The Importance of Being Early: RQF Stakeholders and Workflows

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Scaling Mt RQF

You are here
The stakeholders

- Office of DVC (Research) (or equivalent)
- Office of Research and Postgraduate Studies (or equivalent)
- Academic staff taking part (not all)
- Support/general staff in schools
- ‘Liaison’ Librarians for schools, and …
- … the University as a whole
The tools you need

For DEST
- The citation data, and its associated files
- The means of delivering the data and the files, e.g. a digital repository
- The evidence portfolios

Internally
- The means of quality checking the entered data
- The means of checking compliance
- The means of massaging all the data and the evidence portfolios into the DEST-required package (an XML portfolio?)
The workflow

- Academics nominate their best works and justify choices
- Schools approve choices (or make new ones)
- Schools allocate the nominated works (or academic groupings) to panels
- Schools work with Office of DVC (Research) (or similar) on research groupings, evidence portfolios and impact measurement
- Citations and supporting statements are directly entered into a repository
The workflow (cont’d)

• Schools develop a mechanism for checking compliance

• Library staff check accuracy of citations, add any missing data, and find and add DOIs or files, where applicable

• Library staff scan non-electronically available material (apart from books) and upload it to the repository

• Any books required are verified, then purchased for reviewing academics
Decisions

• Are you going to link or upload?
• If the latter, what about copyright?
• And which version?
• What about books?
• How do you create and present the evidence portfolios?
• And who is the driver?
UQ’s preparatory work

Three trial runs for the RQF already completed –

- 2005 – 2 schools (research presented electronically via Web pages)
- 2006 – 14 schools, 1 centre (research presented electronically via UQ eSpace repository)
- 2007 – 6 schools (research presented electronically via UQ eSpace repository)

Working party involved –

- Office of DVC (Research)
- Office of Research and Postgraduate Studies
- Liaison Librarians for schools and centres being assessed
- Academic staff in schools and centres being assessed
- Support/general staff in schools and centres
2005 trial - background

- Two schools only
  - 63 papers (Semester 1)
  - 230+ papers (Semester 2)
- The majority of research (95%) was delivered electronically to research assessors via Library-created Web pages
- Web pages were constructed from templates created by the Library and filled in by individual academics
- Web pages linked assessors to locally uploaded files or to online files via DOIs or other robust URLs
- Non-electronic materials, including books, were lent from library collections and sent to assessors by post
**Pros**

- Easy for assessors to follow links from Web pages to items, either locally or remotely
- Clear labelling and presentation of material
- Easy to provide onward link to discussion forums (which were little used, however)

**Cons**

- Large workload for library staff
- Schools did not fully ‘own’ process
- Data was double-handled
- Data was not re-usable
- Separate system for assessor discussions
- No online system can deliver print material such as books
2006 trial - background

• 15 schools, 1 centre
  ▪ Thousands of papers
  ▪ Six document types: Books, book chapters, journal articles, conference papers, published patents, architectural designs
• Academics selected best 4 published works from latest 5 years
• The majority of research was delivered electronically to research assessors via an institutional repository
• Non-electronic materials, including books, were purchased and sent to assessors by post
2006 trial - background

• Schools identified participating staff (level B and above)
• Academics were assigned to specific ‘research groups’ (some cross-faculty / cross-disciplinary)
• Research groups were matched with assessor panels
• Schools gathered citation data
• Data entry staff from schools logged in to specific collections to enter data
2006 trial - Workflow

• UQ eSpace repository provided the mechanism for electronic delivery of research
• New data models were created for each publication type, and included these fields –
  ▪ Full citation
  ▪ Pre-loaded look-up tables for
    ▪ Author names (tied to log in)
    ▪ Research groups (tied to log in)
    ▪ RFCD codes (to tag material for specific assessors/panels)
  ▪ Rationale for inclusion (quality + impact statements)
  ▪ Link to local file or to DOI / robust URL
  ▪ Author keywords
2006 trial - Workflow

- School staff entered citations and supporting statements into UQ eSpace and ‘published’ completed entries, i.e.
  - Records with full citation + DOI
  - Records with full citation + link to local electronic file
- Liaison Librarians checked accuracy of ‘unpublished’ entries, added any missing data, and added DOIs/URLs to complete and ‘publish’ records
- Staff in Office of DVC (Research) provided a Help Desk
- Library staff scanned non-electronically available material (apart from books) and uploaded it to UQ eSpace
- Librarians purchased and disseminated books to reviewers
- Once all data entry was completed and checked, the material was signed off for assessors
- Assessors were given log ins to UQ eSpace that linked them to their specific review collections
Pros

• Assessors logged straight in to their specific review collections
• Data entry was simplified by pre-populating forms with drop-down choices for author names, research groups, and RFCD codes
• Schools had input to process
• Data in repository available for reuse / repurposing

Cons

• New system took time to bed down
• Assessor discussions occurred elsewhere
• No online system can deliver print material such as books
2007 trial - Workflow

- Six schools
- New fields in records – for tracking of items such as lent books
- Academic data entry?
- Data for 2008?
- Issues for 2008?
- Single research publications reporting system
- Two-headed driver
Workflow issues considered by research assessment working party

- What research gets included?
- Which academics take part in the exercise?
- Who decides what academic work is ‘best’?
- Who enters the citation data?
- Who checks it?
- Who ensures compliance of academics?
- How is the project kept on track and to timetable?
- What about copyright?
- Who handles queries?
- Who documents the system, and where is documentation and help available?
- How do assessors access material for review?
- How do assessors communicate with each other?
- How do assessors get help if they can’t see what they need?
- How is assessor compliance monitored?
Conclusions 1

- The UQ eSpace solution had several benefits over a Web page model.

  - Forms for publication types were created specifically for the research assessment process.
  - Forms could be changed (added to, remodelled) without loss of data even after data entry had commenced.
  - Incorrect data such as misnamed research groups could be fixed globally.
  - Data quality could be checked in daily data dumps of entries.
  - Daily statistics could be produced on the number of papers entered, from where, and so on, facilitating project management and compliance tracking.
Conclusions 2

- Data from earlier trials can be repurposed for RQF 2008
- Existing RM/HERDC data can be loaded into the repository, thus reducing the data entry workload for RQF 2008
- Existing forms can be remodelled when RQF reporting requirements are finalised
- Data entered for RQF can be repurposed for CVs, annual reports, other research reporting tasks, etc.
- Existing trials have informed school reviews – and given us impetus for 2008
What we use

• Fez digital repository software
• UQ in-house development, with many installations internationally now
• Open source, based on Fedora
• We will host your repository or help you set up your own Fez one
• We have successfully migrated our ePrints data (losslessly) to Fez
• We already have RQF content models
UQ eSpace home page

UQ eSpace is a digital repository for research at The University of Queensland. It contains published articles and conference papers, book chapters, theses and other forms of written research output from UQ academic staff and postgraduate students. Published material covers a range of subjects and disciplines, both before and after peer-reviewed publication, and much of it is full-text. The repository also contains research datasets, sound and image collections and software.

UQ eSpace provides free, searchable access to UQ research and manages its long-term archiving. UQ staff and students must register to deposit materials.

UQ eSpace is running on Fez software. Fez is part of a wider project entitled eScholarshipUQ, which is the local testbed for the Australian Partnership for Sustainable Repositories. The aim of this DEST-funded project is to make all of UQ's research accessible. The project also aims to make UQ's research visible, accessible and usable through a global network of interlinked services such as OAIster. See the Fez FAQ for more information. Check publishers' copyright policies at SHERPA.

Fez is running on Fedora 2.4 digital repository software.

The Fez digital repository software is available for free at http://sourceforge.net/projects/fez/. Information and background on Fez initiatives is available from http://www.library.uq.edu.au/escholarship

http://espace.uq.edu.au/
Research assessment collections only visible after log in – not otherwise visible

Allocated log in privileges govern who sees what
<table>
<thead>
<tr>
<th>Title</th>
<th>Author</th>
<th>Publication Type</th>
<th>Date</th>
<th>Research Group</th>
<th>Link to Complete Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Responsibility to Protect or a Trojan Horse? The Crisis in Darfur and Humanitarian Intervention After Iraq</td>
<td>Alexander Bellamy (2005)</td>
<td>Peace and Conflict Studies - RQF 2005 Journal Article</td>
<td>2005</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Specific fields requested for research assessment exercise

DOI entered here – we programmed the system to extract the DOI from here and add leading code to create a working link

DOI direct link – routed through our ezproxy to handle once-only authentication
## Specific fields requested for research assessment exercise

**Keyword(s):** Religion  
**Research Program:**  
**Submitting Author:** Ditrich, Tamara, 1971  
**Author(s):** Ditrich, Tamara  
**Title of chapter:** Indological Studies in Australia  
**Editor(s) of book:** Saroj Bhat  
**Title of book:** Indology: Past, Present and Future  
**Chapter no.:**  
**Page nos.:** 01-83  
**Edition:**  
**Place of Publication:** Delhi  
**Publisher:** Sahitya Akademi  
**Year of publication:** 2002  
**Research Fields, Courses and Disciplines:**  

**Rationale for inclusion:** The main focus of these publications is research and critical analysis of ancient Hindu and Buddhist texts, exploring various methodological approaches in the contemporary Indian studies (publication 2), especially philological method. Two publications (1, 3) analyse texts in Sanskrit, and (4) in Classical Tibetan. Publication 1 contributes to the new field of scholarly research, i.e. mothering, publications 3 and 4 demonstrate an innovative approach to the research of classical religious texts.

**Additional Notes:**

### Attached Files

<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
<th>MIMETYPE</th>
</tr>
</thead>
</table>

### Related Links

| Link | Description |
|------|-------------|-------------|
Without logging in, users can only browse publicly available communities. RQA collections are only available to specific log ins.
Once a user logs in, a new button ‘My UQ eSpace’ appears. All collections to which user has rights appear in that space.
How My UQ eSpace looks to a user

All items ‘published’ – no records left to check

Log ins tied to specific collections – user only sees relevant collections
A collection with some items still not ‘published’

User may be associated with more than one collection
Checklist of Fez’s RQF functionality

✓ Support RQF data model
  • UQ eSpace data models can be customised to meet whatever metadata needs to be supplied for the RQF

✓ Support complex or non-text items
  • UQ eSpace can support any format of item

✓ Facilitate workflow for academics and administrators
  • UQ eSpace’s workflow can be customised to suit different scenarios

✓ Manage groups and access
  • UQ eSpace administration allows Active Directory/LDAP authentication as well as log ins for individual users or groups, even non-UQ

✓ Enable communication and automated reporting
  • UQ eSpace comment/annotation system will allow assessors to discuss research within the system. Statistics and data dumps can assist with project tracking and milestones.

✓ Liaise with the research office
  • UQ eSpace can allocate ‘admin’ privileges for Research Office staff to facilitate RQF project management
Final conclusions

- You need a (flexible) repository
- You need to do a trial
- You probably need a project manager
- It all takes longer than you think
- The workflow must be planned from the start
- You need clear lines of responsibility and accountability
- Each ‘stage’ must be ‘timed’ and managed
- Someone needs to keep schools ‘on track’
- All documentation must be online and data entry instructions must be foolproof
- You need a help desk
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