Tertiary Education Commission
Te Amorangi Mātauranga Matua

2012 PBRF Quality Evaluation

Submission Phase

IT System User Guide

TEO Administrator

October 2011 (v 1.3)

Contents

SECTION 1

Key concepts

In this Section

What is the PBRF?

The Tertiary Education Commission (TEC) *Te Amorangi Mātauranga Matua* is responsible for administering the Performance-Based Research Fund (PBRF). The primary aim of the PBRF is to encourage and reward research excellence in the Tertiary Education sector within New Zealand. The PBRF Quality Evaluation requires the TEC to receive and manage research Evidence Portfolios from tertiary education organisations (TEOs). These Evidence Portfolios are then assessed by specialist Panels and the result of that assessment is communicated by the TEC.

More information on the 2012 PBRF Quality Evaluation can be found in the *2012 PBRF Quality Evaluation Guidelines,* the *PBRF User Manual* and the *PBRF Annual Reports,* available on the TEC website (http://www.tec.govt.nz).

What is the PBRF QE IT System?

The PBRF QE IT System is the IT solution that supports the Quality Evaluation submission and assessment process and allows the TEC, TEOs and Peer Review Panels to perform their respective roles in the 2012 PBRF Quality Evaluation.

The system is implemented as a secure website and online document repository, where TEOs can create Evidence Portfolios and upload supporting documents. This website will then be used by the Panels to view and assess Evidence Portfolios, and by other participants in the process (such as the Auditors and Moderators) to perform their roles.

User roles in the PBRF QE IT System

The PBRF QE IT System is designed to provide support the various participants in the 2012 PBRF Quality Evaluation. The roles of these participants have been identified and applied in the PBRF QE IT System, so as to preserve the security and integrity of the process and the rights and access of its users.

Anyone with access to the PBRF QE IT System does so in a particular role in the system. These roles are linked to a user's Education Sector Authentication and Authorisation (ESAA) login.

These roles are:

TEC Administrator

The TEC Administrator role is to assist in the smooth running of the 2012 PBRF Quality Evaluation process, and to assist users of the PBRF QE IT System in performing their role. The TEC Administrator is also able to perform some of the global reporting functions of the PBRF QE IT System.

During the Submission Phase this role can:

- Create Panellists and assign them to Panels in their appointed roles.
- View the overall progress of submissions in the PBRF QE IT System.
- View all Evidence Portfolios in the IT System.
- View all staff member and researcher details submitted as part of the Census.
- Run reports at a global level (including all TEOs).

TEO Administrator

The TEO Administrator role is responsible for the creation of the EPs in the PBRF QE IT System, and for the uploading of their associated files. This role is also able to upload Census data for the organisation.

In some organisations this role may be filled by the research manager, in others it may be a technical or administrative function. There can be more than one TEO Administrator at any particular participating organisation.

During the Submission Phase this role can:

- View the overall progress of submissions within their own organisation.
- Create Evidence Portfolios through the user interface or by uploading them via FTP.
- View all Evidence Portfolios submitted by their own organisation.
- Upload Census files.
- View all staff member and researcher details submitted by their own organisation.
- Run reports within their own organisation.

Panellist

Panellists is the term used to encompass all of the roles that are responsible for conducting the assessment and moderation process within the PBRF QE IT System. They do this individually and within their Panels or Groups, in accordance with the processes set out in the Panel guidelines and the 2012 PBRF Quality Evaluation Guidelines. During the Submission Phase this role can only view other Panels and their members.

Auditor

The Auditor role accesses the PBRF QE IT System to perform the function of ensuring the 2012 PBRF Quality Evaluation is conducted in a fair and equitable manner.

During the Submission Phase this role can:

- View the overall progress of submissions in the PBRF QE IT System.
- View all Evidence Portfolios in the IT System.
- View all staff member and researcher details submitted as part of the Census.
- Run reports at a global level (including all TEOs).

Phases in the 2012 PBRF Quality Evaluation

The 2012 PBRF Quality Evaluation is broadly divided into three phases: Submission, Assignment and Assessment:

Submission

The Submission period for Evidence Portfolios and Census data extends from the end of June 2011 to 6 July 2012, with a two-week period up to 20 July 2012 being available for checking. During this period, TEOs can create EPs in the system, upload supporting NRO files, and upload Census data.

This User Guide has been developed to cover the functionality of the Submission Phase.

Note: When the system goes live, there will be a brief period before the formal Submission Phase begins, when users may be able to access the system, but functionality is limited. This is referred to as *Pre-Submission.*

Assignment and Assessment

From July through to December 2012 the Evidence Portfolios are assigned to individuals in the various Panels (the Assignment Phase), and thereafter assessed individually and in Panel meetings (the Assessment Phase).

Note: At the end of the Submission phase, there may be a period before Assignment begins. This is referred to as *Pre-Assignment.*

Validation in the PBRF QE IT System

Information submitted using the PBRF QE IT System is validated.

Validation takes place on:

- XML files on upload.
- *Draft* EPs upon submission for validation.
- *Withdrawn* EPs on reinstatement.
- CSV Census files on upload.
- NRO files on upload.

Validations include:

- Checking that an uploaded file has the correct structure.
- Checking that the file complies with the rules associated with its particular type.
- Checking that a file has a valid extension.
- Checking a researcher has a valid NSN and date of birth combination.

Files that fail structural validation, and EPs that fail validation are rejected. The results of validation processes are visible in the grid on the **Validation logs** tab, and in the logs themselves.

Validation is covered in more detail in *Creating Evidence Portfolios* (on page 23), *Uploading Census Data* (see "Census data" on page 39) and *The Validation Logs tab* (on page 19).

SECTION 2

Getting started

In this Section

Logging in via ESAA

All users of the PBRF QE IT System will first need to have an ESAA login (comprising a user name and password) that has been registered by the New Zealand Ministry of Education as granting access to the PBRF QE IT System.

If you do not have an ESAA login, you will need to apply for one by downloading the requisite form from the TEC website, and having it approved and submitted through your organisation. Even if you already have an ESAA login, it will still need to have the PBRF QE IT System and your role added to it, which also requires submitting the authorisation form to the TEC.

Once you have a correctly configured ESAA login, to log into the system:

1. From your web browser, navigate to https://www.pbrf.ac.nz.
2. Select the **Log in via ESAA** button from the side panel on the right of the page.
3. You will be redirected to the ESAA login page.
4. Enter your ESAA user name and password. Follow any instructions you may be given on the ESAA site relating to providing security questions or resetting your password.
5. On completing your login, you should be redirected back to the PBRF QE IT System. If this does not happen, you may need to repeat steps 1 to 4. This can happen when you have to renew your password, or when you very first log into the PBRF QE IT System and have to answer security questions on the ESAA site.
6. If you have more than one organisation registered against your ESAA login, you may be required to identify the ESAA context that you wish to use. Select the organisation which you are representing with regard to the 2012 PBRF Quality Evaluation.

Minimum system requirements

Browsers

The PBRF QE IT System is hosted as a web application, so to access it you will need to use a browser installed on your computer (PC or Mac) that complies with the minimum version requirements.

These are:

Internet Explorer – version 8.x or higher.

Mozilla Firefox – version 3.6 or higher.

Safari – version 5 or higher (for Mac OS 10.6).

Chrome – version 10.0 or higher

This does not mean that you cannot use any other browsers. However, you may experience problems with some functionality if you are using an earlier browser version.

Note: Users of Opera are referred to the *Troubleshooting section* (see "I cannot log in via ESAA because I am using Opera" on page 48) for a method of allowing Opera to access ESAA.

Browser settings

Regardless of which browser you are using, you will have to have JavaScript (sometimes referred to as Active Scripting) and cookies enabled. Refer to your browser's documentation as to how to do this.

Screen resolution

The PBRF QE IT System has been optimised for a minimum screen resolution of 1024 x 768 pixels. Viewing the site at a lower resolution than this may cause wrapping of screen elements and other undesirable side effects to occur.

Software for viewing NROs

The PBRF QE IT System allows for the uploading of document, audio and image files in various formats as supporting material for NROs. In order to view this material, your computer must have the capacity to display or process the file (including a video and audio card), and must also have the appropriate software.

It is beyond the scope of this guide to identify every piece of software capable of performing these functions; however some examples are set out below.

Function	Required software examples
Viewing documents in Microsoft Office formats (.doc, .docx, .xls, .ppt).	Microsoft Office or OpenOffice
Viewing documents in text or comma separated value format (.txt or .csv)	Notepad, Notepad++, Metapad
Viewing images (.jpg, .gif, .png)	Browser, Picture Manager, Paint, Pictureviewer, PhotoViewer
Viewing Adobe PDF documents (.pdf)	Adobe Reader, PDF plugins for various browsers are also available.

Video (.avi, .mp4, .m4v, .mov)	Windows Media Player, Windows Media Centre, Quicktime player, VLC media player. Note that video may be compressed using certain codecs, which may also need to be installed to view this content.
Audio (.mp3)	Windows Media Player, Media Monkey, VLC, iTunes, most audio playing software.

Navigation and common tasks

The PBRF User Interface

The PBRF QE IT System has three main means of navigation, the **Main Navigation tabs** (across the top of each page) the **Side menu** (the area on the right of the page), and, in addition, links and functionality that are contained within the grid (the main page area).

- **The Main Navigation tabs** give you access to the key functions within the PBRF QE IT System, for example to change your view from looking at Census data to looking at Evidence Portfolios.
- The **side menu** changes depending on where you are and what you are doing. This area allows you to perform functions within the PBRF QE IT System such as creating an Evidence Portfolio, viewing a report, or exporting data. The side menu may contain collections of related functionality in a **Panel**, an example of this is the **Filter By Status:** Panel that is available on the Evidence Portfolios page.

- **The grid** is the term used in this guide to describe the main body of the page when it is showing a table of list data. The grids used in the PBRF QE IT System allow for additional options for navigation and viewing data such as sorting and links to more detailed views of data.

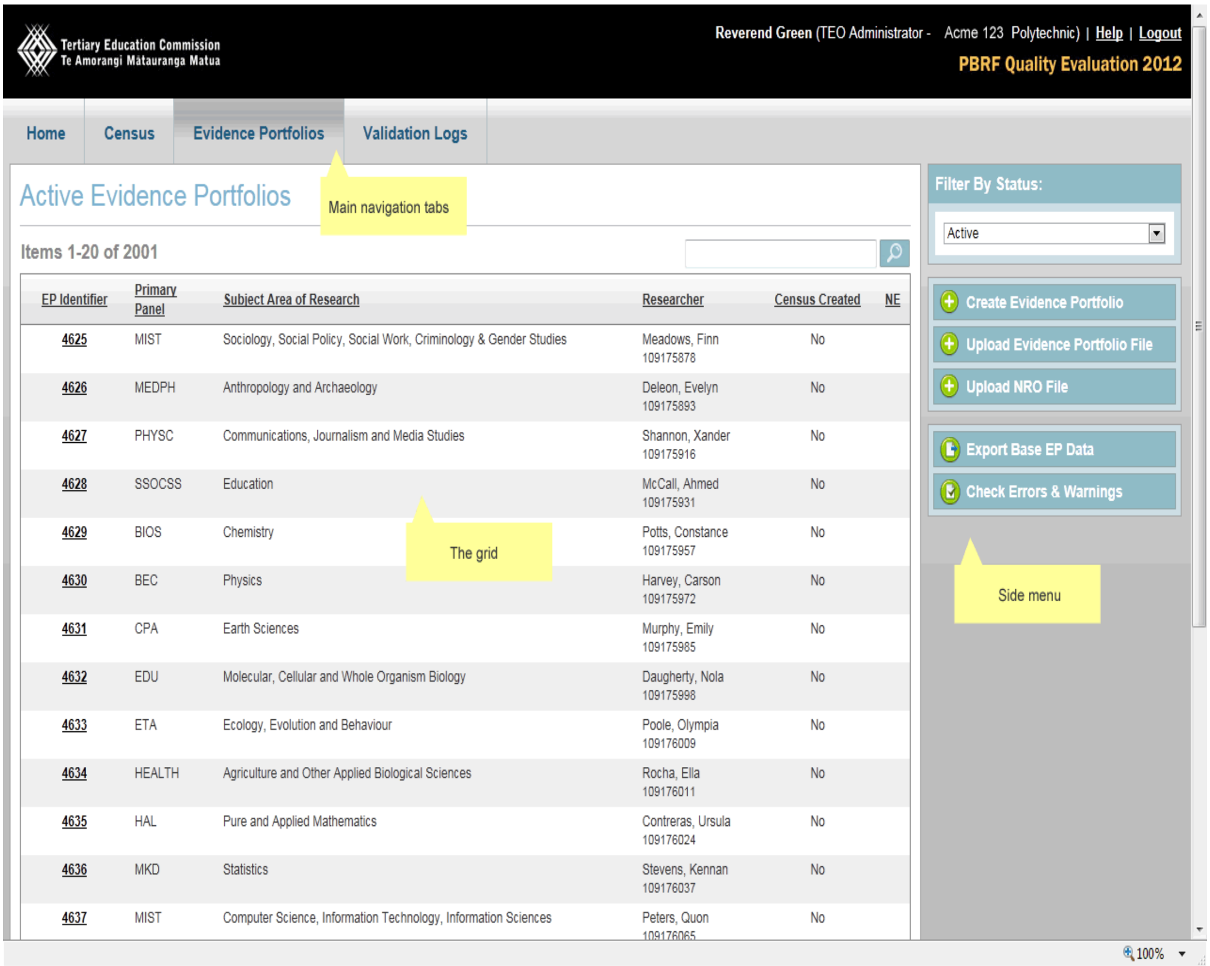

Figure 1: Screen shot of the Evidence Portfolios tab showing the main navigation elements.

Editing your details

One of the first things that you may want to do in the PBRF QE IT System is to check and edit your details in the system.

To edit your details, from the **Home** tab:

1 Select the **Edit my Details** button in the side menu.

2 You will be taken to the *Edit Profile* screen, where you can update your profile. Note that you cannot edit your ESAA user name.

3 Once complete, select the **Save** button in the side menu.

4 Should you decide to abandon your changes, select the **Cancel** button in the side menu to leave your profile unchanged.

Filtering

Many of the pages within the PBRF QE IT System allow you to filter information to restrict your view to the most relevant information. Filtering is available from the side menu dropdown, and operates on the information displayed in the grid of that page.

To filter a page:

5 Select the desired filter option from the dropdown list in the side menu.

6 The filter will be applied to the information displayed in the grid.

7 To remove the filter, select the main navigation tab of the page you are viewing (for example, the **Evidence Portfolios** tab). This will return the grid to the default view of this page.

Note: Some pages allow you to select more than one filter, in which case the actions of the filters operate in a cumulative fashion. For example, in the **Validation Logs** tab, selecting **Filter by Type**: *Evidence Portfolios* and **Filter By Status**: *Successful*, will show you only those logs that meet both these criteria (i.e. EP logs that were Successful).

Filtering also operates in conjunction with searching, to restrict the area of the search. So entering a search term in the above example, would search only for items within the filtered list.

Searching

You can search within the grids of the **Evidence Portfolios** tab, the **Census** tab, The **Panellists** tab and the **Validation Logs** tab.

To use the search function:

1 Enter all or part of the text or number that you wish to search for in the search box at the top of the grid. If searching for a **full** name (e.g. John Smith), enter it as John Smith, not Smith, John.

2 Select the search icon to the right of the search box, or press the enter key on your keyboard.

3 The grid will refresh with the results of your search. The heading of the grid will identify the number of items returned by your search and what you searched for.

Note: The PBRF QE IT System uses implied wildcards in the search functionality to increase the chances of your finding the information you want. This means that if you enter only a part of the search text or number, the PBRF QE IT System will match on that text whether it appears at the beginning, middle or end of the result returned.

For example:

Searching for . . .	. . . will return
Ros	Michael Ross, Mary Cross, Sheila Frost, Matt Crosby, Rosa Parks, Ross Shields etc.
123	12345, 56712366, or 567123

To limit the range of the items returned, increase the number of characters used in your search.

Sorting

Many of the grids allow the user to sort the contents to rearrange the material that is displayed. To sort in this manner:

1 Select the header text of a sortable column. Sortable column headers can be identified by the line that appears under them.

2 The first time a column is sorted, the column is sorted from A to Z (if alpha) or from smallest to largest (if numeric). The fact that the column is sorted is indicated in the interface by a grey highlight on the column, and an arrow next to the header text of the sorted column.

3 Selecting the column header again will sort the column in reverse order.

4 Selecting the column header a third time will return the sort order to the default.

Printing

The PBRF QE IT System will allow you to print any of the standard pages via your web browser. It is advisable to check the print preview (consult your browser's help documentation as to how to do this) when printing, to ensure that the pages are formatted as you would like them to be.

Note that when printing EP data, the pages will print exactly as formatted. For this reason, make sure that you expand the sections that you wish to see on your printed version before printing.

Exporting data

The PBRF QE IT System allows users to extract various kinds of data that have been uploaded or created, for the purpose of offline analysis. An example of this might be to create an offline record of EPs or Census data held in the system.

Generally, exporting data is simply a matter of selecting the appropriate button from the side menu. Depending on the browser you are using, this will usually allow you the choice of whether to open the file that is created, or to save it.

If opening the file, the application used to open the file will depend upon the settings of your computer. The file created by exporting data from the PBRF QE IT System is in Comma Separated Value (CSV) format, using UTF-8 encoding. These files can be opened using most text editors and applications such as Microsoft Excel.

See also: *Reports and extracts* (on page 41)

Getting help

1 Matters relating to the contents of EPs and Census data (for example, interpretation of the guidelines, PBRF processes generally, staff eligibility, forms of evidence and so on), should be referred to the TEC via email to pbrfinfo@tec.govt.nz.

2 Issues relating to using the PBRF QE IT System (for example questions about how to upload files or technical issues) can be referred to the TEC Service Centre:

- **By emailing the Service Desk directly:** At pbrfhelp@tec.govt.nz.
- **By filling out a Support Request from within the PBRF QE IT System:** Select **Help** at the top of the page to view. Once completed and submitted, the form will be sent to the TEC Service Centre and a team member will be assigned to follow up with you.
- **By phone:** If your request is urgent, you can also call the Service Centre on 0800 601 301 or +64 9 263 1735 during business hours (9 a.m. to 5 p.m. NZST / GMT +12 hours).

Logging out

To log out of the PBRF QE IT System, select the **Logout** button at the top right of the screen. You will be logged out and returned to the main entry point for the system.

Note: that after approximately 40 minutes of inactivity, you are logged out automatically as a security precaution. If this happens, you will be returned to the entry screen and will be notified of the fact that you have been logged out. Any data that has not been saved will be lost.

SECTION 3

The main navigation tabs

In this Section

The Home tab

The **Home** tab is where you will see a summary of all of the information for your organisation. This comprises:

On the left side of the page, data related to *Active* Evidence Portfolios:

- *Uploaded:* The number of *Active* Evidence Portfolios that have been created through uploaded XML files.
- *Manually entered:* The number of *Active* Evidence Portfolios that have been created through the user interface.
- *Total:* The total number of *Active* Evidence Portfolios that have been created using both methods.

On the right hand side, other statistics relating to your organisation:

- *Total Draft EPs:* The number of EPs assigned *Draft* status. These may be EPs that have not yet been submitted for validation, or that have failed validation.
- *Total Withdrawn EPs:* The number of EPs that have been withdrawn and will not go forward for assessment.
- *Total Nominated Research Output files:* The number of NRO files that have been uploaded to the secure area of the TEC repository (this includes files uploaded via FTP and the user interface).
- *Total Staff Members in Census:* The number of individuals (both PBRF eligible and PBRF ineligible) in your organisation's Census.
- *Total Researchers in Census:* The number of PBRF eligible individuals in your organisation's Census.

- *Assessable EPs (matching Researcher):* The number that will go forward for assessment (i.e. the number of *Active* EPs that have a PBRF eligible researcher identified in your organisation's Census).

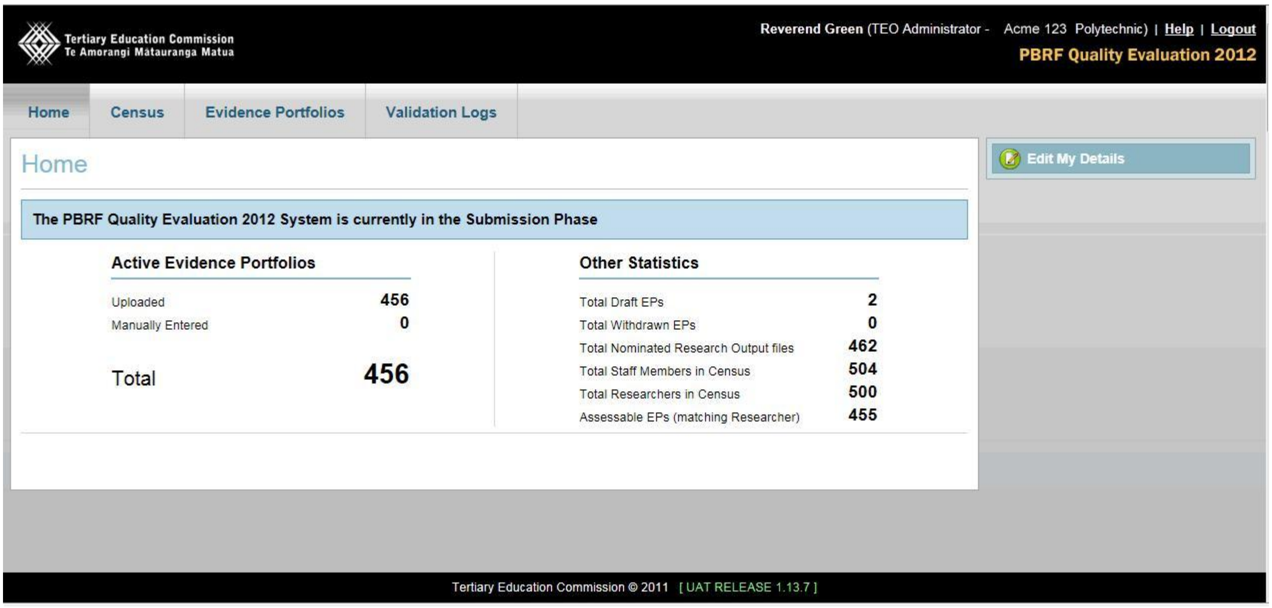

Figure 2: The Home tab.

The Census tab

The **Census** tab shows a list of all the staff members who have been created in the PBRF QE IT System as part of a Census file upload.

The grid on the **Census** tab shows the following columns (all columns can be sorted, see *Sorting* (on page 12)):

- The names of staff members in the PBRF QE IT System.
- NSN
- FTE – the full-time equivalent value recorded for this staff member.
- NE – a flag to state whether a researcher is New and Emerging.
- PBRF Eligible – a flag to state whether a researcher has been identified as PBRF Eligible.
- EP Created – a flag to state whether an Evidence Portfolio has been created for this researcher.

From the **Census** tab you can also navigate to the details of any individual staff member.

To view the details of a staff member, select their name from the grid of the **Census** tab.

The staff member's details include:

- Title and Name
- NSN
- Evidence Portfolio – whether an EP has been created for the staff member.

- Gender
- Ethnicity
- Date of Birth
- The organisation where they are employed
- Their start and end dates (if applicable)
- Nominated Academic Unit
- Position Title
- Staff Id
- Subject Area of Research
- Full Time Equivalent
- Whether they are PBRF Eligible
- Whether they are a New and Emerging Researcher
- Their First Academic Appointment Date
- Employment Contract Change Date
- The name of their Previous Organisation

The Evidence Portfolios tab

The **Evidence Portfolios** tab shows all of the Evidence Portfolios that have been created in your organisation, and allows you to access the details of any visible EP. By default, the grid in the **Evidence Portfolios** tab will show *Active* EPs, but you can filter to show *Draft* or *Withdrawn* EPs.

The grid on the **Evidence Portfolios** tab shows the following columns (all columns can be sorted, see *Sorting* (on page 12)):

- The EP identifier.
- The Primary Panel requested.
- The subject area of research identified in the EP.
- The name of the Researcher identified in the EP, and under this the researcher's NSN.
- A flag (*Census Created*) to denote the whether the researcher exists in the Census for your organisation. Note that this flag does not guarantee that the researcher has been flagged as PBRF *eligible* in the Census.
- A flag to indicate whether the researcher has been identified in the Census as New and Emerging.

To filter EPs to display *Draft* or *Withdrawn* EPs:

- From the **Evidence Portfolios** tab, select *Draft* or *Withdrawn* from the **Filter By Status:** dropdown in the side menu on the right.
- The grid will refresh to display only *Draft* or *Withdrawn* EPs, depending on your selection.
- The grid heading will also update to reflect your choice.

Searching in the EP grid:

You can search in the EP grid for:

- An EP identifier.
- The name of the Researcher identified in the EP.
- The NSN of the Researcher identified in the EP.

See also:

Searching (on page 11)

Viewing an Evidence Portfolio

To view an EP, from the **Evidence Portfolios** tab:

1 Select the EP Identifier of the EP.

2 The Evidence Portfolio window will open to show you the EP in its collapsed state*.

3 To expand a single section of the EP, select the header of the section you wish to view.

4 To expand all sections of the EP, select **Expand All** at the top or bottom of the EP.

5 To collapse all sections of the EP, select **Collapse All** at the top or bottom of the EP.

*Note that *Figure 3* shows the *Researcher Details* section in its expanded state.

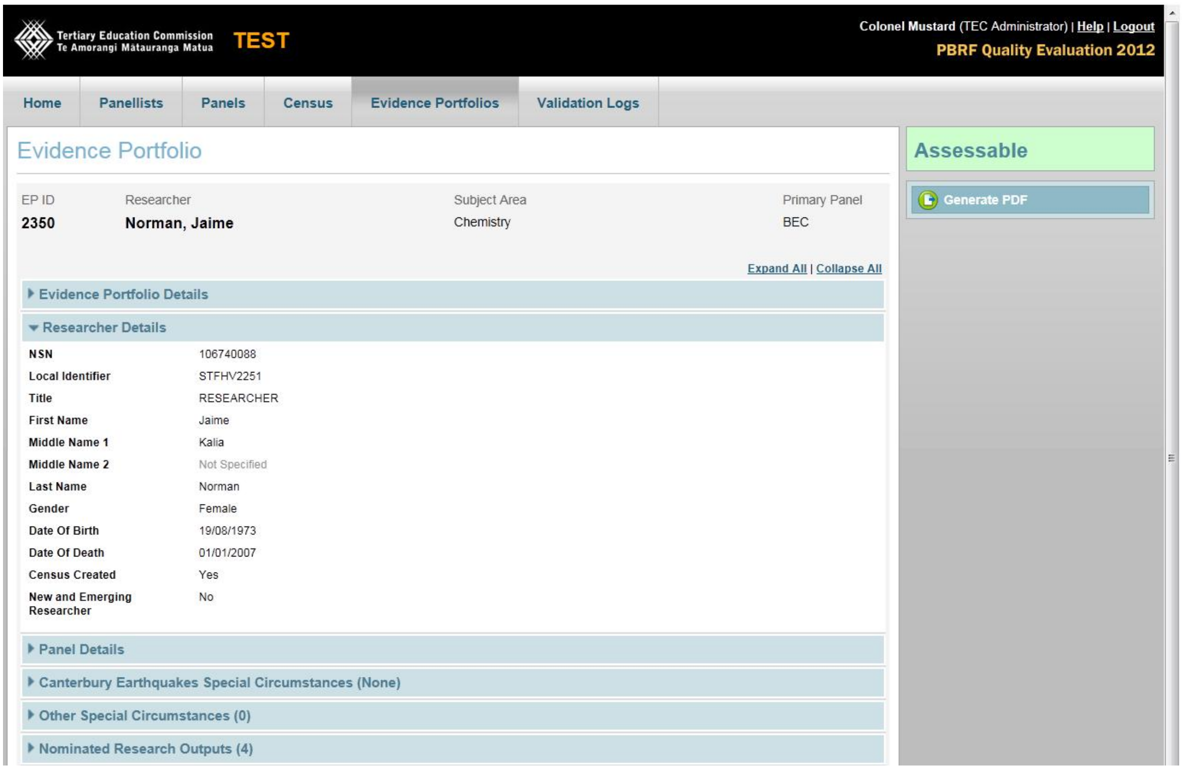

Figure 3: The Evidence Portfolio Details screen.

The Validation Logs tab

The **Validation Logs** tab is where all information relating to the validation of Evidence Portfolios, Census data and file uploads can be seen.

The validation process

Validation is the process by which all files and uploads are checked.

As can be seen from *Figure 4*, below, validation takes place on:

- XML files on upload.
- *Draft* EPs upon submission for validation.
- *Withdrawn* EPs on reinstatement.
- CSV Census files on upload.

In addition, NRO files are checked to see whether they have the correct extension, or carry any viruses, when they are uploaded to the system by the user interface or by FTP.

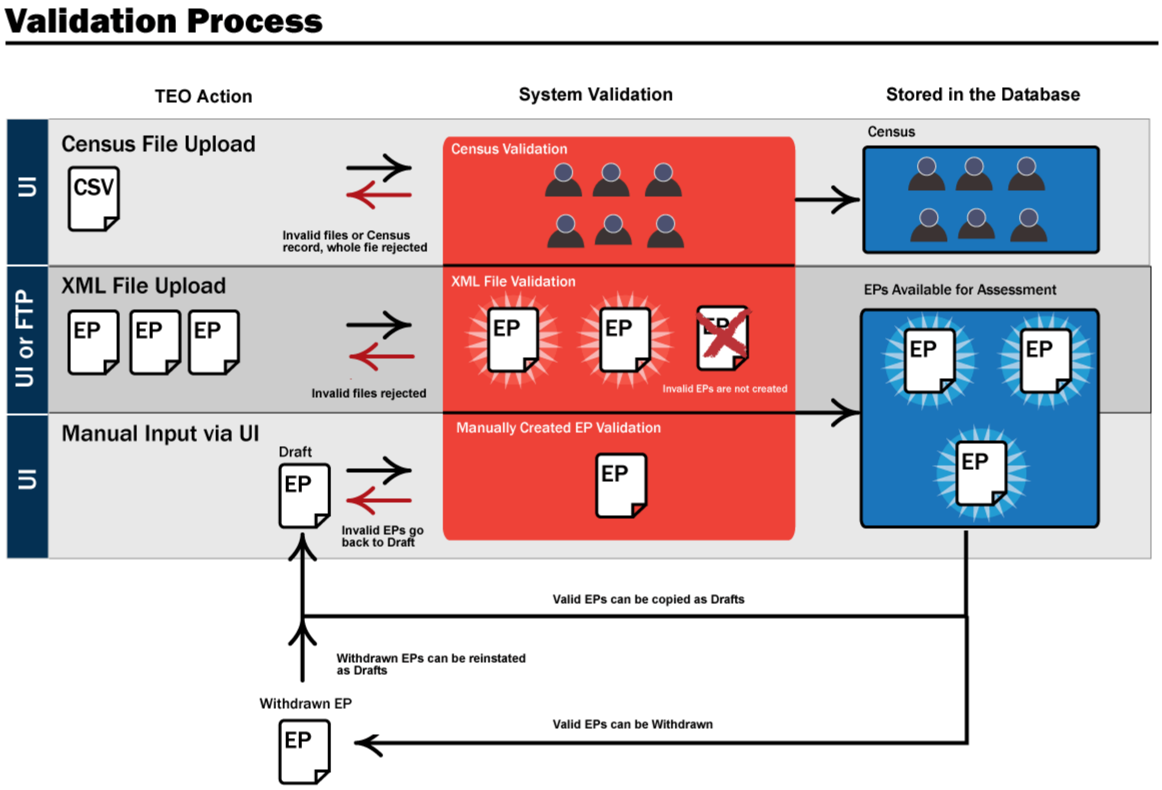

Figure 4: The validation process for Census and EP files.

The results of validation are displayed in the grid of the **Validation Logs** tab, and in greater detail in the log files themselves.

Evidence Portfolio, Census and NRO file validation statuses

The status of any file uploaded to the PBRF QE IT System can be seen in the grid on the **Validation logs** tab.

Validation log statuses

Pending		*Pending* files have been logged by the system and are queued for validation. It is possible for a file to be returned to a *Pending* status after a period of *Processing*.
Processing		*Processing* files are being validated. This may be a validation of the structure of the file, or a more detailed validation process including validation against the NSI. It is for this reason that a file may be *Processing* for a period, then may return to a *Pending* status, and then return to *Processing*.
Successful		A Census, XML or NRO file that was completely successful (i.e. the Census file passed validation and all of the staff members have been created, or all of the EPs in an XML file passed validation and have been created, or the NRO file was accepted into the repository), will be assigned the status of *Successful*.
Unsuccessful		A Census, XML, or NRO file that was wholly unsuccessful (i.e. the Census file failed validation, or all of the EPs in an XML file failed validation, or the NRO file was rejected), will be assigned the status of *Unsuccessful*.
Warnings		An XML file that was partially unsuccessful (i.e. some of the EPs failed validation, while some passed) will be assigned the status of *Warnings*.
Cancelled		If, while processing a file, either: ▪ Another file has been uploaded with the same EP ID (in the case of an XML file); or ▪ Another Census file is uploaded for the same organisation, The system will attempt to Cancel the first file (on the basis that a later EP or Census file will always overwrite the first file in these circumstances). The original file will be assigned the status of *Cancelled*.

Viewing validation logs

In addition to the statuses that are shown in the grid of the **Validation Logs** tab, further details of the validation process can be found in the validation log of each file.

To access the validation log, select the **View Log** link for the file, on the right of the grid. The validation log will open in a new window.

Note: The log file attempts to provide as much information as possible for you to correct any issues that may have been identified during validation. However, where the error was one of file structure (i.e. too many or two few columns), or an illegal character stops the file processing, it may not be possible to show exactly where the error occurred, or to guarantee that the file has finished processing and all errors have been reported.

Log files provide a summary of all activities relating to the uploaded file. This includes:

- The name of the file
- Its overall status
- The date and time the log was created.
- File check: The outcome of the validation check on the structure of the file.
- Data check: The outcome of the validation of the other rules applicable for the file.
- The date and time the log was last updated.

In the case of an XML file, a summary of each of the EPs that have been processed in the XML file and the result of their validation.

Tip: If you have a large, partially successful XML file (i.e. a file with *Warnings*), you can find the EPs that failed validation by searching for the word "Unsuccessful" in the log file for the XML upload.

The Auto-Refresh checkbox

New files uploaded to the PBRF QE IT System can be viewed by selecting the main **Validation Logs** tab or pressing *Control* + *F5* on your keyboard to refresh the page. You can, however, automate the page refresh process by selecting the **Auto-Refresh** checkbox at the top of the **Validation Logs** tab, which will automatically refresh the grid every 10 seconds.

Filtering validation logs

The Validation Logs grid shows the results of every uploaded file within your organisation, with the most recent files being sorted to the top by default.

If you wish to filter the only a specific type of log result, you can use the filters in the side menu on the right:

Filter by Type allows you to restrict the view to only uploads of a certain type (e.g. Census uploads).

Filter By Status allows you to restrict the view to only uploads that had a certain outcome (e.g. *Warnings and Unsuccessful*).

Tip: You can select more than one filter, in which case the actions of the filters operate in a cumulative fashion. For example, selecting **Filter by Type**: *Evidence Portfolios* and **Filter By Status**: *Successful*, will show you only those logs that meet both these criteria.

Filtering also operates in conjunction with searching, to restrict the area of the search. For example entering a search term in the above example, would search only for items within the filtered list.

SECTION 4

Creating Evidence Portfolios

In this Section

Overview

The creation of Evidence Portfolios is one of the most significant processes in the 2012 PBRF Quality Evaluation. While it has been made as simple as possible, there are some key concepts you need to understand before addressing the specifics of how to create your Evidence Portfolio.

Key concepts

1) Evidence Portfolios can be created manually, or via XML, or by a combination of both of these methods.

The **manual creation** of an Evidence Portfolio involves filling in the information relating to the EP in an online form. You begin by creating and saving the initial core information of the Evidence Portfolio (the EP ID, and associated information, details for the researcher and the Panels), and then go on to add any Special Circumstances, NROs, OROs, PEs, and CREs. Once you are satisfied that the Evidence Portfolio is complete, you can submit it for validation, and, if successful, it will become visible as an active Evidence Portfolio. Files referenced in the NROs can be uploaded via the web interface, and once uploaded, will become accessible from the EP. Finally, once the EP's researcher details have been uploaded as part of the PBRF Census, the EP will be complete and ready to go forward for assessment.

Creating Evidence Portfolios **using XML** simplifies the process for those institutions that have the capacity to prepare EP data in XML format. Once the XML file has been prepared (and, preferably, validated against the supplied XSD), the file may be uploaded via the web interface or using an FTP client. Once uploaded, the XML file is validated against the XSD in the PBRF QE IT System, and against some additional rules that cannot be checked by the XSD.

Any EPs within the XML file that fail validation will not be accepted into the PBRF QE IT System, but those that pass validation will be loaded into the database and will be visible under the main **Evidence Portfolios** tab. Supporting files for the NROs can also be uploaded by FTP, or via the web interface.

Regardless of the manner in which the EP was created, the EP's Researcher details must also be reflected in the Census information for the submitting organisation before the EP is considered to be complete and ready to go forward for assessment.

2) Only EPs that are created manually within the PBRF QE IT System can be edited online.

The two options of creating an Evidence Portfolio have a significant difference in the manner in which they can be edited.

- Manually created EPs can be copied with a *Draft* status and edited.
- EPs that have been created by uploading an XML file can **only** be edited by correcting the source data and uploading the EP again.

The reason for this is to ensure that any errors that are found in the EP are corrected in the TEO's source data (usually drawn from a research management system).

Note that the system further requires that all XML files are assigned unique names (i.e. to preserve the audit trail, you cannot upload an XML file with the same name twice).

3) EPs in the PBRF QE IT System can have one of three statuses

Evidence Portfolio statuses	
Active	*Active* Evidence Portfolios have successfully passed validation and, if matched by a Researcher in the Census, will be made available for assessment after the close of the Submission period.
Draft	*Draft* Evidence Portfolios are manually created EPs that have either not been submitted for validation, or have been submitted and have failed validation. *Draft* EPs will **not** be made available for assessment after the close of the Submission period.
Withdrawn	*Withdrawn* Evidence Portfolios have passed validation and been made *Active*, but have subsequently been withdrawn. *Withdrawn* EPs will **not** be made available for assessment after the close of the Submission period.

4) Only EPs with a Draft status can be edited.

Evidence Portfolios that have been manually created, can be edited online to correct or supplement the data contained in them. The process for doing this depends upon whether they have passed validation or not. The easiest rule to remember regarding this process is that *only EPs with a status of Draft can be edited.*

If an EP entered via the user interface has not been submitted, or has not passed validation, it will always have the status of *Draft* and so will be able to be edited. However, once a *Draft* EP has been submitted and has successfully passed validation, it will be assigned the status of *Active* (i.e. it will not be able to be edited). In order to edit an *Active* EP, you must first make a copy (which will automatically have a *Draft* status), then edit the copy and resubmit it for validation. This copy (along with its edits) will replace the original EP once it too has gone through the validation process.

5) Any Evidence Portfolio created in the PBRF QE IT System can be withdrawn and reinstated.

Once created, EPs are not deleted from the PBRF QE IT System, but can be withdrawn so that they are not put forward for assessment. This process is not irrevocable, as any EP that has been withdrawn may be reinstated.

Creating EPs using XML

This section addresses the process of using the PBRF QE IT System to create EPs by uploading an XML file (through an FTP client, or via the user interface).

Uploading XML and NRO files using FTP

If you are uploading a large number of NRO files, you will probably wish to make use of the FTP server. FTP is a more efficient way of uploading files, and a large number can be selected at one time – whereas files can only be uploaded five at a time through the user interface.

If you have not already done so, please refer to the *Overview of creating Evidence Portfolios* (see "Overview" on page 23). This section assumes that the reader:

- Is familiar with the basic concepts of what an XML file is, what an XSD is, and what the various components of an Evidence Portfolio are.
- Has familiarised themselves with the *PBRF 2012 Evidence Portfolio Schema*.
- Has created an XML file in accordance with the PBRF 2012 Evidence Portfolio Schema (or has been supplied with such a file), and that this file has been validated against the supplied XSD.
- Has assembled some or all of any supporting files for NROs that are referenced in the XML.
- If using FTP to upload the XML file (XML files can be uploaded through the user interface as well), has installed an FTP client (such as Filezilla).

FTP settings and clients

The *PBRF 2012 Evidence Portfolio Schema* outline the requirements for an FTP client to be able to connect to the PBRF QE IT System. You will have to have installed a compatible client, and your organisational firewall must allow you to use the required ports to communicate via the FTP protocol (The *troubleshooting section* (see "I cannot connect to the FTP server" on page 46) has a more detailed description of the ports that are needed).

The following settings are supplied as a general guide to connecting to the PBRF QE IT System FTP server. Since there are a large number of applications (clients) that can be used for this purpose, you may need to consult your application’s documentation or ask for assistance from your organisation’s helpdesk if you cannot connect using these settings.

Screenshots displayed here are from the open source FTP client Filezilla, which can be downloaded free of charge from http://filezilla-project.org/.

Once you have started your FTP client, you should have the option of using a Site Manager (or Connections Manager) to create a new set of settings for your connection.

Use the following settings:

Host: *ftp.pbrf.ac.nz* (ftp://ftp.pbrf.ac.nz)

Port: Leave blank

***Protocol:** FTP

†**Encryption:** Require explicit FTP over TLS

Logon type: Normal

User: The user name supplied to you by the TEC

Password: The password supplied to you by the TEC

Account: Leave blank

* In some FTP clients, the protocol is combined and expressed as FTP (Explicit FTP over TLS/SSL).

† This is **not** the same as SFTP, or FTP over SSH, although it is possible to use FTPES if your client settings permit it.

All other settings should, if possible, be left at their default.

Once you have entered your settings, you can attempt to make a connection to the PBRF QE IT System. If you are successful, your screen should show you something like *Figure 5*, below.

The right-hand side of the screen here represents the TEC server, and the left-hand side represents your own computer. On the server, you will see two folders, Evidence Portfolios and NROs, and a text file that should correspond with the name and EDUMIS number of your organisation.

Note: In the unlikely event that the file identifies a different organisation, please contact the TEC Service Centre immediately on 0800 601 301 or +64 9 263 1735.

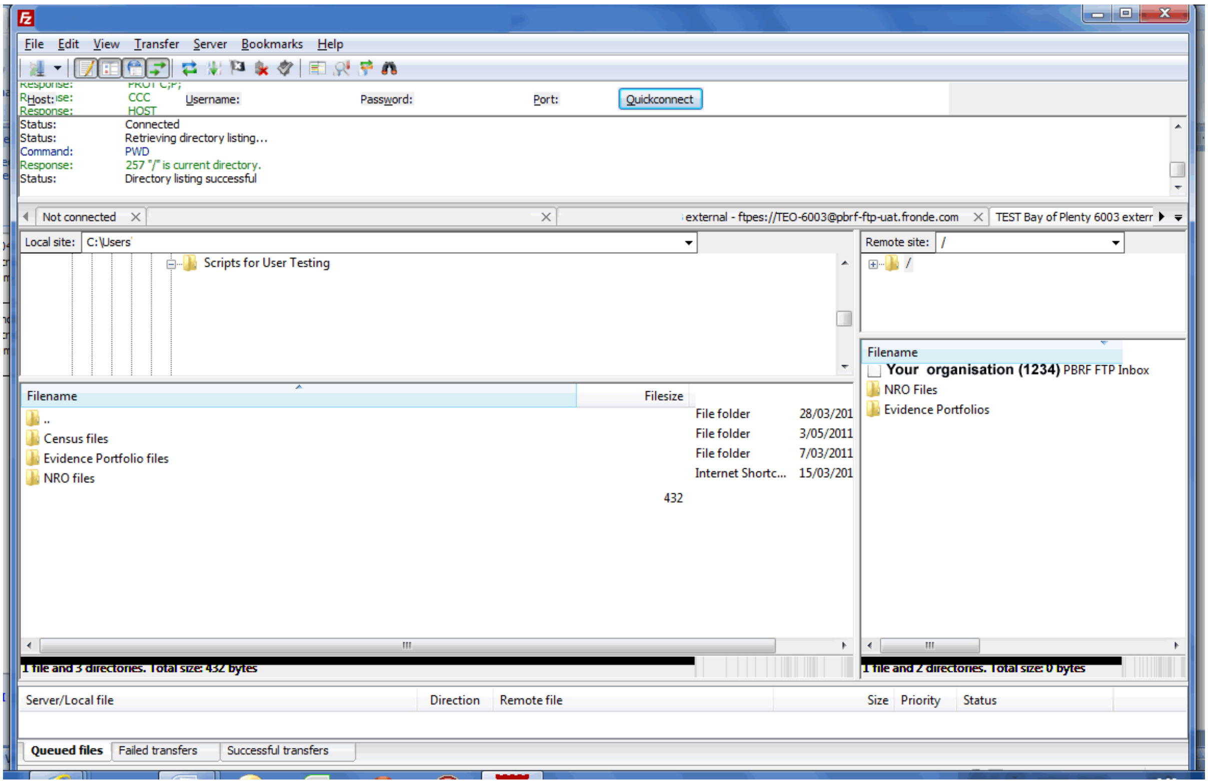

Figure 5: FTP connection established to the server.

Uploading XML and NRO files

To upload an XML file to the server, once you have established an FTP connection:

1 Navigate to the XML you wish to upload on your computer.

2 Drag the file to the Evidence Portfolios folder on the server, or, alternatively, open the Evidence Portfolios folder on the server, and double click on the file you wish to upload.

3 Depending on your settings, your FTP client should show you the progress of the file being uploaded. The length of time this will take will depend on the size of the file and the speed of your internet connection.

4 Once the file has been uploaded, you can safely close your FTP client.

5 You can now navigate to the **Validation Logs** tab in the PBRF QE IT System, where your file should appear within a few minutes.

Note: The XML file you upload will have to be different from any previously uploaded file, as the system requires unique file names within an organisation.

To upload an NRO file to the server, follow the same process as with uploading an XML file, but place the file in the NROs folder. You can drag files singly or can select multiple files.

Tip: You cannot drag folders onto the server, however you can open a folder, select all of its contents (usually Control + A) then drag the contents to the server.

Uploading XML and NRO files via the user interface

XML files

XML files must be prepared in accordance with the PBRF 2012 Evidence Portfolio Schema, and should be validated against the XSD supplied by the TEC.

Note: The XML file you upload will have to be different from any previously uploaded file, as the system requires unique file names within an organisation.

To upload an XML file from the user interface:

1 From the **Evidence Portfolios** tab, select the **Upload Evidence Portfolio** button from the side menu on the right.

2 The *Evidence Portfolio Upload* window will open.

3 Select the **Select File** button, then navigate to and select the XML file you wish to upload.

4 Select the **Submit File** button from the side menu on the right to upload your file.

5 You will see a progress bar that lets you know how your file upload is progressing. If your file is very small this may show briefly.

6 Once you upload has completed, you will see a message advising you of the fact, and you will be redirected to the **Validation Logs** tab where you can check if your XML file passes validation successfully.

Once your file has been validated, any EPs created from it will appear under the **Evidence Portfolios** tab as *Active* Evidence Portfolios.

See also:

Validation in the PBRF QE IT System (on page 5)

NRO files

NRO files are the files that support the Nominated Research Outputs (NROs) of an EP. These files are referenced in the NRO either:

- by including their name (for example *myresearch.pdf*) in the URI section of the NRO, and then uploading the file with the same name to the PBRF QE IT System; or
- including a valid reference to a file available on the internet in the form of a URI (for example, http://www.myresearch.pdf).

Files that are to be uploaded to the PBRF QE IT System:

1 Must have one of the approved file extensions. This includes files that are created on systems that hide or do not require file extensions (such as Macintosh OS).

2 Must be checked for viruses and malware. Although the PBRF QE IT System checks all uploaded files, it is the responsibility of users to scan files before uploading them.

3 Should be of a size that allows for later viewing or downloading over a normal internet connection by the Panellist. This primarily refers to large video files and is a matter of common sense. If a file takes you an hour to upload to the system, it is unlikely to be able to be viewed in any meaningful fashion by the Panellist. Suggestions for reducing the size of large files include:

- Compressing the file using an efficient codec such as Xdiv.
- Reducing the frame rate or resolution.
- Uploading representative sections of a whole video rather than the entire video.

To upload an NRO file from the web interface, from the **Evidence Portfolios** tab:

1 Select the **Upload NRO File** button from the side menu on the right.

2 The *Nominated Research Output Uploads* window will open. Choose the file you wish to upload, using the **Select** button in the main content area.

3 You can add up to five files to a single upload. Use the **Add** button to create another file upload section.

4 When you have reached the maximum number of files, or have selected all the files you wish to upload, select the **Submit Selected Files** button in the side menu on the right.

5 You will see a progress bar that lets you know how your file upload is progressing. If your file is very small this may show only for a brief flash.

6 Once you upload has completed, you will see a message advising you of the fact, and you will be redirected to the **Validation Logs** tab where you can check that your file passes validation successfully.

7 If your file has been validated successfully, the file name in the **Validation Logs** grid turns into a link that allows you to view the file from the PBRF QE IT System if you need to confirm its successful upload.

Note: The transfer mechanisms available for the web interface are a less efficient way of uploading large files or large numbers of files. For this reason, it is recommended that the total size of each upload is kept to below 100 megabytes. While this is not an absolute requirement, uploading very large files through this method may not be successful. If you wish to upload larger files or larger numbers of files, please use the FTP process (*Uploading XML and NRO files using FTP* (on page 25)).

Creating EPs from the user interface

This section addresses the process of using the PBRF QE IT System to create EPs manually by filling in an online form. If you have not already done so, please refer to *Key concepts* (on page 23). This section assumes that the reader:

- Is familiar with the basic concepts of what the various components of an Evidence Portfolio are.
- Has familiarised themselves with the requirements for an EP as described in the PBRF 2012 Evidence Portfolio Schema.
- Has assembled at least the basic information that is to be entered into the EP.
- Has assembled some or all of any supporting files for NROs that are referenced in the XML.

You begin the process of creating an Evidence Portfolio manually by entering the core information about an EP, i.e. the minimum set of information that is needed by the PBRF QE IT System to save an Evidence Portfolio. For the purposes of this document we will refer to this as the core EP, comprising:

- A unique Evidence Portfolio Identifier for the Evidence Portfolio you are creating
- The NSN, First and Last Names and date of birth of the Researcher
- The primary Panel requested for the Evidence Portfolio
- The primary subject area of the Evidence Portfolio.
- The field of research description.

Note: When selecting a panel, the PBRF QE IT System does not constrain the available choices to only those that are recommended for the selected Panel in the *2012 PBRF Quality Evaluation Guidelines.* This is because, while assignments of particular research areas to certain Panels is advisable, it is not an absolute requirement.

To create a core EP:

1 Select the **Create Evidence Portfolio** button from the side menu on the right.

2 The *Create Evidence Portfolio* window will open. Enter in the *Evidence Portfolio Details, Researcher Details* and *Panel Details* into the form. Mandatory fields are denoted with a red asterisk (*****). While entering the data, refer to the *Tips* Panel in the side menu for some helpful information on filling in the form.

3 Once you have completed the form, select **Save** from the side menu. Your core Evidence Portfolio will be saved and you will be taken to the *Draft* of the Evidence Portfolio.

4 From the core EP, you have the option of adding NRO, ORO, PE and CRE components to the Evidence Portfolio. Further tips are available for each type of component, to assist you in filling in your content.

5 After completing each component, select **Save** from the side menu to save your data. If you have made any errors, you will be prompted to correct them before the component can be saved.

6 Once you have fulfilled the minimum requirement for an Evidence Portfolio (the core EP details and a single NRO), the **Submit for Validation** button will appear at the top of the side menu. When you have completed the Evidence Portfolio, select the **Submit for Validation** button to have the contents of the EP validated.

Note: Your Evidence Portfolio data is saved every time you select the **Save** button. If you cannot complete the Evidence Portfolio in one sitting, your data will be retained until you return to complete it. In this case, you will need to filter the **Evidence Portfolios** tab to view only EPs with *Draft* statuses.

See also:

Editing HTML components in an EP (see "Editing HTML components" on page 31)

Evidence Portfolio and validation statuses (see "Evidence Portfolio, Census and NRO file validation statuses" on page 20)

Validation in the PBRF QE IT System (on page 5)

Changing the preferred order of assessment

The preferred order of assessment is represented in the PBRF QE IT System by the order in which Special Circumstances, NROs, OROs, PEs, or CREs appear under their respective headings. For files that are uploaded via XML, this is stipulated in the XML file and can only be changed by uploading another file with the same EP incorporating different ordering in the *PreferredOrderOfAssessment* element. In manually created Evidence Portfolios, the order of these components can be changed in the interface.

To change the preferred order of assessment:

1 While editing the EP, select the heading of the components you wish to reorder.

2 Select the **Change Order of Assessment** dropdown at the top of the component you wish to reorder, and select the number representing the position you wish to move the component **to**.

3 The component will move to the position selected, and the other components will reorder themselves accordingly.

4 Repeat this action until the components are in the order in which you wish to have them assessed.

Editing HTML components

Within an EP, some fields allow the use of HTML in them (see section 1.5 of the *PBRF 2012 Evidence Portfolio Schema*).

These fields are:

- Other Comments (in the EP)
- Title (in NROs)
- Source (in NROs)
- My Contribution Description (in NROs)
- Description (in NROs)
- Description (in OROs)
- Description (in PEs)
- Description (in CREs).

In an XML file, these fields are formatted as per the *PBRF 2012 Evidence Portfolio Schema*, but when creating an Evidence Portfolio from the user interface, an HTML editing component is added to each field that allows the use of HTML (see *Figure 6*, below).

The following functions can be performed in an HTML field.

Manual WYSIWYG editing of text

Much like a word processor, text can be typed and formatted in the text box using the formatting buttons. These include applying fonts, font sizes, alignment, super- and sub-script, bullets and numbering.

Copying and pasting from MS Word or another word processing application.

1 Copy the text in your word processing application, then place your cursor in the field where you wish to paste it.

2 Press Control + V on your keyboard to paste, or use the **Paste** button. Alternatively use the paste buttons at the top of the field to paste the text (see *Figure 6*, below)

Manually editing HTML tags or pasting in HTML code.

1 Select the HTML tab below the field where you wish to create or paste your HTML code.

2 Create your HTML or paste it into the field.

3 Preview your HTML as it will appear when saved by selecting the **Preview** tab below the field.

Other functions

Other functions available from the HTML editing component are:

- Undo/Redo
- Paste from Word
- Paste from Word, stipping font attributes.
- Paste plain text (removing all formatting)
- Stripping format selectively from text (e.g. stripping only <font> elements, CSS, <span> elements, or "cleaning" Word HTML).
- Adding tables.
- Inserting Special Characters.
- Toggling full screen mode (Tip, select F11 on your keyboard to return to the regular view).

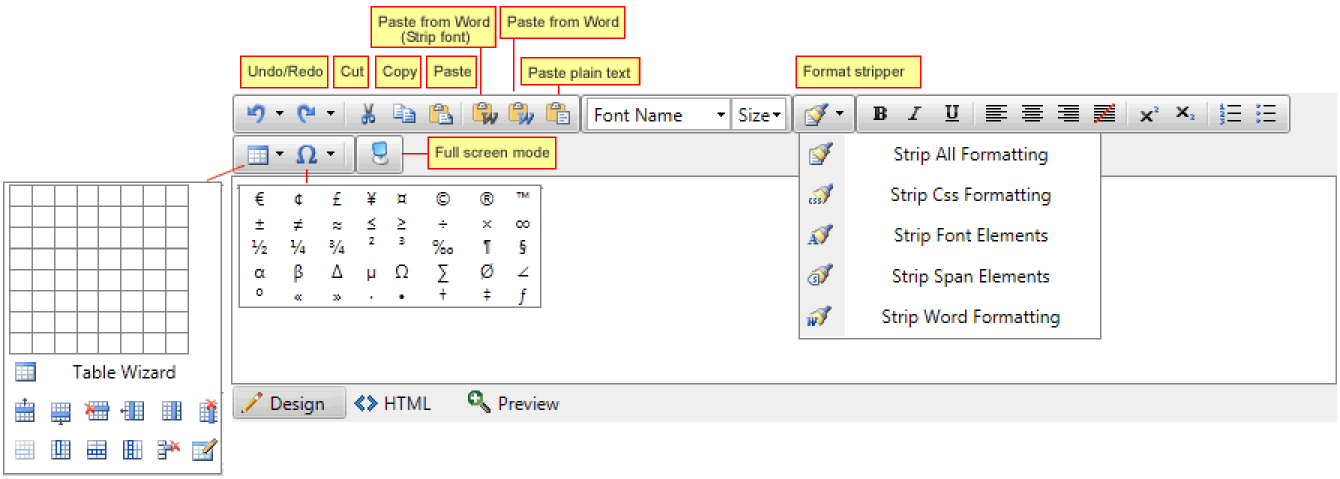

Figure 6: The HTML editing component.

Entering URIs

Within the NROs section of an EP, up to five URIs can be entered for each NRO. A URI can be:

A reference to a file that has been or will be uploaded to the PBRF QE IT System. In this case, enter only the name and extension of the file you wish to reference in one of the URI fields (for example *myresearch.pdf)*. The URIs will display in the order in which they are entered.

A link to a file that is available on the internet. In this case, enter or paste in the address of the file, noting that:

- The address must be directly to a file or page that represents the NRO (not to a page of other links).
- The address must not be secured by any user names or passwords and must be freely available to someone outside of the submitting organisation (i.e. not on a secured intranet site).
- Any spaces in the address will have to be replaced with `%20` in order to be accepted into the PBRF QE IT System.

Inputting dates

When creating an Evidence Portfolio from the user interface, dates relating to the Researcher can be entered in one of two ways:

1 Directly into the date field, in the format DD/MM/YYYY (08/06/2011)

2 By using the date picker.

The date picker is opened by selecting the calendar icon to the right of the date field (see below). Select the date you wish from the calendar, navigating by using the forward and back arrows.

If you wish to select a year that is some time in the past, click on the month in the header bar of the calendar to open the year navigator, which allows you to move forwards and backwards ten years at a time.

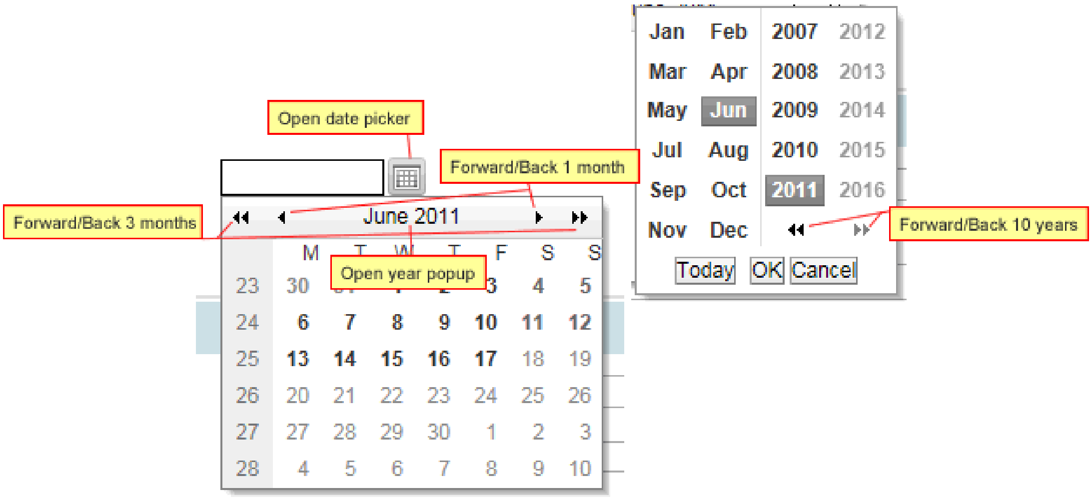

Figure 7: The date picker and year popup.

Removing a component

To remove a component (Special Circumstance, NRO, ORO, PE or CRE), from the *Draft* version of the EP:

1. Select the **Edit** link for the component you wish to remove. The component will open for editing.
2. Select the **Remove this entry from the EP?** checkbox to the right of the header of the component.
3. Select **Save** from the side menu on the right or the foot of the page.
4. The EP will be saved without the selected component.

Note: Removing a component from an EP may invalidate its eligibility for submission. For example, an EP with OROs must have all four NROs, so removing an NRO from such an EP would mean that it would not be able to be submitted until either all the OROs were also removed, or an additional NRO was created.

SECTION 5

Editing EPs

In this Section

Editing EPs created using XML

EPs that have been created through an XML upload can only be updated by another XML upload.

To edit an EP that has been created in the PBRF QE IT System via XML, upload an XML file containing an EP that uses the same Evidence Portfolio ID (in the <EvidencePortfolioID> component).

Note: The XML file you upload will have to be different from any previously uploaded file, as the system requires unique file names within an organisation to maintain the audit trail.

When the PBRF QE IT System processes an XML file that references an EP with an existing Evidence Portfolio ID, it will:

- If the existing EP is *Active*, update the existing EP with the new data in the XML file.
- If the existing file is *Withdrawn*, resubmit the *Withdrawn* EP with the new data from the XML file.

If a manually created EP exists in an *Active* or *Draft* state, the PBRF QE IT System will not permit you to create or overwrite it by uploading an XML file. This is to prevent the accidental overwriting of EPs in the system. In this case, you will either have to:

- Withdraw the *Active* Evidence Portfolio; or
- Discard the *Draft* EP; or
- Change the Evidence Portfolio ID of the EP in the XML file.

Editing an EP created from the user interface

There are two circumstances in which you may wish to edit a manually created Evidence Portfolio.

Either:

- The EP has not yet passed validation (either through not being submitted for validation, or through having failed validation). In this case the EP will have the status of *Draft*.
- The EP has been submitted for validation and has passed validation. In this case the Evidence Portfolio will have the status of *Active*.

More information is available under *Evidence Portfolio and validation statuses* (see "Evidence Portfolio, Census and NRO file validation statuses" on page 20).

Editing a Draft EP

Editing a *Draft* EP is the simplest option, because it is already in *Draft* status (only *Draft* Evidence Portfolios can be edited).

1. From the **Evidence Portfolios** tab, use the **Filter By Status:** dropdown to select *Draft*.
2. The page heading will change to *Draft Evidence Portfolios*, and the Evidence Portfolio grid will refresh to show all EPs that have the *Draft* status.
3. Select the EP that you wish to edit by clicking on its EP Identifier.
4. To edit Evidence Portfolio Details, Researcher Details, or Panel Details, select the **Edit** link next to the applicable heading.
5. To edit Special Circumstances, NROs, OROs, PEs, or CREs, first select the appropriate heading, then select the **Edit** link next to the component you wish to edit.
6. To create a new Special Circumstance, NRO, ORO, PE, or CRE, select the **Add** link in the heading next to the appropriate component.
7. When you have completed editing the component, select the **Save** button in the side panel on the right. Alternatively select the **Cancel** button to abandon your changes.

Editing an Active Evidence Portfolio

Editing an *Active* EP requires three steps. First, a copy of the EP is made as a *Draft*. Next, the *Draft* EP is edited. Finally, the EP is submitted for validation, when, if it is successfully validated, it will replace the original EP.

To copy an EP as a *Draft*:

1. From the **Evidence Portfolios** tab, select the EP that you wish to edit by clicking on the EP Identifier.
2. Select the **Copy as Draft** button from the side menu on the right (if the EP was created by using an XML upload, the **Copy as Draft** button will not be displayed. See *Editing EPs created using XML* (on page 35)).
3. You will be prompted to ask if you want to make a copy. Select **OK.**
4. Your action will be confirmed, and you will be redirected to the *Draft* you have just created.

Edit the *Draft* as normal, and when you have completed your change, select the **Submit for Validation** button form the side menu on the right.

Discarding a Draft

If at any point you wish to discard your changes and leave the original EP unchanged, select the **Discard Draft** button from the side menu on the right. This will remove the *Draft* EP and your original EP will remain unchanged.

Withdrawing an Evidence Portfolio

If, for any reason, you do not wish an *Active* Evidence Portfolio to be put forward for assessment, you may withdraw it.

Note: *Draft* EPs do not need to be withdrawn as only *Active* EPs will be assessed.

To withdraw an EP:

1 From the **Evidence Portfolios** tab, select the EP Identifier of the Evidence Portfolio you wish to withdraw. The Evidence Portfolio details window will open.

2 Select the **Withdraw Evidence Portfolio** button from the side menu on the right.

3 You will be prompted to make sure that you wish to withdraw the Evidence Portfolio. Select **OK.**

4 You will be shown a confirmation message that the Evidence Portfolio has been withdrawn.

Reinstating a Withdrawn Evidence Portfolio

If you wish to have an Evidence Portfolio that was previously withdrawn go forward for assessment, you may reinstate it and, assuming it passes validation, it will return to *Active* status.

To reinstate a withdrawn EP:

1 From the **Evidence Portfolios** tab, use the **Filter By Status:** dropdown to select *Withdrawn*.

2 The page heading will change to *Withdrawn Evidence Portfolios*, and the Evidence Portfolio grid will refresh to show all EPs that have the *Withdrawn* status.

3 Select the EP that you wish to edit by clicking on its EP Identifier. The Evidence Portfolio details window will open.

4 Select the **Reinstate Evidence Portfolio** button from the side menu on the right.

5 You will be shown a confirmation message that the Evidence Portfolio has been queued for validation. If the Evidence Portfolio passes validation, it will appear under the **Evidence Portfolios** tab as an *Active* EP.

See also:

Evidence Portfolio and validation statuses (see "Evidence Portfolio, Census and NRO file validation statuses" on page 20)

SECTION 6

Census data

In this Section

Overview

Census data is uploaded to the PBRF QE IT System in CSV format. This enables easier exporting from source HR systems, and editing and maintenance of the Census data in commonly used applications such as Microsoft Excel.

There are two essential prerequisites to successfully uploading a Census file:

- The file must have the correct structure, and must comply with the requirements identified in the PBRF 2012 Census Data Definition.
- The file must have the .CSV extension (for example myCensusdata.csv).

When the file is uploaded to the PBRF QE IT System, it will first be checked for structure, then to ensure that it meets the requirements identified in the PBRF 2012 Census Data Definition - for example that all NSNs must be a master record and must match the date of birth held at the NSI.

If the file passes all of these checks, the file will replace any current Census data that is held for the uploading TEO. If the file does not pass all of the checks, then the entire file will fail, and no changes will be made to the Census records of the uploading TEO.

Note: Census files do not add to existing Census records, they replace them. This means that, potentially, an Evidence Portfolio can be made ineligible for assessment by uploading a file without the EP's researcher in it. If you wish to check the status of your EPs against the Census, you are advised to run *the Evidence Portfolio Errors and Warnings Report* (on page 41).

Uploading Census files

To upload a Census file:

From either the **Census** or **Validation Logs** tab, select the **Upload Census File** button from the side menu on the right.

1 The *Census Upload* window will open.

2 Select the **Select File** button, then navigate to and select the CSV file you wish to upload.

3 Select the **Submit File** button from the side menu on the right to upload your file.

4 You will see a progress bar that lets you know how your file upload is progressing. If your file is very small this may show only for a brief flash.

Once your upload has completed, you will see a message advising you of the fact, and you will be redirected to the **Validation Logs** page where you can check if your Census file passes validation successfully.

Exporting Census data

The PBRF QE IT System allows the user to export all of the currently held Census data in a .CSV file format.

1 From the **Census** tab, select the **Export Census File** button from the side menu on the right.
Note: Depending on the amount of data to be downloaded, it may take several minutes to prepare the file. Do not navigate away from the page while this is happening, as this will end the process.

2 Depending on your browser type and settings, you will be prompted as to whether you wish to open or save the file. Select **Open** if you wish to open the file directly, **Save** if you wish to save it to disk for later use.

3 If you elect to open the file, your computer will open the file with the default program for CSV files. This is often Microsoft Excel (if installed) but may be any other editing application, depending on your settings. To change the default settings for this operation, consult the help documentation for your particular operating system.

SECTION 7

Reports and extracts

In this Section

The Evidence Portfolio Errors and Warnings Report

To run the *Evidence Portfolio Errors and Warnings Report,* from the **Evidence Portfolios** tab, select the **Check Errors & Warnings** button from the side menu on the right.

The *Evidence Portfolio Errors and Warnings Report* is designed to provide TEOs with a snapshot of where the submission process is for their organisation.

It summarises:

Errors

Errors are flagged where an Evidence Portfolio does not meet the minimum requirements for assessment. These are:

- **Evidence Portfolios created without a Researcher in the Census**

EPs without a Researcher in the Census will not be assessed. As Census data may be submitted after EPs, the report will note *No Census data yet submitted* when a census file has not been uploaded. Once a file is uploaded, the EPs without Researchers will be shown in the report with a link to the EP.

- **Evidence Portfolios created where the Researcher is shown as not PBRF Eligible in the Census**

A Researcher must be PBRF eligible for their Evidence Portfolio to be assessed. As Census data may be submitted after EPs, the report will note *No Census data yet submitted* when a census file has not been uploaded. Once a file is uploaded, EPs where a Researcher exists but is identified as not being PBRF eligible will be shown in the report, along with a link to the EP.

- **Evidence Portfolios still in Draft format (either not submitted or have failed validation).**

No EPs in *Draft* format will be assessed, so this may identify an EP accidentally left in *Draft* format, or one that has been submitted and has failed validation. If the draft is never going to be submitted, it is good practice to discard the draft (*Discarding a Draft* (on page 36)), so as not to overlook real errors.

Warnings

Warnings are situations where an EP is missing information or has information that may need to be checked.

- **PBRF Eligible Researchers who do not have an EP**

TEOs may choose not to submit an Evidence Portfolio for some researchers in the 2012 PBRF Quality Evaluation. This warning, therefore, is only advisory in case this happens by omission.

- **Evidence Portfolios with NRO files that have not been uploaded to the repository**

This section shows a list of all the files that are referenced in the NROs of Evidence Portfolios as being held in the TEC repository, but have not been uploaded, along with a link to the EP concerned.

- **Name differences between EPs, Census and NSI records**

When a Census file or Evidence Portfolio is uploaded, the NSN and date of birth of the researcher are validated against the NSI. The validation does not extend to a check that there is an exact name match – thus avoiding rejecting EPs where minor name differences might exist (e.g. Jack/John, Meg/Margaret, Pete/Peter and so on).

However name information is obtained from the NSI and stored in the PBRF QE IT System, so that these differences can be checked to ensure that obvious inconsistencies are addressed. These may be between the Census and NSI, or the EP and NSI. Links are provided to the appropriate place when a name difference is identified. There is no obligation for the Census or EP to be changed to reflect the name used in the NSI.

Exporting Census data

The PBRF QE IT System allows the user to export all of the currently held Census data in a .CSV file format.

1 From the **Census** tab, select the **Export Census File** button from the side menu on the right.
Note: Depending on the amount of data to be downloaded, it may take several minutes to prepare the file. Do not navigate away from the page while this is happening, as this will end the process.

2 Depending on your browser type and settings, you will be prompted as to whether you wish to open or save the file. Select **Open** if you wish to open the file directly, **Save** if you wish to save it to disk for later use.

3 If you elect to open the file, your computer will open the file with the default program for CSV files. This is often Microsoft Excel (if installed) but may be any other editing application, depending on your settings. To change the default settings for this operation, consult the help documentation for your particular operating system.

Exporting Base EP data

The PBRF QE IT System allows the user to export all of the base data of the currently *Active* EPs in a .CSV file format. Base data means the data relating to the EP, Researcher and Panels – as well as the number of Special Circumstances, NROs, URIs, OROs, PEs and CREs in the EP.

1 From the **Evidence Portfolios** tab, select the **Export Base EP Data** button from the side menu on the right. **Note:** Depending on the amount of data to be downloaded, it may take several minutes to prepare the file. Do not navigate away from the page while this is happening, as this will end the process.

2 Depending on your browser type and settings, you will be prompted as to whether you wish to open or save the file. Select **Open** if you wish to open the file directly, **Save** if you wish to save it to disk for later use.

3 If you elect to open the file, your computer will open the file with the default program for CSV files. This is often Microsoft Excel (if installed) but may be any other editing application, depending on your settings. To change the default settings for this operation, consult the help documentation for your particular operating system.

SECTION 8

Troubleshooting and FAQs

In this Section

When I click on buttons in the interface, nothing happens

Check that JavaScript has been turned on. This may be described in your browser as "*Active* Scripting" as well. Consult your browser's help documentation as to how to set JavaScript or scripting to be enabled.

When I try to create a manual EP, I find that the HTML editing and date pickers don't work.

Solution 1: Check that JavaScript has been turned on. This may be described in your browser as "*Active* Scripting" as well. Consult your browser's help documentation as to how to set JavaScript or scripting to be enabled.

Solution 2: Navigate to **http://demos.telerik.com/aspnet-ajax/editor/examples/default/defaultcs.aspx** If you cannot enter text into the editor displayed on this page, the problem is likely to be a restriction on your organisation's proxy server, which is limiting the size of postback requests. Ask your IT department to check and increase the size of these requests, or, if possible, to allow you to bypass the proxy server when using the PBRF QE IT System.

When I view an extract from the system, macron characters appear to be using umlauts.

Special characters in the PBRF QE IT System (including macrons such as in Māori and non breaking spaces used at the end of telephone numbers) are accommodated by using *UTF8* (see "UTF-8" on page 57) encoding. However, some applications do not recognize that files produced by extract processes are in UTF8 format, and, instead, load them as ASCII files (which format does not accommodate the same range of special characters).

If this is an issue for you, try:

1 Saving the file rather than selecting **Open** when you create the download.

2 Open the application in which you wish to view the CSV file.

3 Select Open from within the application, then navigate to and choose the CSV file.

4 Select Delimited if you are prompted for this option, and Comma if you are asked which type of delimiter.

5 If prompted as to the format of the file, select UTF8.

I cannot connect to the FTP server

There are a number of reasons why this may occur, the most common being:

1 You have entered incorrect user name or password information. Check the user name and password you were provided with, and, if possible, check the transaction logs for connecting to the server (these will often show an ongoing commentary as the connection is made). If the logs show an error of the sort 530 User cannot log in, you may have entered incorrect information.

2 You may have selected the wrong protocol. Make sure that you have not selected SFTP or FTP over SSL as the connection protocols.

3 Your internal systems are blocking the connection. Some firewalls block connections using the ports used by FTPS. You will need to have port 21 open for two-way communication, and ports 54,000 to 55,999 for secure FTP. Consult your IT help desk for more information on this.

Note: If it is impossible for you to have these ports open for secure FTP, an option for using plain FTP has been left open for TEOs to use at their own discretion. If you wish to use plain FTP, place the word **`unsecured|`** in front or your user name (for example if your user name was TEO-1234, you would use **`unsecured|TEO-1234`**). Using this method, you can select Plain FTP as the protocol for transferring your files. This will mean that the connection between your machine and the TEC's server will not be encrypted.

My XML file upload fails

There are a number of reasons that an XML file may fail to validate:

1 **The file structure may be incorrect.** Check the error message in the *Validation log* (see "Viewing validation logs" on page 20) and refer to the PBRF 2012 Evidence Portfolio Schema for details on the requirements for the XML structure of EPs.

2 **The file has been previously uploaded.** The PBRF QE IT System requires that XML file names are unique within an organisation. This is to encourage the correction of incorrect data in the source system (usually a TEO's research management system).

3 **The file contents may be incorrect.** The file may be structurally correct, but may fail validation of the EP components. Check the error message in the *Validation log* (see "Viewing validation logs" on page 20) and refer to the PBRF 2012 Evidence Portfolio Schema for details on the requirements for the XML structure of EPs.

I get a message saying that the system is unable to process my request. What does this mean?

In rare cases, the system may be under heavy load, and may be unable to return your data in a timely manner. If this case, you may be shown a page that advises you of this situation, and may be requested to try again.

I get a message saying Unknown Username.

Panellists are unique in the PBRF QE IT System, in that they have to be created in advance by the TEC Administrator before they can log in. This is because they are assigned to panels and roles, attributes that are not provided by ESAA.

If a Panellist logs in to ESAA, but their profile has not been created with the same ESAA ID, they will receive this message:

Unknown Username.

Your Panellist profile has not been created in the PBRF system. Please contact the TEC Administrator to have them correct this.

The TEC Administrator will need to create the Panellist in the PBRF QE IT System, or, if they appear to have been created already, check that the ESAA ID for the Panellist is the same.

The log file reports that I have structural errors in my CSV Census file

Structural errors can be caused by missing or extra columns, incorrect data types (numbers instead of text or vice versa), fields that exceed permitted lengths, fields that don't conform to required formats (such as date order or number of decimal places), or incorrect use of double-quote characters in a field.

Tip: In some cases, Microsoft Excel can impose a date format when editing a file, so that, for example, dates may be translated to US format (3/31/2011 rather than 31/3/2011). This will cause a structural validation error.

My CSV file was working, then I edited it and saved it and now it won't upload.

Section 1.4 of the PBRF 2012 Census Data Definition details the conventions for the Census file, and in particular the use of double quotes to enclose field values. This approach allows for a structure that permits commas to be included in the field value, without confusing them with the commas that delimit the fields themselves.

However, this approach may cause some issues when using Microsoft Excel to edit or create files, as Excel can attempt to add a second set of double quotes to fields that already have them. Note the following tips when saving Census files:

- You do not have to use double quotes for all fields, the PBRF QE IT System will accept a standard CSV file as long as there are not commas within the field value (for example, *Lecturer, Social Sciences* as a position). Excel will often include double quotes automatically if it detects a comma within a cell.
- If using Excel, you are better off opening a previously created CSV file by opening it from within Excel, rather than by double clicking on the file. **Tip:** If your file has opened with the entire content of each line in a single cell, it is unlikely to save correctly. If prompted with Excel's File Import Wizard, choose "Delimited" as the file type, "Comma" as the delimiter and double quotes (") as the Text qualifier. You should not have to set any format for data other than "General".

- If using Excel, you can save a CSV file by choosing *Save As > Other formats,* then choosing *CSV (Comma delimited) (*.csv)* from the dropdown box below the file name. See below.
- The PBRF QE IT System expects 21 fields to be present in the CSV file, any more or less will cause the file to be rejected as having an invalid file structure. Blank fields are represented as two commas (e.g. ,,).
- Whatever method you use to create the file, if you wish to inspect it for issues, you are best to use a text editor such as Notepad, which does not attempt to place the file into a table format.

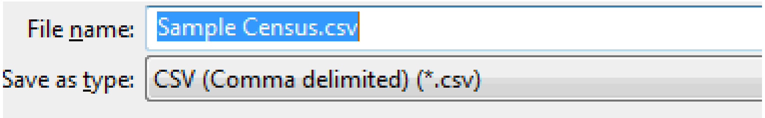

Figure 8: Choosing the file format when exporting from Excel.

The NSI reports that a Researcher in my Census file or Evidence Portfolio was born on November 22, 1911

The NSI uses this date where a date of birth has not been supplied on registration. The only options in this case are:

- To update the XML or CSV file to reflect the same date of birth as the NSI.
- To update the NSI record to reflect the Researcher's real date of birth.

I cannot log in via ESAA because I am using Opera

ESAA does not officially support the Opera browser, however a workaround is available for Opera users to identify themselves as a different browser when logging in.

To implement this workaround, perform the following steps:

1. From the Login page of the PBRF QE IT System, select the **Log in via ESAA** button as normal.
2. When the *Education Sector Logon* page loads, right-click on the page background and select **Edit Site Preferences . . . '** (alternatively, from the main menu choose *Tools > Settings > Quick preferences > Edit site preferences...*)
3. Select the *Network* tab, and, using the dropdown next to *Browser identification*, choose **Identify as Internet Explorer**.
4. Select **OK**

You can now log in to ESAA as normal.

I don't see a Print Preview in Chrome

The current release of Chrome (11) does not provide a print preview function. There is a beta version of print preview that can be enabled by:

1. Typing **`about:flags`** into the address bar of your browser.
2. Scrolling down to the *Print Preview* option, and selecting **Enable.**
3. Restarting your browser.

When you print after performing these steps, a preview will show automatically.

Note: as at the time of writing, this was not classed as a "production-ready" feature in Chrome, and may cause issues.

Alternatively, use another browser that supports the print preview function when you wish to print.

Long URLs are not valid in my PDF

If you have entered a long URI in an NRO, the text of the resulting link will wrap within the EP's page. In this case, when a PDF is generated from this EP, Adobe reader will only link from the first line of the URI.

This is a known issue with generated PDF documents, and cannot be resolved without manually resetting the link in each generated document.

If you find this particularly troublesome, you can use a service such as http://tinyurl.com/ to create a shortened link for your URI.

Index

Glossary

Census

Details submitted by TEOs of all staff members employed or contracted for services (both those PBRF eligible and those not eligible) between 15 June 2011 and 14 June 2012.

Contribution to the research environment (CRE)

Contribution that a PBRF-eligible staff member has made to the general furtherance of research in their TEO or in the broader sphere of their subject area.

The Contribution to the Research Environment (CRE) component is one of the three components of an Evidence Portfolio.

A contribution to the research environment type is one of the defined categories for listing examples of contribution to the research environment in an Evidence Portfolio. Examples of contribution to the research environment types include membership of research collaborations and consortia and supervision of student research.

Each EP can contains (up to) 30 examples of contribution to the research environment during the assessment period for their EP.

Source: 2012 PBRF Quality Evaluation Guidelines.

CSV

Comma separated value

A file format that represents tabular data in plain text form that can be read in a text editor. Lines in the text file represent rows of a table, and commas in a line separate fields.

EP

see Evidence Portfolio.

ESAA

Education Sector Authentication and Authorisation

ESAA is the authentication and authorisation mechanism that provides users with access to online Education Sector Services, including the PBRF QE IT System. For more information on ESAA, see the information on the *Services for Tertiary Education Organisations website* (http://cms.steo.govt.nz/news+and+info/esaa.htm \t _blank),

Evidence Portfolio (EP)

Collection of information on the research outputs, peer esteem, and contribution to the research environment of a PBRF-eligible staff member during the assessment period that is reviewed by a peer review Panel and assigned a Quality Category.

Expert Advisory Group

Groups of specialists that will assist Panels to assess Evidence Portfolios in certain research areas. There are two Expert Advisory Groups, the **Pacific Research Expert Advisory Group** and the **Professional and Applied Research Expert Advisory Group** (which is divided into four subgroups: Commercial, Environmental, Social and Professional Practice).

FTE

Full-time-equivalent.

FTP

File Transfer Protocol

FTP is a standard *network protocol* (http://en.wikipedia.org/wiki/network_protocol \o network protocol) used to copy a file from one host to another over a TCP-based network, such as the *Internet* (http://en.wikipedia.org/wiki/internet \o internet). It usually involves a client application and a server application configured to allow the secure transfer of files. In the case of the PBRF QE IT System, FTP login and password information will be provided to all participating TEOs, so that they can upload supporting NRO files and XML documents.

HTML

Hypertext Markup Language

The predominant markup language for web pages. HTML allows for the annotating of a text to provide formatting and function when viewed in a web browser.

Moderation Panel

Panel that meets to review the work of peer review Panels, in order to ensure that TEC policy has been followed and that the Quality Evaluation process has been consistent across the Panels.

NE

New and Emerging Researcher

New and Emerging Researchers must meet the requirements of the staff participation criteria, and “EITHER They were first appointed to a PBRF-eligible or equivalent position (whether in New Zealand or overseas, and whether in a TEO or non-TEO) on or after 1 January 2006 OR Their conditions of employment changed on or after 1 January 2006 to include a requirement to undertake research or degree-level teaching (ie. for the first time in their career).

Source: 2012 PBRF Quality Evaluation Guidelines.

Nominated research outputs (NROs)

The research outputs that the PBRF-eligible staff member nominates in their Evidence Portfolio. Each EP can contain (up to) four NROs for assessment during the Quality Evaluation process.

NRO

see Nominated Research Output

NSI

National Student Index

The NSI is a database maintained by the New Zealand Ministry of Education. The purpose of the application is to allocate a unique identifier, the *National Student Number* (see "NSN" on page 55), to every student enrolled in an education provider in New Zealand.

Source: Ministry of Education

The PBRF QE IT System requires that all PBRF eligible researchers and EPs identify the researcher by providing an NSN. This NSN is checked against the NSI as part of the validation process.

NSN

National Student Number

A unique identifier issued by the Ministry of Education.

ORO

Other Research Outputs

Each EP can contain (up to) 30 other research outputs (OROs), if all four NROs have been supplied.

Source: 2012 PBRF Quality Evaluation Guidelines.

Panels

Collective term for Peer Review Panels, the Moderation Panel and Expert Advisory Groups.

PBRF

Performance-Based Research Fund

PBRF Census

see *Census.*

PBRF-eligible staff member

TEO staff member eligible to take part in the PBRF Quality Evaluation process.

Peer Esteem (PE)

Esteem with which a PBRF-eligible staff member is viewed by fellow researchers.

The Peer Esteem (PE) component is one of the three components of an Evidence Portfolio.

A peer esteem type is one of the defined categories for listing examples of peer esteem in an Evidence Portfolio. Examples of peer esteem types include conference addresses and favourable reviews.

Each EP can contains (up to) 30 examples of peer esteem during the assessment period for the EP.

Source: 2012 PBRF Quality Evaluation Guidelines

Peer Review Panel

Group of experts who evaluate the quality of research as set out in an individual Evidence Portfolio. There are 12 peer review Panels, each covering different subject areas.

Primary Field of Research

The research field of the staff member's research activity during the assessment period, and especially that of the (up to) four NROs selected for their Evidence Portfolio.

Source: 2012 PBRF Quality Evaluation Guidelines

Also referred to as Field of Research.

Primary Panel

The Primary Panel is the Peer Review Panel identified by the submitting TEO as the preferred choice for the EP's assessment. Also referred to as the Nominated Peer Review Panel.

PTE

Private Training Establishment

QE

Quality Evaluation

Quality Evaluation (QE)

The process that assesses the quality of research outputs produced by PBRF-eligible staff members, the esteem within which they are regarded for their research activity, and the contribution they have made to the research environment. The Quality Evaluation is one of the three measures of the PBRF, along with the Research Degree Completions (RDC) measure and the External Research Income (ERI) measure.

Source: 2012 PBRF Quality Evaluation Guidelines

Quality-assurance process

Formal, independent scrutiny by those with the necessary expertise and/or skills to assess quality.

Source: 2012 PBRF Quality Evaluation Guidelines

Quality-assured research output

Research output that has been subject to a formal process of quality assurance.

Source: 2012 PBRF Quality Evaluation Guidelines

Research output (RO)

A research output is a product of research that is evaluated during the Quality Evaluation process.

The Research Output (RO) component is one of the three components of an evidence portfolio.

A research output type is one of the defined categories for listing research outputs in an evidence portfolio. Examples include an edited book, journal article, composition, and artefacts.

Source: 2012 PBRF Quality Evaluation Guidelines

See also:

NRO

ORO

Specialist Adviser

An expert in a particular subject area used to assist a peer review Panel to evaluate a particular Evidence Portfolio.

Source: 2012 PBRF Quality Evaluation Guidelines

Subject area

One of the 42 PBRF subject areas.

TEC

Tertiary Education Commission.

TEO

Tertiary Education Organisations

Includes: Universities, Polytechnics, Institutes of Technology, Wānanga, and other Private Training Establishments (PTEs)

To be able to participate in the 2012 Quality Evaluation, TEOs must have degree-granting authority on the PBRF Census date, 14 June 2012.

TEOs participating in the 2012 Quality Evaluation must also participate in the RDC and ERI measures from 2012, even if their funding entitlement in one or more measures is zero or likely to be zero.

Source: 2012 PBRF Quality Evaluation Guidelines.

Unicode

Unicode is a computing industry standard for the consistent encoding, representation and handling of text expressed in most of the world's writing systems. Unicode (specifically UTF-8) is used in the PBRF QE IT System to allow for the representation of character sets representing multiple languages.

URI

Universal Resource Identifier

A Uniform Resource Identifier (URI) is a string of characters used to identify a name or a resource on the Internet or in the TEC temporary repository of NROs.

In the PBRF IT System, a URI can be a reference to:

- NRO content uploaded to the TEC file store.
- A non-secure publicly available web location where the NRO content can be located.
- A secure publicly available web location where the NRO content can be located.
- A publicly available FTP location where the NRO content can be located. The preference is for the other options using the above URIs rather than the FTP option described here.

No authentication or subscription should be required to access any of these locations.

Source: 2012 PBRF Quality Evaluation Guidelines

UTF-8

Universal Character Set Transformation Format - 8-bit

UTF-8 is a multibyte character encoding for Unicode. Like UTF-16 and UTF-32, UTF-8 can represent every character in the Unicode character set, but it is also backward-compatible with the American Standard Code for Information Interchange (ASCII).

Validation

The process by which Evidence Portfolio and supporting files and Census data is checked to see if it complies with the format and business rules that are required for the 2012 PBRF Quality Evaluation. See *The validation process* (on page 19)

XML

Extensible Markup Language

XML is a set of rules for encoding (or tagging) documents in machine-readable form. It is defined in the XML 1.0 Specification produced by the W3C.

XSD

XML Schema Document

A document that expresses a set of rules to which an XML document must conform in order to be considered valid according to that schema. Typically, an XML document would be validated against an XSD using an XML editor or similar process, to ensure that the content contained in the XML document conforms to the rules set out by the creator of the XSD. In the case of the PBRF QE IT System, the XSD supplied to the participating TEOs is used as part of the validation process for uploaded XML files.