PURE
Guideline

Guideline for the preparation of reports
- Version 1.1 -

Preliminary note: Purpose of the PURE research database

- Reduce the burden of research reporting on researchers
- Reduction of redundant data collection at different organizational levels
- Increased transparency by building a valid data collection of research information used for research reporting purposes
- Increased efficiency and data quality for research reporting

1. Entries in the PURE research information system are primarily intended for use for internal and external reporting.

In keeping with the system's purpose, in particular PURE supports formal reporting procedures, in which research information is regularly collected and processed. For these procedures reports can be generated from PURE.

The type and scope of the reports are determined by the resolutions, guidelines, implementation documents, legal bases or other legitimate requirements of the respective procedures.

Reports can be generated in four ways:

a) Manual download of lists on individual content types by users, according to their authorizations

b) Manual download of standard reports from PURE by users, according to their authorizations

c) Automatic dispatch of standard reports from PURE to a defined group of recipients

d) Query of database content via the Leuphana website using web integration

2. The term „report" includes all representations of research achievements on the various organizational levels of Leuphana University.

- Public relations, in particular
  - The presentations of research achievements on websites
  - Activity reports
- Preparation of statistics and evaluations for the management levels of the university
- Evaluation of internal funding measures and programs
- Leuphana research awards
- Preparation of research and performance reports for organizational and subject-related evaluation procedures

Procedures for individual performance evaluation are subject to special regulations (see 6).

3. **For each formal reporting procedure, an evaluation framework is defined and documented.**

   For formal reporting procedures (no. 2 and procedure list), the use of individual database entries is sensibly restricted, e.g.:

   - By workflow status („validated only")
   - By visibility setting („public only")
   - By organizational unit or type.

   The evaluation framework is documented in a standardized way and includes:

   - Description of the report
   - Legitimacy/basis
   - Recipient group
   - Frequency/deadlines

   The documentation is deposited with the database administration in the research service and made accessible to the users.

   For the setup of new evaluations, a request form has to be sent to the research service which describes the evaluation framework and the underlying procedure.

4. **Access to data is dependent on the authorization of the user.**

   Individual users may create any reports on their own entries in the research database. This is mainly to support:

   - The automatic updating of the personal web page
   - The creation of self-reports when applying for sabbaticals, merit pay and evaluation
   - The creation of research reports

   The organization-related editor and reporter roles can additionally create standard reports from PURE. A specific list of roles and rights can be found in the Authorization Concept (See Roles and Authorization Concept).

   University management, faculties and other organizational units of the university are granted access to PURE according to their respective tasks and duties.

5. **The visibility setting of the database entry determines its usability for internal and public reporting.**

   The following visibility settings may be specified for database entries.
   - Publicly accessible:
     Readable on the internet, e.g. Leuphana research catalog and personal web pages.
   - Campus (IP addresses):
     Readable from authorized IP addresses, i.e. on the intranet and connected information systems, such as myStudy
   - Database (PURE users):
     Readable by logged-in PURE users

   The visibility of the entry is limited to certain attributed. The information to be displayed can be checked in the "Preview" function.

6. Holders of organizational roles and administrators do not create reports on the totality of database entries without explicit authorization of the person concerned.

Self-reports that reflect an aggregate view of the entries associated with the individual, are reserved for individual users. Such reports contain (possibly filtered by period) lists of the following content types:

- Personal profile
- Publications
- Projects
- Activities
- Press reports

Possible areas of application for self-reports are e.g. evaluation procedures. Users can delegate the creation of self-reports to an editor. Consent must be documented.

7. In the case of formal reporting procedures, users are informed of the time schedule with an appropriate period of notice about the timetable and are asked to update their entries.

Other options, such as the opportunity to review reports, are to be determined and organized by the responsible agencies.

Definitions

Procedure: Ongoing or periodic occasion for data collection and processing. Report:

Any type of list, evaluation, query and statistic from PURE.

Standard report: Standardized report created with the PURE reporting module.

Record: Record stored in PURE to describe a publication, a project, a person, etc.

Content type: Database content of a specific type, e.g. publication, project, person, organization ("content type").

Related documents:

- Procedure list
- Overview of standard reports from PURE

Document History

Version	Date	Author	Changes
1.0	14.02.2011	A. Kujath	Coordinated with PURE steering group.
1.1	03.12.2013	N. Vogt	Correction

- Coordinated with the PURE steering group -

Guideline for publication registration and for the
Leuphana University Bibliography

– Version 1.1 –

The Leuphana University Bibliography is an index of the literature references of members of the Leuphana University.

The prerequisite for the inclusion of a publication in the university bibliography is that the publication medium has an International Standard Number (ISSN, ISBN, etc.) The publications of the following groups are covered:

- University professors
- Scientific staff
- Leuphana doctoral and postdoctoral scholars
- External doctoral candidates who publish at Leuphana's address
- Visiting scientists and scholars
- Students who publish work that is to be classified as research

Publications by lecturers ("Lehrbeauftragte") are recorded in individual cases if they publish under Leuphana address and the publication is to be considered for the performance-related allocation of funds of the faculty.

2. A Publication is defined as a medium that is made available to the public.

Publications may be in the form of printed works, web pages, electronic documents, DVDs or other media.

The following are not included as publication

- Presentations and posters
- student theses or dissertations
- Reviews of own works by external third parties
- writings of external authors (e.g. contributions to university series)
- project reports that are not publicly available

These works can be deposited in the research database as a supplementary document to a publication, activity or project.

3. Publications are recorded in the research database PURE. Full texts or (in case of monographs) title and table of contents can be deposited as a file.

PURE serves as the university's full-text repository. Full texts should be publicly accessible if possible. The database will be enriched with information about the Open Access regulations of the publishers, so that researchers can control the legal publication of the full texts. For a check of the copyright protection of articles in international journals, PURE provides the journal index of Open Access Initiative SHERPA RoMEO.

New staff members can complete their vita by entering all published work in the research database (see no. 4 and no. 9).

In PURE, publications can also be deposited which only address a small circle of recipients, such as project reports, expert reports or statements. These documents can serve as additional information for related activities or projects and can be linked to them. Likewise accepted publications that are in print can be registered in advance. Compliance to copyright is the sole responsibility of the authors of the entries in PURE.

4. In case of co-authorships from different institutions, one institution will be the editorially responsible for the maintenance of the entry.

This responsibility is defined during the creation of the entry via the field "Define responsibility" in the Authorship section of the publication.

All authors have the right to edit their publication entry. In addition, publication editors of the responsible institution are given the right to edit the entry. Editors of the other institutions can read the entries linked to them and evaluate them for reports.

Data protection: PURE users who enter external authors in PURE, inform them about the storage of data in PURE. Internal persons are informed about new entries automatically by a system mail.

5. The head of the working unit decides about the classification of the publication into one of the categories research, education, transfer.

- Research: Articles with a focus on research; the content is primarily new research results with researchers as the primary audience.
- Education: Contributions with a focus on education; the content is primarily scientific and aimed primarily at students or teachers.
- Transfer: Contributions with a focus on transfer; the content is primarily communicative/ generally comprehensible and is aimed at users or a broader, not necessarily professional audience.

6. For publications classified as „peer-reviewed ", information on the type of peer review and (if possible) a verifiable source are needed to be specified.

Articles in journals or for conferences that have undergone a peer review process, receive a separate classification in PURE. A paper is considered peer-reviewed if the manuscript has been reviewed by experts of the relevant field.

The following peer review processes qualify for this category:

- *blind* and *double blind* peer review
- competitive selection by an editorial board

Not considered peer-reviewed:

- Editorials, letters, reviews, etc., in journals with *peer-review* procedures, if the text has not undergone such peer review prior to publication

> contributions by invitation

Notes on the publication procedures, such as the type of peer review or the acceptance rate of contributions, are to be entered in the field "bibliographic note" along with a reference.

7. Publication entries for the Leuphana University Bibliography are validated by the university library.

The Leuphana University Bibliography is the data basis for official statistics of Leuphana, the performance-related allocation of funds by the faculties and the research awards.

The library has the know-how for handling literature data and ensures an additional quality assurance of the entries. It also arranges for proof of the validated publication entries in the catalog of the GBV Common Library Network.

Validation criteria are:

> The publication has been published.
> The publication medium has an International Standard Serial Number (ISSN, ISBN etc.).
> The record is complete and correct (data fields, inclusion of co-authors as internal or external persons, related organizations).
> The publication record is correctly classified (see no. 0 und no. 6).
> The publication is not a duplicate and not available as an earlier version (see no. 8).
> The publication is available as link, full text or reference copy (for books at least: imprint and table of contents).
> Possibilities for this are a) uploading or linking electronic documents in PURE or b) submitting copies or free copies to the university library.

Publication entries intended for inclusion in the university bibliography will be reviewed by the university library. The included entries are marked in PURE by the status "validated".

8. If a work is published in the form of several publications with the same wording, all versions can be registered, but only one of the works can be included in the university bibliography.

The following exceptions apply to this rule:

> Journal articles that were previously published as working papers
> Conference papers that later appear as a „distinguished paper" in a journal as well as similar cases (e.g. selection of articles for special collective works)
> New editions
> Translations for publication in other countries (not: translations of abstracts or articles etc. published in parallel in the same volume)

9. Year of entry of publications

As a rule, „year of entry" means the year of first publication.

As a special case, publications of new employees are considered here, which originated before they were employed at Leuphana University Lüneburg. Here the year of entry is the calendar year in which the publication is recorded in PURE.

10. The author's address is decisive for the affiliation of the publication.

Publications of external doctoral candidates can be entered in PURE, if Leuphana University Lüneburg or one of its organizations is mentioned in the author's address. The author usually receives a personal entry in PURE as „enrolled member".

Publications of former members of Leuphana who do not hold a doctoral degree may be included in PURE if Leuphana University Lüneburg or one of its organizations is mentioned in the author's address.

Related documents:

Document History

Version	Date	Author	Changes
1.0	14.02.2011	A. Kujath	Coordinated with PURE steering group
1.1	02.12.2013	N. Vogt	Corrections

- Coordinated with PURE steering group -

Guideline for registering projects

- Version 1.1 -

1. **The research database PURE contains a directory of third-party funded projects of the university. Researchers can also register other projects from the areas of research, education and transfer.**

    Leuphana's project portfolio provides information about expertise and topics dealt with at Leuphana. The research database records projects that are led by university members or in which university members are involved. This concerns

    - Projects funded by third parties
    - Projects from budgetary funds
    - Projects without direct funding, such as dissertation projects

    Projects can be entered into PURE in two ways

    a) Import of third party funding requests from SAP system (see 3)
    b) Manual entry of projects by PURE users in the database (see 6).

2. **Projects are time-limited undertakings that are undertaken to produce a unique product, service or result.**

    In PURE, both projects with external funding and those with budgetary funding can be registered, e.g.:

    - Basic research projects ("Grundlagenforschung")
    - Development projects
    - Dissertation projects
    - Case studies
    - Projects with service character
    - Projects for the development of teaching or further education programs
    - Preparation and organization of a scientific event

    The third-party funds contracts recorded in PURE may also include other projects that serve the fulfillment of the university's task, e.g. infrastructure measures or donations.

3. **All third-party funding orders that are relevant for the university financial statistics are transferred to PURE automatically.**

    From the SAP system, all third-party funding orders are transferred to PURE whose end of term is after 31. Dec. 2008. The criterion for the transfer of an external funding order to PURE is its use in the university financial statistics. This ensures synchronization of the data in PURE with the budget.

The data transfer from the SAP interface is described in attachment 1 to the service agreement SAP HR. The following order types are transferred:

- Application research
- Contract research with and without tax
- EFRE-projects (EU incubator)
- Special funds Land ("Sondermittel Land")
- Donations

Excluded from import are the order types „third-party funds freely available", income from further education as well as orders from budgetary funds (appointment commitments, top-ups and internal subsidies).

The imported third-party funds are enriched with information in PURE and linked to other database entries. At a minimum, this includes:

- Linking to the personal entry of responsible project leader.
- Linking with a funding source
- Entry of source of funds and type of funding

4. Project entries are only visible on database level as long as authorized persons do not change the visibility setting.

The default setting for project visibility is „Database (PURE users)". Visibility can be customized for each entry:

- Publicly accessible:
  readable on the internet, e.g. Leuphana research catalog and personal web pages.
- Campus (IP addresses):
  readable from authorized IP addresses, i.e. on the intranet and connected information systems
- Database (PURE users):
  readable by logged-in PURE users.

Visibility of projects includes only certain attributes. The information intended for display can be checked in the "Preview" function.

Viewing and editing of the full entry is restricted to users with special authorization (cf. role and authorization concept).

5. Due to the confidential nature of some third-party funded projects, no output is used that mentions the funding amount for the presentation on the internet and intranet.

The publicity obligations of the funders must be observed. For information on funders and funding program the field "Type of funding" is used.

For the publication of project information on the Leuphana website, only project entries with visibility status „Publicly accessible" are used.

6. Entries of externally funded projects are validated and released with regard to the financial information.

The service units of Leuphana (Research Service, Professional School, Finance Department) validate externally funded projects with regard to

- Assignment of responsible project management
- Publicity requirements (type of funding)
- Statistically relevant information
    - Origin of funds
    - Funding source
    - Field of expertise
    - Economic activity/ tax liability

7. Projects from budgetary funds and projects without funding are not validated.

PURE users have the possibility to enter projects with internal or external funding as well as projects without funding, such as dissertation project.

8. Only validated projects are evaluated for official statistics.

In order to ensure high data quality for third-party funding statistics from PURE, only those project entries are evaluated that have gone through a validation proves (see 6).

A detailed description of the creation of reports and statistics in PURE can be found in the documents *Guideline for the production of reports form PURE* and *list of procedures in which research information is collected and processed.*

Related documents:

- Information on data transfer from central information systems

- Guideline for the preparation of reports from PURE

- List of procedures in which research information is collected and processed

- Role and authorization concept

Document history

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1.0	14.02.2011	A. Kujath	Coordinated with PURE Steering Group
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Guide to recording activities

– Version 1.1 –

1. **Researchers can record scientific activities from the areas of research, education and transfer in PURE.**

   Activities of the following type are recorded:

   - Participation in committees, networks and bilateral partnerships
   - Awards, prizes, fellowships, guest stays
   - Scientific events
   - Editorial activities
   - Lectures and presentations
   - Press appearances
   - Reviewer and consultant activities, examinations and supervisions

2. **Entries of activities are primarily intended for public reporting, as long as authorized persons do not change the visibility setting.**

   The default visibility setting for activities is „publicly available". Visibility can be customized for each entry:

   - Publicly accessible:
     readable on the internet, e.g. Leuphana research catalog and personal web pages
   - Campus (IP addresses):
     readable from authorized IP addresses, i.e. on the intranet and connected information systems
   - Database (PURE users):
     readable by logged-in PURE users

   The visibility of the entry is limited to certain attributes. The information intended for display can be checked in the "Preview" function.

   Viewing and editing of the complete entry is restricted to users with special authorization (see: role and authorization).

3. **The head of the work unit decides on the classification of the activity into one of the categories research, education, transfer.**

   - Transfer: Contributions with a focus on communication; the content is primarily communicative/ general to a broad non-specialist audience
   - Education: Activity with a focus on education; the content is primarily scholarly and directed primarily to students or faculty
   - Research: Articles with a focus on research; content primarily includes new research findings with researchers as the main target audience
   - Academic Self-Governance Leuphana:
     Participation in the academic self-administration of Leuphana University

4. Entries on scientific activities are not validated. It is at the discretion of PURE users to record their scientific activities if they want to use them for activity reports or for a presentation on the internet.

   For a presentation in the Leuphana Research Catalogue, particularly prestigious activities such as prizes, posts and offices as well as high-ranking reviewer activities are of particular interest for a presentation in the Leuphana Research Catalogue.

5. Activities abroad or related to the abroad are submitted to the International Office.

   If activities abroad or in connection with organizations outside of Germany are joint, these are transmitted via standardized reports for the international news of the Leuphana to the International Office.

Related documents:

Document History

Version	Date	Author	Changes
1.0	14.02.2011	A. Kujath	Coordinated with the PURE steering group
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Guideline for the collection of personal data
Storage and Processing of Personal Data in PURE
- Version 1.1 -

1. **In the research database PURE members of the Leuphana University are recorded, who are scientifically active or who take over tasks in the data processing or the database administration.**

   In particular, these are persons who
   - write publications or edit them
   - lead (third-party funded) projects or collaborate in them
   - hold positions and offices in Leuphana or external organizations
   - organize scientific events
   - supervise and review scientific events or are otherwise active in the national/international scientific community
   - have editorial tasks in PURE

2. **For storage and processing of personal data in PURE the consent of the person must be obtained.**

   This applies to the creation of personal data records of any kind as well as to their linking with other data records in the research database.

   Consent for the storage and processing of personal data in PURE is designed in a differentiated manner and enabled:
   - Consent to synchronization with SAP using the personal SAP ID
   - Consent to link the personal data record with primarily non-public database contents (e.g. projects or activities in which the person will be involved)

3. **For the complete inclusion of research publications, a person record of the authors can be created in PURE based on publicly available information**

   An author list is required to correctly record a publication in PURE. A person record is created for the authors in PURE and it is linked to the publication record.

   If no consent can be obtained from the author, the personal records are created on the basis of the author's address given in the publication. Since the work and its creators are public information, in these cases authors are only to be informed about the data processing.

   Personal records of Leuphana employees created in this way are handled as follows:
   - The information from the author's address is compared with the publicly available data on the Leuphana website.
   - The authors are informed about the creation of the data record and are given the opportunity to correct the recorded data set (see 5).

   The entries for external persons created in this way are handled as follows:
   - The information from the author's address is compared with the publicly available data.

> The co-authors have to be informed about the creation of the dataset.

4. **Expert profiles of researchers are intended for publication as far as the visibility is not restricted by the users authorized to do so.**

The default setting for the visibility of personal entries is „publicly accessible", so that the expert profiles of the researchers can also be used for presentations on the Internet. In cases where this is not desired, the visibility can be adjusted individually:

> Publicly accessible:
> Readable on the Internet, e.g. Leuphana research catalog and personal web pages
> Campus (IP addresses):
> Readable from authorized IP address, i.e. on the intranet and connected information systems such as my Study
> Database (PURE users):
> Readable by logged-in PURE users

The visibility of the entry is limited to certain attributes. The information intended for display can be checked in the „Preview" function.

Viewing and editing of the complete person entry is only possible for users with special authorization (see Roles and Authorization Concept).

If an employee leaves Leuphana University of Lüneburg, the visibility of the person's entry is restricted to the user's personal data. If desired, the visibility of the person's entry will be restricted to the lowest visibility level.

5. **Scientific staff may be associated with more than one organizational unit if an official association exists.**

Scientific staff can be linked to more than one institute, if an official association exists. In principle, when creating the personal entry, scientific personnel are linked to the institute or center where an initial membership exists. Further associated memberships can be indicated, as far as these were requested and confirmed in the regular procedure.

6. **User accounts and information about storage and processing of personal data in PURE**

In general, all persons registered in PURE receive a user account with login data, so that they can view, change and complete their stored personal data.

When recruiting new employees, the creation of a user account is offered on a voluntary basis. If possible, the creation of a user account is linked to SAP synchronization. Information about the synchronized attributes can be found in the document "*Information about the Data transfer from central information systems*".

Already employed staff members, who enter their scientific achievements into the database or to perform editorial tasks, submit a declaration of consent to the database administration and receive a user account. The authorizations for data processing are determined in consultation with the responsible department head.

If the publicly available publication of an employee is to be included in the University Bibliography a personal entry is created in PURE (see 3). The person is informed about the entry and receives access to the stored data via a user account.

7. Documentation

The consent forms are archived in the research service. The responsible person-editor is responsible for the creation, maintenance and deletion of person records within PURE. The administrators of the PURE database are informed about the new person record, and in case of synchronization with the SAP system, the SAP ID is linked to the person record. The linking can be done only by database administrators.

8. Clarification of terms

Person	Each person has their own profile with details of their employment (Source: Publicly available information, e.g. from the author's address). This profile can be equipped with further information. Each person can potentially be added to a content in PURE, e.g. as a co-author. The entry cannot be made by the person himself, but must be done by a user with the right to create content. A person belongs to at least one internal organization, additionally internal persons can be marked as former employees.
User	An user is assigned a username and a password and can thus log in to PURE. When a new user account is created, the user can be assigned one or more roles, which allow the user to perform certain tasks such as creating, editing, deleting or approving/ validating content.
Single user	The single user is the most common user type in PURE. Single users are typical members of the academic workforce who share their personal research outputs, publications, activities, projects, etc. The individual users can log into PURE and link themselves to content.

Related documents:

- Notification due to ne whir or change in work area.
- Guideline for recording individuals – Special regulations in the introductory phase

Document history

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1.0	14.02.2011	A. Kujath	Coordinated with PURE steering group
1.1	03.12.2013	N. Vogt	Correction

- Coordinated with PURE steering group-

Guideline Organizations

- Version 1.0 -

1. Scientific staff can be linked to more than one institute, if an official association exists.

Generally, when creating a personal entry, scientific staff will be linked to the institute or Center where an initial membership exists. Further, associated memberships can be indicated, as long as they have been applied for and conformed by the presidium in the regular procedure.

2. Internal structures of institutes and centers that are not recorded in SAP must be set up by the database administration.

Below the level of professorships, institute-specific structures can be mapped. The internal structures are set up centrally by the PURE database administration. The maintenance of the additional SAP-synchronized structure, such as the assignment of persons or their period of employment, is the full responsibility of the institute itself.

3. Users can, on request, obtain the role of editor for organizations in the respective organization.

The head of the organization or his/her deputy may request an editor role for the respective organization at the research service. By assigning this role it is possible to change the organizational structure below the structures synchronized with SAP and thus to individualize it for the respective organization.

Related documents:

Dokumentenhistorie

Version	Date	Author	Changes
1.0	18.02.2011	A. Kujath	Coordinated with the PURE steering group