Service Level Agreement for Citations Matching Service and Clarivate Analytics REF Support Team

1.   In October 2018, Clarivate were awarded the contract for Provision of citation data services 2021 (Sourcing Reference Number: CR18087) for REF 2021. This document sets out the service level agreement between Clarivate and UK Research and Innovation (UKRI), whose council Research England administers REF 2021 on behalf of the four UK funding bodies for higher education.

2.   The service levels described are mainly drawn from the requirements set in the Invitation To Quote (ITQ) published on 3 August 2018, and Clarivate's response to the ITQ. Where service levels were not specified in the response to the ITQ, these have been agreed between Clarivate and UKRI and this document confirms the agreement.

3.   During the pilot phase of the REF submissions system, and the first part-month of the live phase (30 September 2019 – 31 January 2020) the service levels will be monitored, but reporting of performance will only be advisory.

4.   Clarivate agree to commit to the service levels described in this document from 01 February 2020.

Matching Service

5.   The service shall achieve the following response times; measurements of the times and percentage within target will be calculated after the end of each month for the full month:

Activity	Response Time	Target Within Response Time
Time from initiation of web service call to completion of response, per individual (non-batch) call to the Clarivate matching API	2 seconds	95%
Time from initiation of web service call to completion of response, per batch call to the Clarivate matching API	10 seconds	95%
Time to return service to full availability after unscheduled loss of service	15 minutes	95%

6.   The service shall operate up to the maximum thresholds set out in the table below. Any requests that exceed this threshold will be rejected and will not be counted in the measurement of response times. A count of requests that exceed these thresholds will be provided in the monthly report by Clarivate.

Threshold Description	Threshold
Maximum requests per second	50
Maximum requests per minute	3,000
Maximum items requested/day	250,000
Maximum number of records per batch	50

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7.   Clarivate will measure performance against the following targets and provide monthly reports of performance against targets. For the purpose of calculating targets, working hours are defined as 9am to 5pm, Monday to Friday excluding public holidays.

8.   SLA targets for the period 01 February 2020 to 31 October 2020 are as follows:

Activity	Response Time	Target Within Response Time
Support queries responded to	2 working hours	95%
Matching support queries categorised as 'simple' resolved	1 working day	95%
Support queries categorised as 'simple data correction' resolved	5 working days	95%
Complex support queries resolved	20 working days	90%

All queries received by email will generate an automatic email acknowledgement. Queries received by telephone will receive an acknowledgement response by email within 30 minutes. All queries will be reviewed and an initial assessment provided within 2 working hours. Clarivate will aim to correct 95% of simple data corrections within 5 working days (i.e. one calendar week) and to correct 90% of complex corrections within 20 working days (i.e. 28 calendar days, or a month). Simple data corrections would be classified as those for which we do not need additional data (i.e. corrections to bibliographic data or citation linking). Complex corrections would be cases that involve large batches of records (>150 records affected), where we need to acquire data from a publisher or where we need to make changes to our systems.

9.   SLA targets for the period 01 November to 27 November 2020 are as follows:

Activity	Response Time	Target Within Response Time
Support queries responded to	2 working hours	100%
Matching support queries categorised as 'simple' resolved	1 working day	100%
Support queries categorised as 'simple data correction' resolved	3 working day	90%
Support queries categorised as 'simple data correction' resolved	5 working days	100%

Activity	Response Time	Target Within Response Time
Complex support queries resolved	20 working days	90%

The definitions of the types of queries will be the same as above. Given the time required to resolve complex support queries we do not expect to be able to resolve these by the close of submissions if they are raised in the final month but will endeavour to accelerate these as much as possible. As above, all queries will be reviewed and an initial assessment provided within 2 working hours – but additionally the initial assessment will include an estimate of the likely time required to resolve the query.

Information for HEIs

10.   Contextual data (based on journal category but not UOA) for the pilot phase will be produced and sent to Research England by 30 September 2019. The data will be based on citation data from the years 2013 to 2018.

11.   Contextual data (based on journal category but not UOA) for the submission phase will be produced and sent to Research England by 31 January 2020. The data will be based on citation data from the years 2013 to 2018.

Information for Sub-Panels and HEIs

12.   Contextual data (based on journal category and UOA) for the assessment phase will be produced and sent to Research England by, at the latest, the date 10 working days after Research England have provided to Clarivate the output to UOA mappings necessary for Clarivate to calculate the data. The data will be based on citation data from the years 2014 to 2019.

Information for UKRI (Research England)

13.   Clarivate shall take a static snapshot of all the Web of Science core collection data as at, or shortly after the submission deadline. The snapshot will be taken no earlier than midday on 27 November 2020 and no later than 01 December 2020. Clarivate do not need to transmit to Research England unless requested to do so, but they must retain the data until 30 November 2022.

There are occasions when Web of Science may correctly contain cases that might appear to be duplicate records:
- The publication publishes a reprint of a previous article. If clearly labeled in the journal, these will be indexed with the document type "reprint" and unique volume, issue and page metadata.

- Conference papers may be published in both a journal special issue and/or a conference proceeding. Since these are published by different sources with unique DOIs, they are indexed independently.
- Some publications will "co-publish" research, e.g., guidelines, which can appear in multiple participating publications.

However, indexing errors may also result in duplication. This is periodically checked and such instances are removed when identified. Such errors would be handled as simple data corrections and we would expect to resolve 90% of reported cases within five working days.