windows before progressing.
9. In many web browsers, if you press the **Download file** button in **Export** and other functions, and then follow the link for the file, the file will sometimes appear directly in the same browser window. In these cases, closing the file will close the RAE 2008 data collection system.
- **Workaround:** If the file has definitely substituted for the RAE 2008 data collection system in the same browser window, use the **Back** button on your browser to return to the RAE 2008 data collection system. **Otherwise, do not use the Back or Forward button on your web browser unless explicitly instructed to do so in the *User Guide*.**
10. Each web browser handles invalid input in different ways in the **File** field in the **Import** function.
- **Internet Explorer** will disable most buttons until either the file name is correct or the text in the file input box is cleared.
 - **Mozilla Firefox** will post the data back to the RAE 2008 data collection system and the system will handle the file as normal, including all the usual checks on the file name.
 - **Opera** will disable most buttons, and displays a pop-up to say the file could not be found. Once a valid filename has been entered, or the file input box has been cleared, the submit buttons will work again.
 - **Safari** does not have this problem as it will only let the user select a valid file.
11. The on-line help does not always go to the correct position in the help documentation. [Added: 30 January 2007]
- **Workaround:** Click again on the ? icon.

External software issues

12. If you are having problems running EditLive! see *Chapter 5 – Frequently asked questions* under **Data entry: EditLive!**.

13. EditLive! will not work with either Mozilla Firefox or Opera on an Apple Macintosh.
[Added: 30 January 2007]

- **Workaround:** Use Safari, or switch off EditLive! if using Mozilla Firefox.

14. After saving text in EditLive! in forms RA2, RA5a, RA5b and RA5c the cursor reverts to the start of text.

- **Workaround:** None – this is a feature of EditLive!.

15. The spellchecker on EditLive! in forms RA2, RA5a, RA5b and RA5c might not work for Windows users who are not local Windows system administrators.

- **Workaround:** If you are not a local administrator, first spell-check the text in a word-processor before pasting it into the RAE 2008 data collection system.

16. All functions (buttons) will not operate while EditLive! is loading a document.

- **Workaround:** Allow time for EditLive! to initialise, and give it time to finish loading any text before you edit the text or use any of the buttons.

17. On some computers, copy-pasting text from Microsoft Word into EditLive! work areas in forms RA2, RA5a, RA5b and RA5c currently results in a failed validation with error message “..contains tags which are not allowed” . [Added: 18 April 2007]

- **Workaround:** Try to import the text using an RTF file. Alternatively switch EditLive! off in the **Options** and enter the text with XHTML tags.

18. If you are using EndNote® for RA2 imports we are aware of a bug/feature in EndNote® which copies the content of the **Title, primary** field into the **Title, secondary** field when the latter is left blank. This would affect the integrity of RA2 records with certain Output types.

- **Workaround:** Enter a space into the **Title, secondary** field if there is otherwise no data for **Title, secondary**.

19. Safari 3 (beta) is not supported on either Apple Macintosh or PC

- **Workaround:** Use another browser

RAE 2008 data collection system issues

20. It appears to be possible to assign an account type of Read-Only administration with functions such as **Delete** etc.

- **Workaround:** The Read-Only takes priority, so ignore the **Delete** setting in this case.

21. The **DOI batch lookup** function will sometimes, incorrectly, return book references. [Added: 30 January 2007]

- **Workaround:** Use the **Query CrossRef** function in RA2.

22. **Import** will validate all data related to a submission irrespective of whether it has just been imported. If there is failure, and the box labelled **Allow data to be imported when there are validation errors** is not ticked, this will roll back the import.

- **Workaround:** Check the box labelled **Allow data to be imported when there are validation errors** to keep all imported data.

23. On **Import** the RTF converter is corrupting some Unicode characters.

- **Workaround:** Import the file normally, and edit accordingly in EditLive!.

24. Although we have resolved a number of issues with the **Print** function there are some problems still outstanding with the print engine.

- **Workaround:** None at present.

25. The **Print** function will not show a column for either the **HESA staff identifier** or the institution's **Staff reference code** in RA1. Instead the system will show a column called **Identifier** which contains the **HESA staff identifier** if there is one, otherwise it will display the **Staff reference code**.

- **Workaround:** None.

26. After viewing a PDF file from the **Export**, **Print** or other function for a prolonged period, and then using the **Back** button on your web browser as instructed on such occasions by the *User Guide*, the browser may produce a message: 'Warning: page has expired' or similar.

- **Workaround:** Click on the **Refresh** button on your browser.

27. **Export** inserts an extra row of dummy data for RA1 and RA2 in Microsoft Excel files.

- **Workaround:** Ignore this row, or delete it.

28. In RA1, you can add an existing pre-assigned research output to the list of research outputs for a different member of staff. In this case the research output will be unassigned from the staff record it was originally assigned to, and there is no warning to this effect. You cannot assign the same research output to more than one member of staff without having to input the research output data in each case.

- **Workaround:** None. Take care when re-assigning research outputs. Re-enter the research output data if necessary.

29. Clearing or deleting a submission which is part of a joint submission may fail if the records link to other parts of the joint submission. For the lead institution this can apply to Research groups, RA1 and RA2. For member institutions this can apply to RA1 and RA2.

- **Workaround:** None at present.

30. A member institution cannot leave a joint submission if it has data in RA4 assigned to a research group.

- **Workaround:** Export the data if you wish to keep a record, and then set all values to zero in RA4. You can then leave the joint submission.

31. Some records will always request that you save irrespective of whether there have been any changes to the record.

- **Workaround:** Save the record in any case.

32. There is no auto-save in the text fields in forms RA2, RA5a, RA5b and RA5c.

- **Workaround:** Save frequently using the **Save** button in the RAE 2008 data collection system.

Documentation issues

33. In cases where there are differences between the *User Guide* and the on-line help, the on-line help takes precedence.
34. The text in *Chapter 3 – Administration* (pages 33, 34, 36 – steps 21i and 22f) concerning joint submissions access permissions has been amended. See the on-line help. [Added: 18 April 2007]
35. There is additional text in *Chapter 4 – Data entry: RA1* (page 56 – step 5), which is not in the printed *User Guide*. See the on-line help or corresponding PDF files. [Added: 14 March 2007]
36. The text in *Chapter 4 – Data entry: RA1* (page 58 – step 17) has been amended. See the on-line help. [Added: 18 April 2007]
37. There is additional text in *Chapter 4 – Data entry: RA2* (page 64 – step 5), which is not in the printed *User Guide*. See the on-line help or corresponding PDF files. [Added: 14 March 2007]
38. In the printed *User Guide*, there is an error in *Chapter 4 – Data entry: RA2* (page 68 – step 25). The reference to the assessment period should be to the publication period. [Added: 14 March 2007]
39. There is additional text in *Chapter 4 – Data entry: RA2* (page 69 – step 40), which is not in the printed *User Guide*. See the on-line help or corresponding PDF files. [Added: 14 March 2007]
40. In the printed *User Guide*, there are errors in *Chapter 4 – Data entry: RA5a* (page 88 – step 5), *RA5b* (page 92 – step 7) and *RA5c* (page 96 – step 7). In each case the reference to **Setup** should be to **Options**. [Added: 30 January 2007]
41. There is additional text in *Chapter 4 – Data entry: RA5c* (page 95 – steps 3 and 4), which is not in the printed *User Guide*. See the on-line help or corresponding PDF files. [Added: 14 March 2007]
42. There is additional text in *Chapter 9 – Print* (page 125 – step 1), which is not in the printed *User Guide*. See the on-line help. [Added: 14 March 2007]
43. There are enhancements to the reports which are not in the printed *User Guide* (pages 129-130). These are documented in *Chapter 10 – Reports* in the on-line help. [Amended: 18 April 2007]

44. In the printed *User Guide* the list of error codes and messages in *Chapter 12 – Web services* is not exhaustive.

- **Workaround:** Refer to the on-line help if an undocumented error message is displayed.

45. In the printed *User Guide*, there are errors in *Chapter 12 – Web services*, pages 148 and 158. The method definitions should read as follows:

- **GetFile2:** Definition:
Visual Basic.Net: Public Function GetFile2(...
C#: public string GetFile2(...
- **Validation2:** Definition:
Visual Basic.Net: Public Function Validation2(...
C#: public string Validation2(...

These are correct in the on-line help and corresponding PDF files. [Added: 30 January 2007]

46. In the printed *User Guide*, there are errors in *Annex F: RA2 fields by research output type* (page 177) for the research output types A, B, M and T. See the on-line help and corresponding PDF files for corrections. [Added: 30 January 2007]

47. In the printed *User Guide*, there are changes in *Annex L*. In RA1 (pages 195-196) there are changes to the validation criteria for **BirthDate**, **ContractEndDate**, **ContractEndDate**, **StatusChangedIndicator** and **ResearchGroup1-4**. In RA2 (pages 197-198) there are changes to the validation criteria for **Pagination**, **PublicationDate**, **EndDate**, **URL** and **CoAuthor1-3**. Also, **HESASTaffIdentifier** is not validated on RA2. See the on-line help or corresponding PDF files for corrections. [Amended: 14 March 2007]

48. There are additional tags, <html> and <u> in *Annex M – Valid XHTML tags* (page 203), which is not in the printed *User Guide*. See the on-line help or corresponding PDF files. [Added: 29 June 2007]

49. In the printed *User Guide*, there are errors in *Annex M: Valid style sheet properties* (page 204). The underscore should be replaced in each case by a hyphen. This is correct in the on-line help and corresponding PDF files. [Added: 30 January 2007]

50. There is an additional table, RAE 2008 XML tags, in *Annex M* (page 204), which is not in the printed *User Guide*. See the on-line help or corresponding PDF files. [Added: 14 March 2007]

51. In the printed *User Guide*, there is an error in *Annex N – User account fields* (page 205) in the User record. The expected values for the **AccountType** field should have a space and only initial capitals for the **No access** and **Read only** values. [Added: 14 March 2007]

52. In the printed User Guide in Chapter 12, one of the parameters of GetFile and GetFile2 is incorrect. Please see the on-line help. [Added 25 June 2007]

53. In the printed User Guide in Annex F the Reference Manager field 'Periodical' refers to 'OutputType' and the 'Publisher' field refers to 'Publisher' in RA2.

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