

**Tertiary Education
Commission**
Te Amorangi Mātauranga Matua



IT System User Guide

2018 PBRF Quality Evaluation

Assignment and Assessment Phases

TEO Administrators

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Key concepts

What is the PBRF?

The Tertiary Education Commission (TEC) *Te Amorangi Mātauranga Matua* is responsible for administering the Performance-Based Research Fund (PBRF).

The PBRF has been established to encourage and reward excellent research in New Zealand's degree-granting organisations.

The Quality Evaluation is the major component of the PBRF and is an assessment of the research performance of staff at participating tertiary education organisations (TEOs).

TEOs determine which of their staff members are eligible to participate and then decide if each staff member's research is likely to meet the standard for a funded Quality Category. TEOs then compile Evidence Portfolios (EPs) and submit them to the TEC through the PBRF IT System.

Once the panel decisions have been made and approved, the results are given to each participating TEO and a report on the Quality Evaluation results is published.

The PBRF IT System

The PBRF IT System supports the Quality Evaluation submission and assessment processes. It allows the TEC, TEOs and peer review panels to perform their respective roles in the 2018 Quality Evaluation.

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

This guide addresses the functionality of the PBRF IT System, which in turn reflects many of the processes of the Quality Evaluation. Users should be aware, however, that the appropriate references for guidance as to the Quality Evaluation processes are the *Guidelines for the 2018 Quality Evaluation assessment process* and the *Panel-Specific Guidelines for the 2018 Quality Evaluation*.

User roles in the PBRF IT System

The PBRF IT System is designed to provide support for the various participants in the 2018 Quality Evaluation. The roles of these participants have been identified and applied in the PBRF IT System to preserve the security and integrity of the process and the rights and access of its users.

Anyone with access to the PBRF IT System does so in a specific role in the system. These roles are linked to a user's Education Sector Logon (ESL).

These roles are:

TEC Administrator

The TEC Administrator role is to assist in the smooth running of the 2018 Quality Evaluation process, and to assist users of the PBRF IT System in performing their role. The TEC Administrator is also able to perform some of the global reporting functions of the PBRF IT System.

This role can:

- › create panellists and assign them to panels in their appointed roles

- › view the overall progress of submissions, assignment and assessment in the PBRF IT System
- › view all EPs in the PBRF IT System
- › view all researcher details submitted as part of the Staff Data files
- › run reports at a global level (including all TEOs and panels).

TEO Administrator

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

During the Submission Phase this role can:

- › view the overall progress of submissions within their own organisation
- › create EPs through the user interface or by uploading them (via FTP or the user interface)
- › upload Nominated Research Output (NRO) files through user interface or via FTP
- › view all EPs submitted by their own organisation
- › upload the Staff Data file
- › view all researcher details submitted by their own organisation
- › run reports within their own organisation
- › resubmit an EP if it has been unlocked by a TEC Administrator (post-submission).

Panellist

“Panellist” is the term used to encompass all the roles that are responsible for conducting the assessment and moderation processes within the PBRF IT System. They do this individually and within their panels, in accordance with the processes set out in the *Panel-specific guidelines for the 2018 Quality Evaluation* and the *Guidelines for the 2018 Quality Evaluation assessment process*.

What a panellist can do depends on their role within a panel. For example:

- › **Panel Chairs** request and approve cross-referrals, assign EPs for assessment, and perform other administrative and reporting activities associated with their role.
- › **Panel members** score EPs that are assigned to them as members of their panel.
- › **Panel Advisors** can make any changes required and confirm scores during panel meetings, and provide support to the panel Chair by monitoring the assessment process for their panel.
- › Members of the **Moderation panel** can view and analyse trends across panels and the system.

Auditor

The Auditor role accesses the PBRF IT System to perform the function of ensuring the 2018 Quality Evaluation is conducted in a fair and equitable manner.

This role can:

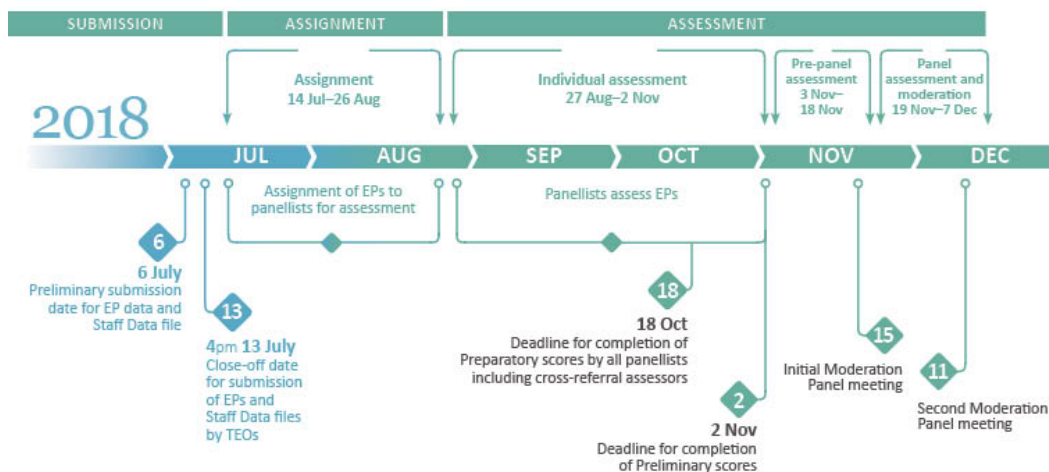
- › view the overall progress of submissions, assignment and assessment in the PBRF IT System
- › view all EPs in the PBRF IT System
- › note EPs and EP items as having been audited

- › make notes against an EP
- › view all researcher details submitted as part of the Staff Data file
- › run reports at a global level (including all TEOs and all panels).

Phases in the 2018 Quality Evaluation

The 2018 Quality Evaluation is broadly divided into three phases: Submission, Assignment and Assessment.

Key phases for the 2018 PBRF Quality Evaluation



Below we examine these three phases in more detail.

Submission

The preliminary submission date for TEOs for EP data and the Staff Data file is 6 July 2018. From 6 to 13 July there is a period for final review and correction of EP data and PBRF Staff Data files. The close-off date for resubmission of EP data and PBRF Staff Data files is 4.00pm, 13 July 2018.



Note: When the PBRF IT 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

Assessment is broken up into two sub-phases: Chair Assignment and Assignment.

Chair Assignment

(14 July to 13 August 2018)

Chair Assignment is the phase in which the following activities take place:

- › all panel Chairs assign EPs to the members of their panels
- › primary panel Chairs may request that an EP is cross-referred to another panel
- › primary panel Chairs approve or decline cross-referral requests from other panel Chairs
- › Chairs for the Māori Knowledge and Development Panel and Pacific Research Panel also approve or decline cross-referral requests from TEOs or from Chairs.

During Chair Assignment, the assignments made by the Chair are not visible to the panellists to whom the EPs are assigned. This is to allow the Chair a period during which they can balance assignments before they are available to the panellists for examination. In this phase, it is also possible for a Chair to raise a concern in relation to an EP.

At the completion of the Chair Assignment phase, all cross-referrals should be approved or declined, and EPs assigned to panellists. Statistics to assist in this process are displayed on the Chairs' Home pages.



Note: The Deputy Chair is also able to view EPs assigned to the panel during the Chair Assignment phase, so that the Chair and the Deputy can discuss panel workloads and appropriate assignments. If an EP has been submitted by a TEO for the Chair, the Deputy Chair will assign this EP to the appropriate panel members.

Assignment

(14 to 26 August 2018)

During Assignment, the assignments made by the Chair become visible to the assigned panellists. This allows them to raise any issues with the Chair that may affect the assessment of the EP. For example, a conflict of interest may be noted or an inappropriate assignment might lead the Chair to reassign the EP to another panellist.

At the completion of the Assignment phase:

- › all EPs should be assigned to panellists
- › panellists should have reviewed their assigned EPs and be ready to complete their individual assessments.

Assessment

Assessment is broken up into three sub-phases: Individual Assessment, Pre-Panel Assessment and Panel Assessment.

Individual Assessment

(27 August to 2 November 2018)

During Individual Assessment, panellists assess their assigned EPs and enter Preparatory and Preliminary scores.

- › Lead and secondary assigned panellists from the primary panel and the cross-referral panellist (if any) enter and confirm their Preparatory scores.
- › All panellists must record having examined specific NROs as part of their assessment .
- › Panellists may note audit concerns that they have with EPs that they are assigned .
- › Panellists may request NROs that have not been supplied in electronic format, or that are not available from the PBRF IT System .
- › Once all Preparatory scores have been completed, the lead panellist, after conferring with the secondary panellist and the cross-referral panellist (if any), enters the Preliminary score . The Indicative Quality Category is derived from the Preliminary score.

At the completion of the Individual Assessment Phase, all EPs should have:

- › Preparatory scores completed by the lead and secondary panellists from the primary panel
- › Preparatory scores completed by cross-referral panellists for all approved cross-referrals
- › a Preliminary score completed by the lead panellist from the primary panel. This Preliminary score and Indicative Quality Category pre-populate the Calibrated Panel Score and Quality Category, Holistic Quality Category and Final Quality Category for the researcher .

Pre-Panel Assessment

(3 to 18 November 2018)

Pre-Panel Assessment falls between the end of Individual Assessment and the beginning of Panel Assessment. During this period, panellists, Chairs and Moderators prepare for the panel meetings with support from their Panel Advisors. The nature of this preparation by the Panel Advisor may vary, but will include reviewing and monitoring concerns raised by panellists during the assessment process, and planning how panellist conflicts of interest will be managed during panel meetings. Panel Advisors may also identify EPs that merit attention at the panel meetings, such as those that are flagged for a detailed Holistic assessment.

Panel Assessment

(19 November to 7 December 2018)

During Panel Assessment, peer review panellists meet to discuss EPs assigned to their panels and to assign or confirm the Calibrated Panel Score and Quality Category, Holistic Quality Category and Final Quality Category for each EP assigned to the panel .

Validation in the PBRF IT System

Information submitted using the PBRF IT System is validated.

Validation takes place on:

- › XML files on upload
- › *Draft* EPs upon submission for validation
- › *Withdrawn* EPs on reinstatement
- › the comma-separated value (CSV) Staff Data file on upload
- › NRO files on upload.

Validations include checking that:

- › an uploaded file has the correct structure
- › the file complies with the rules associated with its type
- › a file has a valid extension
- › a researcher has a valid National Student Number (NSN) and date of birth combination, or, alternatively, a default date of birth (pre-1920) has been entered. If neither of these is the case, the file will still upload, but a warning will be generated in the validation log.

Files that fail structural validation, along with 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 25, *Uploading Staff Data files* on page 38 and *The Validation Logs tab* on page 22.

Getting started

Minimum system requirements

Browsers

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

- › **Internet Explorer** – version 11.x* or higher
- › **Mozilla Firefox** – version 45.3 or higher
- › **Safari** – version 5 or higher
- › **Chrome** – version 52.02 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.

* If you have issues using Internet Explorer 11, refer to the *Troubleshooting and FAQs* section *I am having trouble connecting with Internet Explorer 11* on page 47.

Browser settings

Regardless of which browser you are using, you will need 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 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.

Software for viewing NROs

The PBRF IT System allows for the uploading of document, audio and image files in various formats as supporting material for NROs. 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	Adobe Reader, PDF plugins for various browsers are also available.

Function	Required software examples
documents (.pdf)	
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.

Logging in

Logging in via the Education Sector Logon (ESL)

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

If you do not have your ESL, you will need to send an email to pbrfhelp@tec.govt.nz.

Once you have your ESL details:

1. From your web browser, navigate to <https://www.pbrf2018.ac.nz>.
2. Select the **Log in to the PBRF System** button from the side panel on the right of the page.
3. You will be redirected to the ESL page.
4. Enter your ESL user name and password. Follow any instructions you may be given on the ESL site relating to providing security questions or resetting your password.
5. On completing your login, you should be redirected back to the PBRF IT System. If this does not happen, you may need to repeat steps 1 to 4. This can happen when you need to renew your password, or when you first log into the PBRF IT System and need to answer security questions on the ESL site.

Logging in with multiple roles

If you have more than one role in the PBRF IT System, you will be prompted to enter which role you wish to use when you log in.



Choose a Role

Please choose a Role from the list below, then click the Continue Login button on the right:

Panellist

TEO Administrator

Figure 1: Choosing a role where your ESL has returned multiple roles.

Navigation and common tasks

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The PBRF User Interface

The PBRF 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 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 IT System.
- › The **side menu** changes depending on where you are and what you are doing. In this area you can perform functions within the PBRF IT System such as viewing a report, or exporting data. The side menu may group related functionality in a **panel**, for example the **Filter By Status:** panel that is available on the Evidence Portfolios page.
- › **The grid** is the main body of the page when it is showing a table of list data. The grids used in the PBRF IT System allow for additional options for navigation and viewing data such as sorting and links to more detailed views of data.

EP Identifier	Primary Panel	Subject Area of Research	Researcher	Staff Data Created	NE
250101	BIOS	Biomedical	Jackson, Sam 108373348	Yes	Yes
250102	BIOS	Biomedical	Marshall, Stephen 121118392	Yes	No
ACE004	SSOCSS	Architecture, Design, Planning	Beatson, Sylvia 108094262	Yes	No
ACE005	BIOS	Ecology, Evolution and Behaviour	Bishopdale, Chris 105338338	Yes	Yes
ACE006	BIOS	Molecular, Cellular and Whole Organism Biology	Burnside, Janine 120195441	Yes	Yes
ACE007	BEC	Accounting and Finance	Carr, Clayton 89390	Yes	Yes
ACE009	BEC	Marketing and Tourism	Creighton, Emerson 128487582	Yes	Yes
ACE010	CPA	Music, Literary Arts and Other Arts	Cunningham, Harvey 121080784	Yes	Yes
ACE011	BEC	Marketing and Tourism	Davis, Zoe 123123	No	
ACE012	BEC	Marketing and Tourism	Dromgool, Treve 202614	Yes	Yes

Figure 2: 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 IT System is to check and edit your details in the system.

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

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

2. You will be taken to the *Details* screen.
3. Select **Edit** on right side of the *Personal Details* or *Contact Details* sections, and update your details.
4. Once complete, select the **Save** button in the side menu or at the bottom of the form.
5. If you don't want to save your changes, select the **Cancel** button in the side menu, or at the bottom of the form.

Filtering

Many of the pages within the PBRF IT System allow you to filter 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:

1. Select the desired filter option from the dropdown list in the side menu.
2. The filter will be applied to the information displayed in the grid.
3. To remove the filter, select the main navigation tab of the page you are viewing, or if using the EP filters, select **(Reset)** from the top of the panel. 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 (in this example, EP logs that were *Successful*).

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

See also:

Filtering validation logs on page 24.

Searching

The screenshot shows the 'Evidence Portfolios' interface. At the top, there are tabs for 'EP Data' and 'Individual Scores'. Below the tabs, a search box contains the text 'Ra' and a search icon. The main area displays a table with the following data:

Organisation	EP Identifier	Primary Panel	Subject Area of Research	Researcher	NE
Eastern Institute of Technology (6007)	543	BEC	Education	White, Cassandra 642879	Yes
Eastern Institute of Technology (6007)	569	BEC	Visual Arts and Crafts	Serrano, Oprah 643173	No
Manukau Institute of Technology (6010)	807	BEC	Other Health Studies (including Rehabilitation Therapies)	Combs, Xaviera 647352	Yes
Manukau Institute of Technology (6010)	872	BEC	Communications, Journalism and Media Studies	Craft, Harriet 648083	No

On the right side, there is a 'Evidence Portfolio Filters (Reset)' panel with three filter sections:

- Filter by Organisation:** All Organisations
- Filter by Subject Area:** All Subject Areas
- Filter by Request Type:** All

Figure 3: Example of searching in the Evidence Portfolios tab.

You can search within the grids of .

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 (for example, 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.
4. When within an EP you can search for another EP by using the sidebar search on the right of the screen. If you want to search within an EP use Ctrl+F.



Note: If you enter only a part of the search text or number, the PBRF 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.

See also:

Searching in the Evidence Portfolios grid on page 20

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 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 IT System will allow you to print any of the standard pages via your web browser. Check the print preview when printing, to ensure that the pages are formatted as you would like them to be.

EPs will also be available to view in PDF form in the PDF sub-folder of your organisation’s FTP folder. This will assist you to do any bulk downloads or printing of EPs submitted.

When printing EP data, the pages will print exactly as formatted. Make sure that you expand the sections that you wish to see on your printed version before printing.



Tip: Consider outputting the EP as a PDF and then printing the PDF version if you wish to preserve the formatting of the EP (see *PDFs of EPs* on page 43).

Exporting data

The PBRF IT System allows users to extract various kinds of data that have been uploaded or created, for offline analysis.

Generally, exporting data is 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 IT System is in 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 40.

Getting help

Matters relating to either:

1. the contents of EPs and Staff Data (for example, interpretation of the guidelines, PBRF processes generally, staff eligibility, forms of evidence and so on) or,
2. issues relating to using the PBRF IT System (for example, questions about how to upload files or technical issues) can be referred to the TEC:
 - › **By emailing us directly:** At pbrfhelp@tec.govt.nz.
 - › **By filling out a Support Request from within the PBRF IT System:** Select **Help** at the top of the page to view. Once completed and submitted, the form will be sent to the TEC and a team member will be assigned to follow up with you.
 - › **By phone:** If your request is urgent, you can also call the PBRF help line on 0800 727 301 or +64 4 462 5804 during business hours (9.00am to 5.00pm NZST / GMT +12 hours).

Logging out

To log out of the PBRF 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.



Important Note: After approximately 40 minutes of inactivity, you are logged out automatically as a security precaution. If this happens, the screen you are on will be available to view, but you will be returned to the entry screen once you try to navigate within that screen. You will be notified that you have been timed out due to inactivity and will need to log in again. Any data that has not been saved will be lost.

The main navigation tabs

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The Home tab

The **Home** tab is where you see a summary of the information that is most pertinent to your role and the phase you are in. At the top of the page the current phase is shown, and the date on which the phase will end.

Below this, the page is broken down into two main areas.

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

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

On the right side, Below this, the page is broken down into three main areas, which change, depending on the phase the PBRF QE IT System is in. 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 NRO files uploaded to the TEC: The number of Nominated Research Output 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 Staff Data: Number of Staff members uploaded in the Staff Data file.
- › Total Staff Members not matching an EP: The number of staff members who transferred to another TEO plus staff members concurrently employed at another organisation.
- › Assessable EPs (matching Researcher): The number of EPs that will go forward for assessment. (Assessable EPs are *Active* EPs that have been successfully matched against an eligible researcher in the Staff Data file and can be assessed.)

Active Evidence Portfolios		Other Statistics	
Uploaded	700	Total Draft EPs	2
Manually Entered	10	Total Withdrawn EPs	41
		Total NRO files uploaded to the TEC	31
Total	710	Total Staff Members in Staff Data	100
		Total Staff Members not matching an EP	0
		Assessable EPs (matching Researcher)	100

Figure 4: The Home tab during the Submission phase.

The Evidence Portfolios tab

The **Evidence Portfolios** tab shows all EPs 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 17):

- › EP Identifier
- › Primary Panel – primary peer review panel requested
- › Subject Area of Research – subject area of research identified in the EP
- › Researcher – the name of the researcher identified in the EP, and under this the researcher’s NSN
- › Staff Data Created – a flag to denote whether the researcher exists in the Staff Data file for your organisation
- › NE – a flag to indicate whether the researcher has been identified in the Staff Data file 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 Evidence Portfolios grid

You can search in the **Evidence Portfolios** grid for:

- › an EP identifier
- › the name of the researcher identified in the EP
- › NSN of the researcher identified in the EP.

When within an EP you can search for another EP by using the sidebar search on the right of the screen. If you want to search within an EP use Ctrl+F.

See also:

Searching on page 16

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.

The Platform of Research – Contextual Summary information is always displayed.

Figure 5: The Evidence Portfolio Details screen.

The Staff Data tab

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

The grid on the **Staff Data** tab shows the following columns (all columns can be sorted, see *Sorting* on page 17):

- › names of staff members in the PBRF 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
- › EP created – a flag to state whether an EP has been created for this researcher by this organisation.

From the **Staff Data** 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 **Staff Data** tab.

The staff member's details include:

- › Staff Member – name of the staff member
- › NSN – NSN of the staff member
- › Evidence Portfolio – whether an EP has been created for the staff member
- › Primary Panel and Subject Area of Research
- › Gender

- › Ethnicity
- › Date of Birth
- › Organisation where they are employed
- › Their start and end dates (if applicable)
- › Nominated Academic Unit
- › Position Title
- › Staff Id
- › Full Time Equivalent
- › whether they are a new and emerging researcher
- › name of their Previous Organisation.

The Validation Logs tab

The **Validation Logs** tab is where all information relating to the validation of EPs and Staff Data 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 , below, validation takes place on:

- › XML files on upload
- › *Draft* EPs upon submission for validation
- › *Withdrawn* EPs on reinstatement
- › the CSV Staff Data file 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.

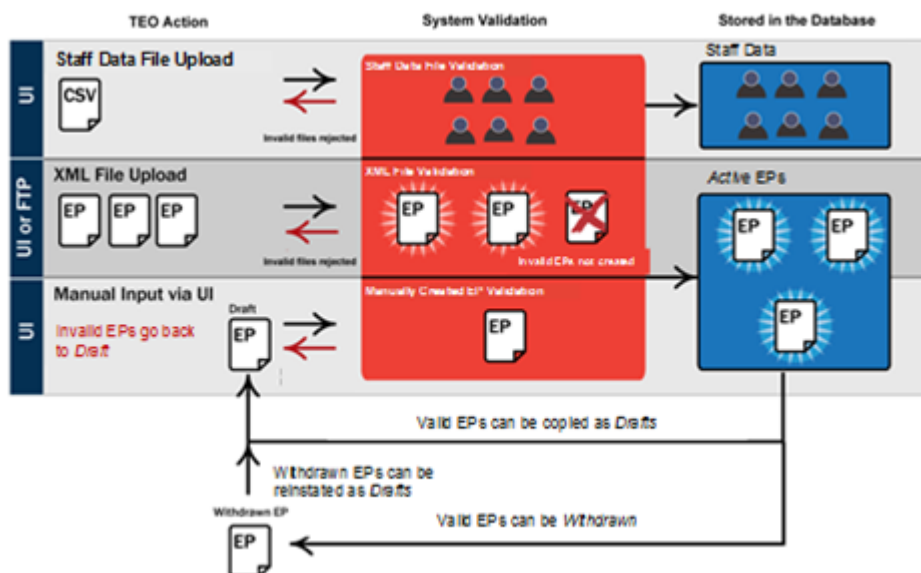








Figure 6: The validation process for Staff Data and EP files.

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, Staff Data and NRO file validation

The status of any file uploaded to the PBRF 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, and then may return to a Pending status, and then return to Processing.
Successful		A Staff Data file, XML or NRO file that was completely successful (such as the Staff Data file passed validation and all staff members have been created, or all 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 Staff Data file, XML, or NRO file that was wholly unsuccessful (such as the Staff Data file failed validation, or all 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 (such as some of the EPs failed validation, while some passed) will be assigned the status of Warnings.
Cancelled		If, while processing a file, either: <ul style="list-style-type: none"> file has been uploaded with the same EP ID (in the case of an XML file); or another Staff Data file is uploaded for the same organisation. The system will attempt to Cancel the first file (on the basis that a later EP or Staff Data 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 (such as too many or too 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:

- › name of the file
- › its overall status
- › date and time the log was created
- › file check: the outcome of the validation check on the structure of the file
- › date and time the log was last updated

- › virus check.

In the case of an XML file, the log file will provide 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 (such as 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 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 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 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 (for example, Staff Data file uploads).
 - › **Filter by Status** allows you to restrict the view to only uploads that had a certain outcome (for example, 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 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.

Creating Evidence Portfolios

Overview

The creation of EPs is one of the most significant processes in the 2018 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 EP.

Key concepts

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

The **manual creation** of an EP involves filling in the information relating to the EP in an online form. You begin by creating and saving the initial base information of the EP (the EP ID), associated information and details for the researcher, peer review panels and platform of research. You then add the NROs, any OROs, and any Extraordinary Circumstances. Once you have completed these steps, you can submit the EP for validation, and, if successful, it will become visible as an *Active EP*. Files referenced in the NROs can be uploaded via the user interface, and once uploaded, will become accessible from the EP. Once the EP's researcher details have been uploaded as part of the Staff Data files, the EP will be complete and ready for assessment (an *Assessable EP*).

Creating EPs **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 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 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.

No matter how the EP was created, the EP's researcher details must also be reflected in the Staff Data files for the submitting organisation before the EP is considered complete and ready for assessment.

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

The two options of creating an EP have a significant difference in how 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).

All XML files must be assigned unique names (meaning you cannot upload an XML file with the same name twice).

EPs in the PBRF IT System can have one of the statuses as explained below.

Evidence Portfolio statuses	
Active	Active EPs have successfully passed validation. If matched by a researcher in the Staff Data files, the EP will be made available for assessment after the

Evidence Portfolio statuses	
	close of the Submission period.
Assessable	Assessable EPs are Active EPs that have been successfully matched against an eligible researcher in the Staff Data file and can be assessed.
Draft	<p>Draft EPs have been manually created and:</p> <ul style="list-style-type: none"> • have not been submitted for validation, or • have been submitted, but failed validation. <p>Draft EPs will not be made available for assessment after the close of the Submission phase.</p>
Withdrawn	Withdrawn EPs 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 phase.

Only EPs with a Draft status can be edited.

EPs that have been manually created can be edited online to correct or add data.

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* (for example, it will not be able to be edited). 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.

Any EP created in the PBRF IT System can be withdrawn and reinstated.

Once created, EPs are not deleted from the PBRF 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 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 may want to 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.

Please refer to the *Overview* on page 25. 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 EP are
- › has familiarised themselves with the *PBRF 2018 Quality Evaluation Guidelines Evidence Portfolio Schema Definition*
- › has created an XML file in accordance with the *PBRF 2018 Quality Evaluation Guidelines Evidence Portfolio Schema Definition* (or has been supplied with such a file), and that this file has been validated against the supplied XSD
- › has assembled some or all 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 2018 Quality Evaluation Guidelines Evidence Portfolio Schema Definition* outlines the requirements for an FTP client to be able to connect to the PBRF IT System. You will need to have installed a compatible client, and your organisational firewall must allow you to use the required ports to communicate via FTP (The *Troubleshooting* section *I cannot connect to the FTP server* on page 45 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 IT System FTP server. Since there are a numerous 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 in this section 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.pbrf2018.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 IT System. If you are successful, your screen should show you something like the screen shot 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, EPs 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 Sector Helpdesk on 0800 727 301 or +64 4 462 5804 or by sending an email to pbrfhelp@tec.govt.nz.

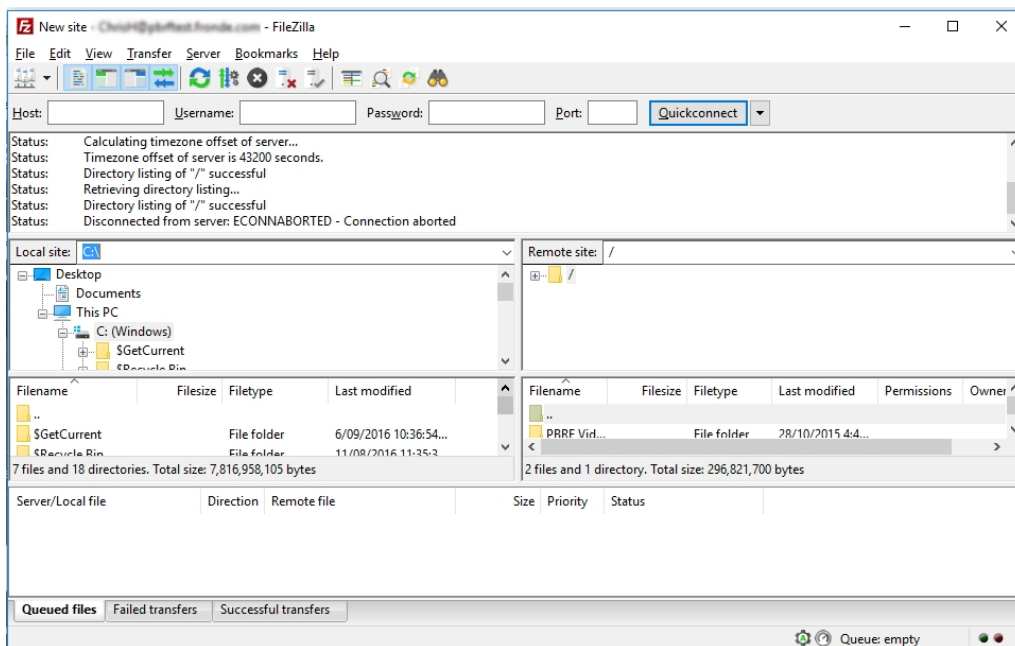


Figure 7: FTP connection established to the server.

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 IT System, where your file should appear within a few minutes.



Note: The XML file you upload will need to have a different name 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 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 2018 – Evidence Portfolio Schema Definition*, must have a unique name, and should be validated against the XSD supplied by the TEC.



Note: The XML file you upload will need to have a different name 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 File** 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 your 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 EPs*.

See also:

Validation in the PBRF IT System on page 12.

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 IT System; or
- › including a valid reference to a file available on the internet in the form of a URI (for example, <http://www.myorganisation.edu/nros/myresearch.pdf>).

Files that are to be uploaded to the PBRF 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 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.

If providing a large file in the URI for the main research object in an NRO, please ensure that you indicate this in the EP submission. Ways to manage large files include:

- › using YouTube, Vimeo or Ustream for large videos (over 350 megabytes)
- › loading the large file onto a USB stick instead of via a URI (this can then be provided to the panel on request via the TEC)
- › 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 briefly.
6. Once your upload has completed, you will see a message advising you of the fact, and you can navigate 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 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 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 (see *Creating EPs using XML* on page 26.)

Creating EPs from the user interface

This section addresses the process of using the PBRF 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 6. This section assumes that the reader:

- › is familiar with the basic concepts of what the various components of an EP are
- › is familiar with the requirements for an EP as described in the *PBRF 2018 Quality Evaluation – Evidence Portfolio Schema Definition*
- › has assembled at least the basic information that is to be entered in an EP
- › has assembled some or all supporting files for NROs that are referenced in the XML.

To create an EP, you need to input the following information:

- › unique EP Identifier for the EP you are creating
- › the NSN
- › first, middle and last names, as well as preferred name
- › date of birth of the researcher
- › primary peer review panel requested for the EP
- › primary subject area of the EP
- › field of research description
- › text for the platform of research.



Note: When selecting a panel, the PBRF IT System does not constrain the available choices to only those that are recommended for the selected peer review panel in the *Guidelines for tertiary education organisations participating in the 2018 Quality Evaluation*. This is because, while assignments of specific research areas to certain peer review panels is advisable it is not an absolute requirement.

To create a base EP:

1. From the **Evidence Portfolios** tab, 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, Panel Details and Platform of Research – Contextual Summary 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 base EP will be saved and you will be taken to the *Draft* of the EP. You can continue to edit this information while it is in *Draft* form.
4. From the base EP, you have the option of adding components to the EP. 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 EP (the base 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 EP, select the **Submit for Validation** button to have the contents of the EP validated.



Note: Your EP information is saved every time you select the *Save* button. If you cannot complete the EP in one sitting, your information 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 on page 32

Evidence Portfolio, Staff Data and NRO file validation on page 23

Changing the preferred order of assessment

The preferred order of assessment is represented in the PBRF IT System by the order in which Extraordinary Circumstances, NROs and OROs 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 EPs, 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 you wish to have them assessed.

Editing HTML components

Within an EP, some fields allow the use of HTML in them.

These fields are:

- › ContextualNarrative (EP Platform of Research Contextual Summary)
- › Title (NRO)
- › OutputSource (NRO)
- › IndividualContribution (NRO)
- › Description (NRO)
- › Description (ORO)
- › Description (RC).

In an XML file, these fields are formatted as per the *2018 Quality Evaluation Guidelines – Evidence Portfolio Schema Definition*, but when creating an EP from the user interface, an HTML editing component is added to each field that allows the use of HTML.

The following functions can be performed in an HTML field.

Manual editing and formatting of text

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. Alternatively use the **Paste from Word** buttons at the top of the field to paste the text.

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, stripping font attributes
- › paste plain text (removing all formatting)
- › stripping format selectively from text (for example, stripping only elements, CSS, 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).

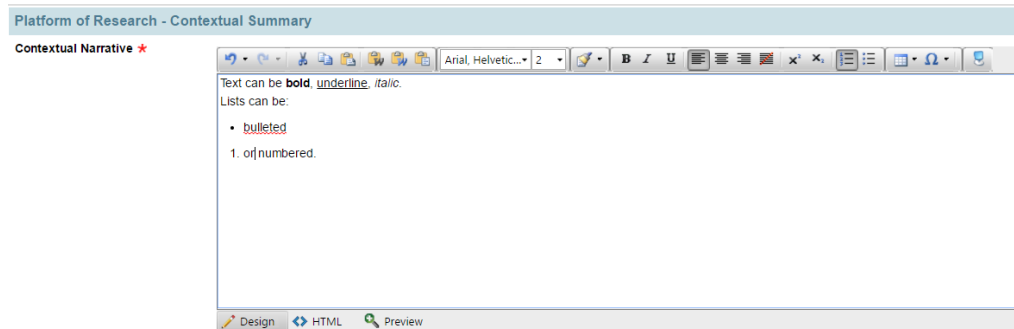


Figure 8: The HTML editing component.

Entering URIs

Within the NROs section of an EP, one URI can be entered for the Main Research Object for each NRO. Up to four URIs for supporting information can also be entered for each NRO. A URI can be:

A reference to a file that has been or will be uploaded to the PBRF IT System. 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. 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 (for example, not on a secured intranet site)

- › any spaces in the address will need to be replaced with %20 to be accepted into the PBRF IT System.

Inputting dates

When creating an EP 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 (08/06/2014)
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 10 years at a time.

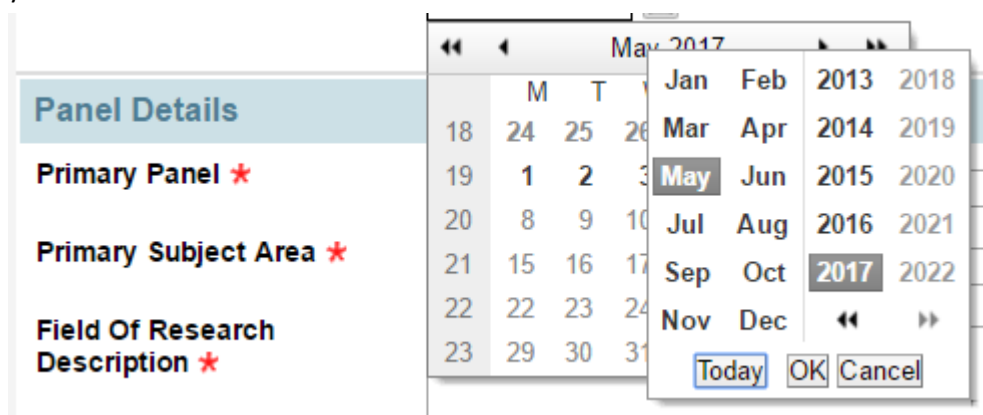


Figure 9: The date picker and year popup.

Removing a component

To remove a component 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?** check box 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.

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 IT System via XML, upload an XML file containing an EP that uses the same EP ID (in the <EvidencePortfolioID> component).



Note: The name of the XML file you upload will need 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 IT System processes an XML file that references an EP with an existing EP 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 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 must:

- › withdraw the *Active* EP; or
- › discard the *Draft* EP; or
- › change the EP 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 EP:

- › 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 EP will have the status of *Active*.

More information is available under *Evidence Portfolio, Staff Data and NRO file validation* on page 23.

Editing a Draft EP

Editing a *Draft* EP is the simplest option because it is already in *Draft* status (only *Draft* EPs 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 Portfolios** 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 EP Details, Researcher Details, or Panel Details, select the **Edit** link next to the applicable heading.
5. To edit Extraordinary Circumstances, first select the appropriate heading, then select the **Edit** link next to the component you wish to edit.
6. To create a new NRO, ORO, Research Contribution item or add an Extraordinary Circumstance 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 EP

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 34).
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 from 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 EP

If, for any reason, you do not wish an *Active* EP 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 EP 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 EP. Select **OK**.
4. You will be shown a confirmation message that the EP has been withdrawn.

Reinstating a Withdrawn EP

If you wish to have an EP that was previously withdrawn to go to 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 Portfolios** 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 EP has been queued for validation. If the EP passes validation, it will appear under the **Evidence Portfolios** tab as an *Active* EP.

See also:

Evidence Portfolio, Staff Data and NRO file validation on page 23

Staff Data

Overview

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

There are two essential prerequisites to successfully uploading a Staff Data file:

- › The file must have the correct structure, and must comply with the requirements identified in the *2018 Quality Evaluation Guidelines – Staff Data File Specification*.
- › The file must have the .CSV extension (for example, mystaffdata.csv).

When the file is uploaded to the PBRF IT System, it will first be checked for structure, then to ensure that it meets the requirements identified in the *2018 Quality Evaluation Guidelines – Staff Data File Specification*.

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



Note: Staff Data files do not add to existing Staff Data files, they replace them. This means that, potentially, an EP 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 Staff Data file, you are advised to run the *Evidence Portfolio and Warnings Report* (see *The Evidence Portfolio Errors and Warnings Report*).

Uploading Staff Data files

To upload a Staff Data file:

1. From either the **Staff Data** or **Validation Logs** tab, select the **Upload Staff Data file** button from the side menu on the right.
2. The *Staff Data file Upload* window will open.
3. Click on the **Select File** button, then navigate to and select the CSV 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 only briefly.

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 Staff Data file passes validation successfully.

Exporting Staff Data files

The PBRF IT System allows the user to export all the currently held Staff Data in a .CSV file format.

1. From the **Staff Data** tab, select the **Export Staff Data 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 may 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.

Reports and extracts

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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 EP does not meet the minimum requirements for assessment.

These are:

EPs created without a researcher in the Staff Data file

EPs without a researcher in the Staff Data file will not be assessed. As Staff Data may be submitted after EPs, the report will note No Staff Data yet submitted when a Staff Data 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.

EPs created where the researcher is shown as not PBRF eligible in the Staff Data file

A researcher must be PBRF eligible for their EP to be assessed. As Staff Data may be submitted after EPs, the report will note No Staff Data yet submitted when a Staff Data 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.

EPs 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 (see *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 EP for some researchers in the 2018 Quality Evaluation. This warning, therefore, is only advisory in case this happens by omission.

EPs 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 EPs as being held in the TEC repository, but have not been uploaded, along with a link to the EP concerned.

Name differences between EPs, Staff Data and NSI records

When a Staff Data file or EP 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 (for example, Jack/John, Meg/Margaret, Pete/Peter).

However, name information is obtained from the NSI and stored in the PBRF IT System, so that these differences can be checked to ensure that obvious inconsistencies are addressed. These may be between the Staff Data 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 Staff Data or EP to be changed to reflect the name used in the NSI.

Exporting Staff Data

The PBRF IT System allows the user to export currently held Staff Data in a .CSV file format.

1. From the **Staff Data** tab, select the **Export Staff Data 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 may 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.

The headings and contents of the extract are self-explanatory except for two flags that are calculated in the extract:

Transferring: A flag that denotes whether the Researcher has moved from one organisation to another participating TEO. This is determined by whether an End Date within the eligibility period has been entered, and whether there is a match with an Active EP submitted by another participating TEO (using the NSN).

Concurrently employed: A flag that denotes whether the Researcher is concurrently employed by more than one participating TEO. This indicates that no Active EP has been submitted by a TEO for this staff member, but there is a match to an Active EP submitted by another TEO (using the NSN). The staff member will also have no End Date and the FTE must be less than 1.00.

The information represented by these two flags can also be found in the Evidence Portfolio Errors and Warnings Report.

Exporting base EP data

The PBRF IT System allows the user to export 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 Extraordinary Circumstances, NROs, URIs, and OROs 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 may 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 Uploaded NRO Files List

A list of the NRO files that your TEO has uploaded to the PBRF IT System can be downloaded in .CSV format. The list also identifies the number of EPs that reference the NRO files (in total and by assessable EP), and the EP IDs of the referencing EPs.

1. From the **Evidence Portfolios** tab, Under the *Data Exports* panel in the side menu on the right, select the **Uploaded NRO Files List** button.



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 may 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.

The extract lists:

- › Organisation_Code
- › File_Name
- › File_Type
- › File_Size_Bytes
- › Date_Uploaded
- › Total_EP_Count
- › Assessable_EP_Count

- › EP_List.

Exporting Research Outputs and Contributions

The PBRF IT System allows the user to export a master list (in .CSV file format) of ROs and RCs submitted in EPs. There will be multiple entries for each EP – one for each output or component.

1. From the **Evidence Portfolios** tab, select the **EP RO & RC Details** 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 may 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.

The extract lists:

- › TEO (code and name)
- › Researcher NSN
- › EP ID

For each component:

- › Component Type
- › Component ID
- › Research Type
- › Description
- › Quality Assured
- › NRO Title
- › NRO Authors
- › NRO Year Available
- › NRO Source
- › NRO Researcher Contribution.

PDFs of EPs

The PBRF IT System allows you create a version of an EP in Adobe Portable Document Format (PDF). You can also bulk download PDFs of the EPs for your organisation the day after they are created.

Generating a PDF of a specific EP

To create a PDF of a specific EP:

1. Navigate to the EP from which you wish to create a PDF and open the EP details page.
2. Select the **Generate PDF** button from the side menu on the right.

3. Depending on your browser, you may be asked whether you wish to open or save the PDF.



Note: If you create a PDF of a large EP, the process may take some time. Do not reselect the **Generate PDF** button, or you will restart the process.

Bulk downloading of PDFs

The PBRF IT System also allows you to access PDF copies of EPs through a bulk download process. The FTP site for each TEO includes a PDF folder, in which the PBRF IT System will automatically create a PDF for each EP that is created or modified by that TEO. These PDFs are generated overnight, and are available to the TEO the following day.

Troubleshooting and FAQs

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”. Consult your browser’s help documentation as to how to set JavaScript or scripting to be enabled. A useful resource for multiple browsers can be found at <http://www.enable-javascript.com/>

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”. Consult your browser’s help documentation as to how to set JavaScript or scripting to be enabled (see <http://www.enable-javascript.com/>).

Solution 2: Navigate to <http://demos.telerik.com/aspnet-ajax/editor/examples/default/defaultcs.aspx> If you cannot enter or edit 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 IT System.

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

Special characters in the PBRF IT System (including macrons such as in Māori and non-breaking spaces used at the end of telephone numbers) are accommodated by using UTF-8 encoding. However, some applications do not recognise that files produced by extract processes are in UTF-8 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 UTF-8.

I cannot connect to the FTP server

There are many 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 such as `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 of 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 many 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 *The Validation Logs tab* on page 22) and refer to the *2018 Quality Evaluation Guidelines – Evidence Portfolio Schema Definition* for details on the requirements for the XML structure of EPs.
- 2. The file has been previously uploaded.** The PBRF 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* and refer to the *2018 Quality Evaluation Guidelines – Evidence Portfolio Schema Definition* 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. In this case, you may be shown a page that advises you of this situation, and may be requested to try again.

The log file reports that I have structural errors in my CSV Staff Data 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 (3/31/2017 rather than 31/3/2017). 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.

The *PBRF 2018 Quality Evaluation – Staff Data file specification* details the conventions for the Staff Data 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 Staff Data files:

- › You do not have to use double quotes for all fields, the PBRF IT System will accept a standard CSV file if 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*, then choosing *CSV (Comma delimited) (*.csv)* from the dropdown box below the file name (see below).
- › The PBRF IT System expects 17 fields to be present in the CSV file, any more or fewer will cause the file to be rejected as having an invalid file structure. Blank fields are represented as two commas (,,).
- › 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.

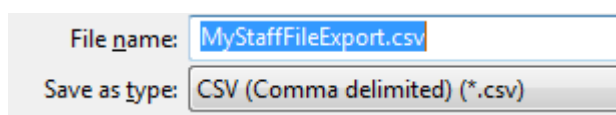


Figure 10: Choosing the file format when exporting from Excel.

The NSI reports that a researcher in my Staff Data file or EP 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.

Long URIs 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.

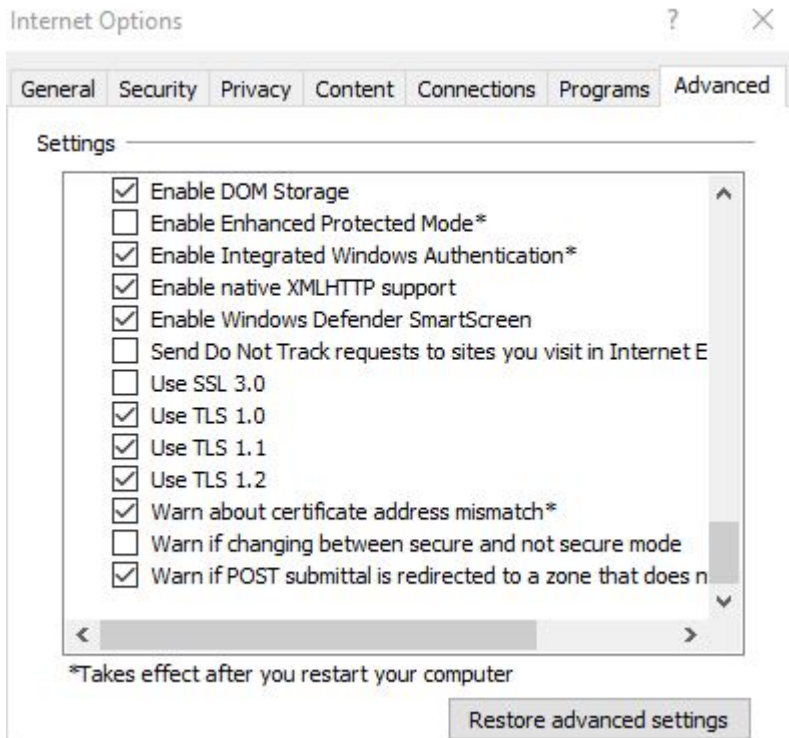
I am having trouble connecting with Internet Explorer 11

To use the PBRF IT System, certain security settings are required for Internet Explorer 11 (standard on Windows 7).

Check these by doing the following:

1. Click on the cog symbol at the top-right of the browser window
2. Select **Internet options**
3. Select the **Advanced** tab

4. Scroll down and check that the settings under *Security* are the same as those displayed below.



PBRF IT System Glossary

The general 2018 Quality Evaluation glossary is available in the *Guidelines for tertiary education organisations participating in the 2018 Quality Evaluation* (pages 124 to 129). Specific terms for the PBRF IT System have been defined below.

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.

Component scores

The scores from zero to seven that are assigned to each of the two components of an Evidence Portfolio (Research Output and Research Contribution).

Source: 2018 Quality Evaluation Guidelines.

Evidence Portfolio (EP)

TEOs collect information on the research outputs and research-related activity of their PBRF-eligible staff members during the assessment period. This information forms the EP that is submitted by the TEO to the TEC for assessment by a peer review panel.

Source: 2018 Quality Evaluation Guidelines.

FTP

File Transfer Protocol

FTP is a standard network protocol used to copy a file from one host to another over a network, such as the 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 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.

Source: 2018 Quality Evaluation Guidelines.

Moderation Panel

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

Source: 2018 Quality Evaluation Guidelines.

New and emerging researcher

A PBRF-eligible staff member who is undertaking substantive and independent research for the first time in their career and meets the criteria for new and emerging researcher status.

Source: 2018 Quality Evaluation Guidelines.

Nominated academic unit

The academic unit nominated by the TEO for each of the staff members for whom an Evidence Portfolio is submitted.

Source: 2018 Quality Evaluation Guidelines.

Nominated Research Outputs (NROs)

The up to four best research outputs that the PBRF-eligible staff member nominates in their Evidence Portfolio. NROs are given particular scrutiny during the Quality Evaluation process.

Source: 2018 Quality Evaluation Guidelines.

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* to every student enrolled in an education provider in New Zealand.

Source: Ministry of Education

The PBRF 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 New Zealand Ministry of Education.

Source: 2018 Quality Evaluation Guidelines.

Other Research Outputs (OROs)

Up to 12 research outputs that the PBRF-eligible staff member nominates in their Evidence Portfolio if they have four Nominated Research Outputs. OROs form evidence of the staff member's platform of research.

Source: 2018 Quality Evaluation Guidelines.

PBRF IT System

Online information technology system used by the TEC to administer and support the Quality Evaluation process.

Peer review panel

Group of experts who evaluate the quality of research as set out in an individual Evidence Portfolio. There are 13 peer review panels, each covering different subject areas.

Source: 2018 Quality Evaluation Guidelines.

Points/points scale

The points range used to score each of the two components of an Evidence Portfolio during the first stage in the assessment of an Evidence Portfolio. The points scale ranges from zero (lowest) to seven (highest).

Source: 2018 Quality Evaluation Guidelines.

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 Nominated Research Outputs selected for their Evidence Portfolio.

Source: 2018 Quality Evaluation Guidelines.

Quality Category

A rating of researcher excellence assigned to the Evidence Portfolio of a PBRF-eligible staff member following the Quality Evaluation process.

There are six Quality Categories: A, B, C, C(NE), R and R(NE). Quality Category A signifies researcher excellence at the highest level, and Quality Category R represents research activity or quality at a level that is insufficient for recognition by the PBRF. The A, B, C(NE) and R(NE) Quality Categories are available for new and emerging researchers.

The A, B, C and C(NE) Quality Categories are funded Quality Categories.

Source: 2018 Quality Evaluation Guidelines.

Quality Evaluation

The process that assesses the quality of research output produced by PBRF-eligible staff members, the esteem within which they are regarded for their research activity, the contribution they have made to the research environment and the impact their research has had within a given assessment period.

The Quality Evaluation is one of the three measures of the PBRF, along with the Research Degree Completion measure and the External Research Income measure.

Research Contribution (RC) component

A research contribution item is evidence that describes the contribution or recognition or impact of a staff member's research and research-related activities.

The Research Contribution (RC) component is one of the two components of an Evidence Portfolio and is worth 30 percent of the overall assessment score.

A research contribution type is one of the 12 defined categories for listing research-related activity in an Evidence Portfolio.

Source: 2018 Quality Evaluation Guidelines.

Research Output (RO) component

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 two components of an Evidence Portfolio and is worth 70 percent of the overall assessment score.

A research output type is one of the defined categories for listing research outputs in an Evidence Portfolio.

Source: 2018 Quality Evaluation Guidelines.

Staff Data File

A file submitted by participating TEOs that provides detailed information on all PBRF-eligible staff members for whom an Evidence Portfolio is being submitted, and transferring or concurrently employed PBRF-eligible staff members.

TEOs participating in the PBRF are required to submit a PBRF Staff Data file containing information for staff members employed or contracted for services between 15 June 2017 and 14 June 2018.

Source: 2018 Quality Evaluation Guidelines

Subject area

One of the 43 subject areas defined to represent the range of research disciplines assessed in the Quality Evaluation.

Source: 2018 Quality Evaluation Guidelines.

TEO

Tertiary education organisation.

Source: 2018 Quality Evaluation Guidelines.

Tie-points

The standards expected for the scores two, four and six in each of the two components of an Evidence Portfolio.

Source: 2018 Quality Evaluation Guidelines.

Total weighted score

The sum of the points allocated to each component of the Evidence Portfolio during the first stage of assessment, multiplied by the weighting for each component.

Source: 2018 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 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: 2018 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 EP and supporting files and the Staff Data file is checked to see if it complies with the format and business rules that are required for the 2018 Quality Evaluation. See *The validation process* on page 22.

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 with which an XML document must conform to be considered valid. 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 IT System, the XSD supplied to the participating TEOs is used as part of the validation process for uploaded XML files.

Acronyms

ASCII	American Standard Code for Information Interchange
CSV	Comma-separated value
EP	Evidence Portfolio
ESL	Education Sector Logon
FTE	Full-time equivalent
FTP	File Transfer Protocol
HTML	Hypertext Markup Language
NE	New and Emerging
NRO	Nominated Research Output
NSI	National Student Index
NSN	National Student Number
ORO	Other Research Output
PBRF	Performance-Based Research Fund
RC	Research Contribution
RO	Research Output
TEC	Tertiary Education Commission
TEO	Tertiary Education Organisation
URI	Universal Resource Identifier
UTF-8	Universal Character Set Transformation Format – 8-bit
XML	Extensible Markup Language
XSD	XML Schema Document

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