REFTool Requirements Document

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# TODO general:

## From 1/01/2018 meeting:

* ~~default - assign paper to REF instead of paper+author for MDX first author.~~
* ~~Show external authors, but don't allow them to be assigned to a REF~~. see note below

## From 21/02/2018 meeting:

* Ex-mdx employees are allowed.
* Authors who were never MDX employed.
* ~~Add another column on the spreadsheet (ex/current MDX employee? Y/N)~~
* ~~The MDX ex/current employee will be done only via the spreadsheet.~~
* ~~The verification will exists for co-authors. names not imported from the spreadsheet~~
* ~~First step after importing it~~
* ~~Add icon to print (every page and pop-ups)~~

## From 17/04/2018 meeting:

* Progress when importing paper (per author ”X of Y completed”).
* Flag when is co-author (not imported from the spreadsheet)
* ~~Double check duplicates~~
  + ~~Olga (102 publications since 2014)~~
  + ~~Duplicated for Olga~~
  + ~~A systematic review and meta‑analysis of psychological predictors of successful assisted reproductive technologies 2017-12-07~~
  + [~~http://eprints.mdx.ac.uk/23121/~~](http://eprints.mdx.ac.uk/23121/)
  + [~~http://eprints.mdx.ac.uk/23224/~~](http://eprints.mdx.ac.uk/23224/)
  + ~~Done twice by automated process SWORD~~
  + [~~http://eprints.mdx.ac.uk/15311/~~](http://eprints.mdx.ac.uk/15311/)
  + [~~http://eprints.mdx.ac.uk/19480/~~](http://eprints.mdx.ac.uk/19480/)
  + ~~Edited with publisher formatting. Keep the last one based on the date added to the system~~
  + ~~Same person uploaded same paper twice at different stage~~
  + .
  + **Conclusion by Balbir: don’t touch them (case by case)**
* ~~Data too long for column 'publisher' at row 1~~
* **New:**
* 10 authors in one REF, 2.5 papers per person (requirement) – check if we meet the minimum requirement of paper
* Get the documentation talking about the government requirements from Balbir
* Add an option to ignore authors manually. Just remove them from the publications per author
* <https://gsd.mdx.ac.uk/reftool/publicationsPerAuthor.php#popUp>
* Allocate to REF here instead of where is currently is (TO BE DECIDED LATER ON)

## From Balbir’s email on 17/04/2018:

The XLS List should be regarded as GoD.

1. \*\* There should be menu option that shows me a count of the imported person and their paper count as an author or co-author.

2. \*\* I should be able to select a person, go to their set of publications and assign a paper to a REF unit (it will have a default value) and also assign a paper to them (as per the rules of at least 1 up to 5).

9. \*\*\* On the import, can you assign a default REF Unit? Otherwise it takes a long time to set each paper. Maybe it could be a field in the import xls. (So would need to provide guidance and an enumerated drop-down list. Given that each import will focus on a a dept.

a. For CS – it should be unit 11

b. For DEM – it should be 12 – Engineering

3. Paper details at this stage can be observed and they can also be allocated an ERA score if appropriate. This should be possible for all papers belonging to the selected author regardless if they are allocated or not.

4. \* There should be a menu option “Show allocated/unallocated staff”. It should be possible to show the relevant list or both lists. The list details will show how many papers are assigned, and what unit they are allocated to. Only employees or ex-employees are allocatable.

5. \*\*\* Thinking aloud, it might be easier to treat ex-employees as members of the GoD Imported XLS that way they can be assigned.

6. The more I think about it, the better that is. We can then also ignore any other co-author (as they are not relevant). It would still be necessary to flag employees versus ex-employees. But all other co-authors can be ignored. I think that should simplify things.

7. It would be nice to have multiple selection action. That is, select 1-5 papers of an author and assign all an ERA score or allocate papers to a ref unit.

8. \*\*\* After an import, the “Show Full List” shows all creators and because they will have all at least one paper, a key piece of information of the imported data is lost. That is, I want to know which member of the imported XLS has not authored any papers.

10. It would be useful to be able to archive a project and then be able to import it. Ideally in a human readable format so possibly externally editable.

It took about 4 minutes to import the data at home. This is probably the biggest data set. Nat Sci will have about 50 academics. PSY about 35.

Wow, that’s a lot.

The ones that are \* are perhaps the most important.

# Introduction

1. This document sets out the functional requirements of the REFTool. REFTool aims to support the planning and preparation of REF submissions from the faculty of science and technology. A key assumption is that research papers are presumed to be stored in the MDX research repository.

# Users

1. The system must be able to support the creation of multiple users. Initially, for the purposes of testing, one user will be sufficient.
2. User id will be of the form: mdx-email address. Password will default to reft001.
3. Users will be able to change their passwords.

# Projects

1. The system must allow the creation of projects which will support analysis and preparation for REF submissions. Such projects will allow the partitioning of REF preparations into REF units or departments or be experimental.
2. The system must allow the set up of a configuration mapping that maps CORE Rankings to scores. The following mappings are proposed:
   1. A\* > 3.5
   2. A > 3
   3. B > 2.75
   4. C > 2.5

# Reference Data

1. For computer science and indeed for other disciplines, the Australian CORE rankings provides a spreadsheet of journals and conferences that are ranked as A\*, A, B, C and NR (not ranked). This spreadsheet should be imported into the system and function as a look-up table.

# Paper Collection

1. Given a spreadsheet, containing names in the form of first name, secondname, the system will firstly import all names into its database.
2. For each name, it will be possible to initiate a collection process that will access the repository and bring in each paper found to be authored by that name. Full details of the papers will be collected.
3. It will be possible to change the name of the person and run the collection process again. This is needed where the name supplied does not match the name given in the repository.

# Paper Allocation

1. Authors / academic staff will have written several papers often jointly with other authors from either the same institution or others.
2. For an imported name from Middlesex, it will be possible to see the list of the papers authored by that ~~creator~~ author imported.
3. It must be possible to assign a paper to a ~~creator~~ author imported. Each imported name must have at minimum 1 paper and a maximum of 5 papers.

# REF UNITS

1. The unit of assessment is called a REF Unit. For the faculty, the following units will be required:

1 - Clinical Medicine

2 - Public Health, Health Services and Primary Care

3 - Allied Health Professions, Dentistry, Nursing and Pharmacy

4 - Psychology, Psychiatry and Neuroscience

5 - Biological Sciences

7 - Earth Systems and Environmental Sciences

10 - Mathematical Sciences

11 - Computer Science and Informatics

12 - Engineering

14 - Geography and Environmental Studies

20 - Social Work and Social Policy

24 - Sport and Exercise Sciences, Leisure and Tourism

1. The number is unique and should be used as an identifier in the form of UoA11 (to identify computer science for example).
2. There must be a table that contains the name and id of each of the above units.
3. ~~Creators~~ author imported representing all academics in a given project must be allocated to a REF Unit.
4. It will be possible for a creator to be allocated to more than one REF unit. However, if there is a multiple allocation, then it must be fractional, and add up to 1.0 FTE (Full time equivalent). Given that a creator can have a maximum of five papers, then a creator can be allocated to a maximum of 5 REF units at 0.20 FTE.
5. Allocation to REF unit can be done in one of two ways:
   1. It can be done definitely, So given a list of creators, it will be possible to select a refunit to which the creator belongs.
   2. Papers can be allocated to REF units and so indirectly, a creator belongs to a REFUnit.

# REPORTING

1. The system will produce a range of reports. Some are already visible in the system. The reports are as follows:
2. All academics not assigned to a REF unit.
3. REF units and their allocated creators together with the FTE allocated.
4. All REF units and the papers allocated together with their scores.
5. All REF units with no papers.
6. For a given ref unit, list the papers that are 4\*, 3\*, 2\*, 1\*.
7. ~~All creators and their papers~~ together with their scores.
8. All papers that are not scored.
9. All REF units, with their impact case studies.
10. All REF units with no impact case studies.

# IMPACT Case studies

1. Impact case studies are also a component of the research excellence framework. The rules regarding these are quite complex. For the moment, the following support is necessary.
2. The system must support the creation of an impact case study: This impact case study entity will have the following properties: name (text), primary creator (text), impact description (text), underpinning research (text), score (4\*, 3\*, 2\*, 1\*, R, NR).
3. An impact case study must be related to at least one REF unit.