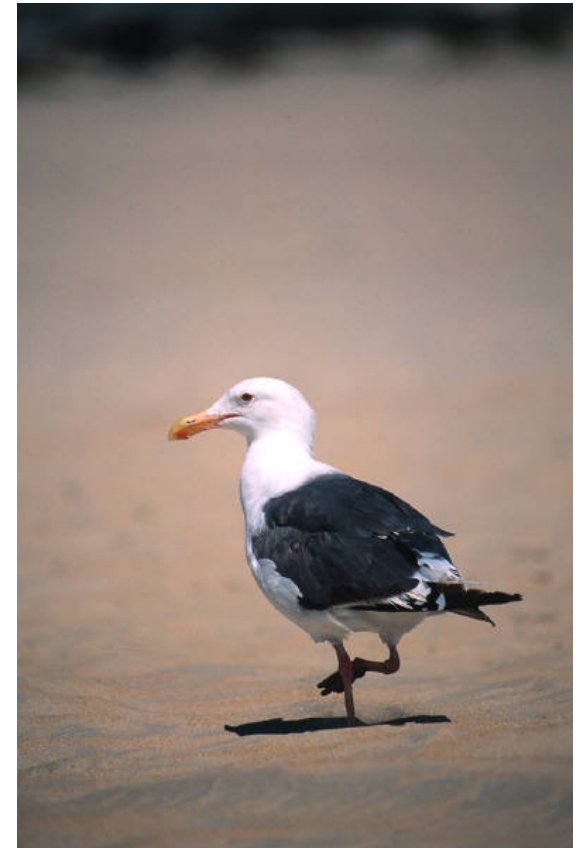


The Importance of Being Early: RQF Stakeholders and Workflows

Belinda Weaver

The University of Queensland



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

THE UNIVERSITY OF QUEENSLAND AUSTRALIA

UQ eSpace

[UQ eSpace \(Login\)](#)

[my.UQ](#)

[Browse Communities](#) | [Help](#)

Search

[help](#)

Use [Advanced Search](#) to search by multiple criteria

Browse

[by Communities & Collections](#) | [by Subject](#) | [by Year](#) | [by Author](#) | [by Latest additions](#)

Access Statistics

[Top 50 authors](#) | [Top 50 papers](#)

Registered Users

[Register](#) | [Deposit or manage papers](#)

Recently Added Items

(No items added in the last week)

UQ eSpace News

Basic search improved - sort by relevance - Fri, 21 Apr 2006, 13:56:39 EST - ([Christiaan Kortekaas](#))
Basic searches now sort the results by search relevance. The higher the search relevance number the better the search match.

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<http://dev.mysql.com/doc/refman/5.0/en/fulltext-stopwords.html>

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Fez fedora

<http://espace.uq.edu.au/>

UQ eSpace research assessment communities 2006

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UQ HOME SEARCH MAPS CONTACTS LIBRARY my.UQ

UQ eSpace (Logout)

User: (Preferences)

Administration Browse Communities My UQ eSpace Help

terms Search

List of Collections in UQ RQA 2006 Community: (16 results found, 1 - 16 shown) (0 hidden)

Order By Title

About the UQ Research Quality Assessment Documents relevant to UQ Research Quality Assessment

Centre for Immunology and Cancer Research

School of Biomedical Sciences

School of Business

School of Dentistry

School of Engineering

School of History, Philosophy, Religion, and Classics

School of Information Technology and Electrical Engineering

School of Land and Food Sciences

School of Languages and Comparative Cultural Studies

School of Medicine

School of Molecular and Microbial Sciences

School of Political Science and International Studies

School of Psychology

School of Social Science

School of Veterinary Science

Research assessment collections only visible after log in – not otherwise visible

Allocated log in privileges govern who sees what

Order By Author

This paper presents a theoretical innovation by elaborating, and, for the first time, testing and refining a theory of metagovernance. It is published in one of the world's leading public policy journals. This author took a leading role in writing and e...

International Affairs is the journal of the Royal Institute of International Affairs. It is one of the most widely read journals outside the US. Although published recently, this article has already had impact. In February 2006 it was specifically and a...

Review of International Studies is the journal of the British International Studies Association and is published by Cambridge University Press. This article has been widely cited by leading thinkers in contemporary IR theory including Tim Dunne (in a ch...

Ethics and Conflict Studies (R2P 2000 Journal Article)
 Peace and International Affairs is edited and published by the Carnegie Council on Ethics and International Affairs, New York. This paper has already been widely cited and on the back of this paper I was commissioned to write a White Paper on R2P for t...

International Security is edited at Harvard University and published by MIT Press. It is one of the world's top three International Relations journals by any measure and the leading journal in military and security studies. Fewer than five Australians...

This book will be published by Palgrave in May of this year. It is being published in the Political Analysis series and was judged by one reviewer to offer an 'Unusually balanced and thoughtful in its approach, it highlights both the strengths and lim...

User:

terms Search

View RQF 2006 Journal Article: *No Pain, No Gain? Ethics and Torture in the War on Terror*

Parent Collections: [School of Political Science and International Studies](#)

Browse Collection: [Prev: The Problematic Meta-governance of Networks: Water Reform in New South Wales](#) | [Next: Humanitarian Responsibilities and Interventionist Claims in International Society](#)

Keyword(s)	No Pain, No Gain? Ethics and Torture in the War on Terror
Research Program	Peace and Conflict Studies
Submitting Author	Bellamy, Alexander, 2184
Author(s)	Alexander Bellamy
Title of article	No Pain, No Gain? Ethics and Torture in the War on Terror
Link to Full Text (DOI)	10.1111/j.1468-2346.2006.00518.x
Journal name	International Affairs
Date	2006-01
Volume	82
Number	
Issue	1
Pages	121-148
Research Fields, Courses and Disciplines	360105 International Relations
Rationale for inclusion	International Affairs is the journal of the Royal Institute of International Affairs. It is one of the most widely read journals outside the US. Although published recently, this article has already had impact. In February 2006 it was specifically and approvingly cited (and UQ specifically named) in the British House of Commons by Tony Baldry MP in a House debate on the war on terror.
Additional Notes	

Attached Files		
Name	Description	MIMeType

Related Links		
Link	Description	
http://ezproxy.library.uq.edu.au/login?url=http://dx.doi.org/10.1111/j.1468-2346.2006.00518.x	Link to Full Text (DOI)	

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

User:

terms Search



View RQF 2006 Book Chapter: *Indological Studies in Australia*

Parent Collections: [School of History, Philosophy, Religion, and Classics](#)

Browse Collection: [Prev: Conrad Martens and the Squatting Families of the Darling Downs](#) | [Next: Katha Upanisad: O zivljenju, smrti in nesmrtnosti](#)

Keyword(s)	
Research Program	Religion
Submitting Author	Ditrich, Tamara, 1771
Author(s)	Ditrich, Tamara
Title of chapter	Indological Studies in Australia
Editor(s) of book	Saroja Bhate
Title of book	Indology: Past, Present and Future
Chapter no.	
Page nos.	61-83
Edition	
Series	
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, one (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	

Specific fields requested for research assessment exercise

Attached Files		
Name	Description	MIMEType
 Ditrich_2002_Indological.pdf 	Ditrich_2002_Indological.pdf	application/pdf

Related Links	
Link	Description

Link to locally scanned and uploaded file

Without logging in, users can only browse publicly available communities. RQA collections are only available to specific log ins.

THE UNIVERSITY OF QUEENSLAND AUSTRALIA UQ eSpace

UQ eSpace (Login) [Browse Communities](#) [Help](#)

terms Search

Search

terms Search [help](#)

Use [Advanced Search](#) to search by multiple criteria

Browse

[by Communities & Collections](#) | [by Subject](#) | [by Year](#) | [by Author](#) | [by Latest additions](#)

Access Statistics

[Top 50 authors](#) | [Top 50 papers](#)

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Fez fedora

Once a user logs in, a new button 'My UQ eSpace' appears. All collections to which user has rights appear in that space

UQ eSpace

UQ eSpace (Logout) Browse Communities **My UQ eSpace** Help

User: Belinda Thomas (Preferences) terms Search

Search

terms Search help
Use [Advanced Search](#) to search by multiple criteria

Browse

[by Communities & Collections](#) | [by Subject](#) | [by Year](#) | [by Author](#) | [by Latest additions](#)

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Fez fedora

How My UQ eSpace looks to a user

All items 'published' – no records left to check

UQ eSpace (Logout) Browse Communities My UQ eSpace Help

User: Belinda Thomas (Preferences) terms Search

Actions
[Create](#) | [Edit](#) | [Delete](#) | [Export](#)

Assigned Unpublished Items
Showing items 1 to 0 of 0
Order By Title

All Title
No workflow items could be found.

All Delete Publish |< << 1 Go >> >| 150 Show Rows

Running Processes
All Started Name Progress Message Last Heartbeat Status
No Items
All Delete

Assigned Collections

Title	Community	Items	Action
School of Dentistry	UQ RQA 2006	70	

Log ins tied to specific collections – user only sees relevant collections

A collection with some items still not 'published'

UQ eSpace (Logout) [Browse Communities](#) [My UQ eSpace](#) [Help](#)

User: Belinda Thomas (Preferences)

Actions
[Create](#) | [Edit](#) | [Delete](#) | [Export](#)

Assigned Unpublished Items
Showing items 1 to 3 of 3
Order By


All	Title
<input type="checkbox"/>	Descartes and the Passionate Mind Brown, Deborah (2006) Philosophy - RQF 2006 Book (Created: 2006-04-03 11:20:09 Last Updated: 2006-06-20 08:58:16)
<input type="checkbox"/>	Is Descartes' Body A Mode of Mind? Brown, Deborah (2006) Philosophy - RQF 2006 Book Chapter (Created: 2006-04-07 13:48:16 Last Updated: 2006-04-20 12:17:03)
<input type="checkbox"/>	Objective being in Descartes - That which we know or that by which we know? Brown, Deborah (2006) Philosophy - RQF 2006 Book Chapter (Created: 2006-04-07 13:53:41 Last Updated: 2006-04-20 11:54:35)

Running Processes

All	Started	Name	Progress	Message	Last Heartbeat	Status
No Items						

Assigned Collections

Title	Community	Items	Action
School of History, Philosophy, Religion, and Classics	UQ RQA 2006	135	
School of Languages and Comparative Cultural Studies	UQ RQA 2006	104	



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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UQ eSpace <http://espace.uq.edu.au/>