

Report on the content and technical structure of the **SIPER** Infrastructure



RISIS "Research infrastructure for research and
innovation policy studies"

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Report on the content and technical structure of the *SIPER* infrastructure (Task 6 of WP6)

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1 Basic characteristics

- SIPER (the Science and Innovation Policy Evaluation Repository) is a database consisting of two main components:
 - an on-line **repository** of evaluation reports (in pdf format) relating to innovation and science policy instruments; and
 - a structured **searchable database** of information relating to the characterisation of the reports and their related content.
- The aim of the database is twofold: to provide on-line access to a unique collection of policy evaluation reports, located at a single location; and to provide an informed analysis of the database contents in a way that is both searchable for policy makers and other stakeholders and provides the basis for additional academic analysis.
- The holding authority is the University of Manchester (UNIMAN), Manchester Institute of Innovation Research (MIOIR)
- The database is located on University of Manchester servers and will be available on-line only (opening date November 2016) – no on-site access will be provided as this will not be necessary.
- The database interface has three sections:
 - SIPER Admin: a password controlled access site used by core SIPER Team members ('super-users') for the overall administration and management of SIPER. Other members of the SIPER Team and external data coders have limited access to certain functions for the upload of documents and data characterisation (FC) input.
 - SIPER (PM) site: Limited access site (password controlled) for data entry on specific judgemental characterisations (JC) of selected evaluation reports – open to policy makers on an invitation-only basis.
 - SIPER Public site: This site offers access to the repository of evaluation reports and provides a searchable interface based on the database of evaluation characterisations. Any evaluation reports located through the search process are downloadable in pdf format.

2 Information on substantive content of SIPER

2.1 Definition and description of observations

- The principle unit of analysis of SIPER are Evaluation Reports relating to publicly funded Science and Innovation support programmes.
- Each evaluation report is subject to a characterisation process which results in the production of a number variables each with one or more associated values
- Observations relate mainly to English-language evaluations but are also supplemented by those in French, Spanish, Portuguese and German where relevant.
- The number of observations is estimated at 700 (June 2016) but an initial target of 1,000 is envisaged by early 2017.

2.2 Data acquisition and processing (e.g. data cleaning)

- Evaluation reports relating to publicly funded Science and Innovation support schemes have been located mainly from publicly accessible web-sites, generally those relating to ministries, government agencies and agencies, national and supra-national organisations, and leading evaluation practitioners.
- The reports have been located through a range of targeted on-line search procedures, supplemented by previously identified reports available to the project team and from personal contacts.
- The data have been retrieved from publicly available evaluation reports, published since 2000, although earlier 'seminal' evaluations may be included on a selective basis. Since SIPER is a 'live' database, data retrieval is an ongoing process and newly published evaluation reports are being continually added.
- Additional data (evaluation reports) have been provided through negotiated access to:
 - OECD evaluation reports
 - DG RTD and DG REGIO evaluation reports
 - Over 145 Austrian evaluation reports¹
 - A research group led by Prof. Sergio Salles-Filho and Dr. Adriana Bin from UNICAMP (São Paulo, Brazil) have been rolling out their work with the SIPER core team since May 2016².
- No data cleaning of these reports is required (other than the conversion of documents in Word format to pdf).
- Data processing consists of a process of in-house analysis and the characterisation of evaluation report contents.
 - Each evaluation retrieved and stored in the repository is read by a member of the internal SIPER Team.
 - It is then characterised (coded) according to a data entry template (see Annex 1a) housed on the SIPER Admin site.
 - The coding is entered directly via the SIPER Admin site into the SIPER databaseThe overall flowchart for processing an evaluation report through the characterisation procedure is shown in Annex 2.
- All SIPER Team members are experienced evaluators and have familiarity with the range of evaluation concepts and terminology; thus, where external assistance is used for data coding (for example, in the case of non-English language evaluation reports), an extensive training process is employed to ensure consistency and common understanding. Random checks on coded data are also conducted by a member of the SIPER core team.
- Despite the shared experience of the SIPER team, a quality control process was introduced in order to ensure that there was minimal variation in the data characterisation process and to enhance mutual understanding. This involved the parallel coding of a number of evaluation reports by the entire team, comparison of the outputs, follow-up team discussion of any coding discrepancies and agreement on future coding protocols. Three iterations of this process were performed.

¹ See Section 6 Stakeholder relations.

² See Section 6 Stakeholder relations.

- The above process is applied to any coders providing external assistance.
- To assist in the process of coding, a Guidance Manual has been produced (see Annex 3).
- An initial assessment of Judgemental Characteristics is made in-house. Policy makers having a direct connection with the programme that forms the subject of the evaluation report are then invited to provide external validation of the information and to provide additional information on the use and uptake of the report. The data collection template relating to this process is provided in Annex 1b.

2.3 Information on all variables/indicators

- The data collection template is provided in Annex 1a³. The data observations/characterisations fall into a number of variable types and sub-types, namely:
 - General Report information
 - Respondent information
 - About the policy measure being evaluated: Information on the corresponding policy measure: a novel typology of policy measures has been developed building upon previous typologies which cover innovation-support measures and extending to the area of science programmes. The categorisation is multi-dimensional (i.e. reflects modality, target, policy issue and other pertinent variables) – (See Annex 4)
 - Information on the evaluation
 - Basic characteristics of the evaluation
 - Topics covered: Aspects of the programme covered by the evaluation
 - Evaluation design: design approaches employed for the evaluation
 - Data Collection Methods: Methodologies employed to collect the basic evaluation evidence/information
 - Data Analysis Methods: Methodologies employed to analyse the data collected
 - Dissemination: Judgemental Characterisation information input by SIPER Team and validated by relevant Policy Makers
 - Quality issues: Judgemental Characterisation information input by SIPER Team and validated by relevant Policy Makers
 - Impact of the evaluation: Judgemental Characterisation information provided by relevant Policy Makers
 - Comments
- These are more fully elaborated below to indicate the nature of the variables and indicators.

³ Note that the template in the working version of SIPER exists as a web-based input format only. Those reproduced in Annex 1a and Annex 1b are based on a temporary solution, using the on-line survey software package Qualtrics, for gathering coded data whilst the database and administrative interface were under development.

FC data characterisation

- **Respondent information:** *Full name (free text)*
- **About the policy measure being evaluated:**
 - *Title in English – free text*
 - *Title in native language – free text*
 - *Country policy measure belongs to – drop down selection*
 - *Options for multiple countries – free text*
 - *Options for Supranational Bodies – free text*
 - *Target (beneficiary) of support (10 options; non-exclusive)*
 - *Modality (how support is provided) – (7 options; non-exclusive)*
 - *Explicit policy objectives (why support is provided) – 15 options; non-exclusive)*
- **Information on the evaluation**
 - *Title in English – free text*
 - *Title in native language – free text*
 - *Country evaluation belongs to – drop down selection*
 - *Options for multiple countries – free text*
 - *Options for Supranational Bodies – free text*
 - *Year of first publication – drop down selection*
 - *Evaluation code – unique identifier allocated by administrator*
- **Basic characteristics of the evaluation**
 - *Who conducted the evaluation? – (4 options; non-exclusive)*
 - *Timing of the evaluation (4 options; non-exclusive)*
 - *Purpose of evaluation (3 options; non-exclusive)*
 - *Does evaluation refer to programme logic/intervention rationale? (3 options; exclusive)*
- **Topics covered:**
 - *Aspects of the programme examined by the evaluation (19 options; non-exclusive)*
 - *Option for Quality of outputs; (binary)*
 - *Option for geographical scope of outcomes/impacts (binary)*
 - *Options for geographical level (3 options; non-exclusive)*
 - *Options for type of impact/effects (6 options; non-exclusive)*
 - *Options for unintended effects (binary)*
 - *Options for additionality (3 options; non-exclusive)*
 - *Options for sectoral nature of collaboration (4 options; non-exclusive)*
 - *Options for geographical scope of collaboration (4 options; non-exclusive)*
 - *Options for form of collaboration (3 options; non-exclusive)*
 - *Options for type of mobility (3 options; non-exclusive)*
- **Evaluation design:**
 - *Type of design approaches employed for the evaluation (3 options; non-exclusive)*
 - *Options for type of quasi-experimental design (3 options; non-exclusive)*
 - *Did evaluation involve comparison between evaluated measure and similar measures? (binary)*
 - *Did evaluation include benchmarking against outcomes of previous phases/evaluations of the measure? (binary)*
- **Data Collection Methods:**
 - *Which data collection methods were employed? (12 options; binary selection)*
 - *Options for type of existing databases/monitoring data (3 options; non-exclusive)*
 - *Options for types of survey used (7 options; non-exclusive)*
 - *Options for type of interviews used (7 options; non-exclusive)*

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- **Data Analysis Methods:**
 - *Which data analysis methods were used? (9 options; non-exclusive)*
 - *Option for use of citation analysis of IP data (binary)*
 - *Option for use of citation analysis of publications data (binary)*
 - *Options for type of altmetrics data used (freetext)*
- **Quality issues:**
 - *Did the report refer to objectives of the measure evaluated?*
 - *Did the report clearly state evaluation objectives?*
 - *Assessment of choice and balance of methods (sliding scale, 1-100)*
 - *Assessment on the evaluation design and implementation of the chosen methodology (sliding scale, 1-100)*
 - *Assessment of information sources used in the report (sliding scale, 1-100)*
 - *Assessment of analysis presented in the report (sliding scale, 1-100)*
 - *Assessment of appropriate coverage of broader context (sliding scale, 1-100)*
 - *Assessment of appropriate application of the chosen qualitative methods (sliding scale, 1-100)*
 - *Assessment of appropriate application of the chosen quantitative methods (sliding scale, 1-100)*
 - *Assessment of conclusions and recommendations (sliding scale, 1-100)*

JC data characterisation

- **Dissemination:**
 - *Publication or release date (earliest) of the evaluation report*
 - *Availability of Evaluation Report (7 options – non-exclusive; free text input available on 2 options)*
 - *Was evaluation conducted as a condition of external/international (co)sponsorship? (3 options; exclusive)*
 - *Did the policy measure have a dedicated budget for evaluation? (5 options; exclusive)*
 - *What prompted this evaluation? (7 options; non-exclusive)*
- **Quality issues:**
 - *Role of PM in this programme (4 options; non-exclusive)*
 - *Did the report clearly refer to the objectives of the measure/programme evaluated? (binary)*
 - *Did the report clearly state the evaluation objectives? (binary)*
 - *Assessment of choice and balance of methods (sliding scale, 1-100)*
 - *Assessment of treatment of evaluation design and methodology (sliding scale, 1-100)*
 - *Assessment of information sources used (sliding scale, 1-100)*
 - *Assessment of presented analysis (sliding scale, 1-100)*
 - *Assessment of coverage of broader context (sliding scale, 1-100)*
 - *Assessment of appropriate application of chosen qualitative methods (sliding scale, 1-100)*
 - *Assessment of appropriate application of chosen quantitative methods (sliding scale, 1-100)*
 - *Assessment of conclusions and recommendations (sliding scale, 1-100)*
- **Use of evaluation:**
 - *Did the evaluation report contain any recommendations? (3 options; exclusive))*
 - *Was the evaluation intended to be used to inform decision making on the following aspects?*
 - *Design of programme/measure (3 options; exclusive)*
 - *Management and implementation of programme/measure (3 options; exclusive)*
 - *Termination of measure/programme (3 options; exclusive)*
 - *Extension/continuation of measure/programme (3 options; exclusive)*
 - *Merger with other measure/programme (3 options; exclusive)*
 - *Design of subsequent measures/programmes (3 options; exclusive)*
 - *Other attributes/purposes (3 options; exclusive)*
 - *Were any actions taken as a result of the evaluation?*
 - *Design of programme/measure (5 options; exclusive)*
 - *Management and implementation of programme/measure (5 options; exclusive)*
 - *Termination of measure/programme (5 options; exclusive)*
 - *Extension/continuation of measure/programme (5 options; exclusive)*
 - *Merger with other measure/programme (5 options; exclusive)*
 - *Design of subsequent measures/programmes (5 options; exclusive)*
 - *Other attributes/purposes (5 options; exclusive)*
 - *[Conditional question] What was the reason that the evaluation was not subsequently used for the purpose for which it was initially intended? (4 options; exclusive plus free text)*
 - *Who were the primary intended users of the evaluation? (6 options – max 3 selectable)*
 - *Stages of the evaluation in which the primary intended users were actively engaged (5 options; non-exclusive)*
 - *Did evaluation help deepen understanding and knowledge of programme and its effects?*
 - *Understanding and knowledge of this policy measure*
 - *Usefulness of evaluation findings (sliding scale; useful – not useful)*
 - *Usefulness of evaluation process (sliding scale; useful - not useful)*
 - *Understanding and knowledge of STI policies in general*
 - *Usefulness of evaluation findings (sliding scale; useful – not useful)*
 - *Usefulness of evaluation process (sliding scale; useful - not useful)*

Ctd.

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- *Did evaluation help other groups of stakeholders deepen understanding and knowledge of programme and its effects?*
 - *Understanding and knowledge of this policy measure*
 - *Usefulness of evaluation findings (3 options; exclusive)*
 - *Usefulness of evaluation process (3 options; exclusive)*
 - *Understanding and knowledge of STI policies in general*
 - *Usefulness of evaluation findings (3 options; exclusive)*
 - *Usefulness of evaluation process (3 options; exclusive)*
- **Comments:** *(free text)*

2.4 Sectorial, temporal and geographical coverage

- Information on the sectorial classifications used:
 - A classification scheme for science and innovation policy measures has been developed (see Annex 4).
 - Minimal sectorial data is collected – please refer to Annex 1 to view broad level classifications applied. [None are based on or utilise standard classification systems such as SIC coding]
- Information on the temporal coverage used: The database covers evaluation reports that have been published from 2000 to the present date.
- Information on the geographical coverage and classifications used: A complete set of World countries is utilised as drop-down options. These cover: EU-member states and non-EU countries. No regional data classification has been utilised.

2.5 Quality and accuracy of data

- Information on the number of missing values: At this stage, as the database has not gone live, this estimate is not quantifiable.
 - We anticipate that the FC data will not include any missing values since it is input in-house.
 - Should the Policy Maker pilot prove successful, there is a risk that data may include some missing values. However, this is a remediable situation.
- Estimation of data quality issues with respect to data acquisition, reliability of retrieving system: This is not a relevant issue with the in-house produced data.
- To date, some 700 evaluation reports have been located and are stored in electronic format (pdf).
- We cannot assess the total population of evaluation reports (a target of 1,000 has been set for early 2017); the aim is to continue the collection and coding of reports on an ongoing basis, subject to the continuation of resources.

3 Legal issues encountered and access conditions

- Legal issues concerning access of the database:
 - Although the data has been accessed from public web-sites, in order to adhere to any confidentiality and copyright restrictions, all data displayed in the public site is accompanied by a disclaimer which allows the owner of any report to withdraw it from the SIPER public site provided valid reasons for doing so are provided.
- Owner of raw data:
 - The evaluation reports (electronic format) remain the property of the original publishers or the authors. However, since all are sourced from public sites, they are in theory in the public domain (see disclaimer note above)
 - MIOIR (University of Manchester) retains the right to the characterised/coded data and information derived from the analysis of the evaluation reports. However, it is fully recognised that this is publicly accessible data.
 - Data collected via the Policy Maker characterisation process is obtained under the condition that it retains its anonymity. We are investigating ways in which this may be opened to public use whilst retaining anonymity.
- Current practice for opening up of the database to external users:
 - None (not operational as yet);
 - Opening of the Public website is planned for November 2016.
- Legal necessities for potential opening procedures:
 - None are foreseen other than the provision of a disclaimer over the use and provenance of evaluation reports (see box).

Disclaimer (Public Website)

All evaluation documents have been retrieved from public domain sources. Any users of the SIPER repository should adhere to the relevant source terms and conditions of use, as stated on the source website and/or within the document itself. Any concerns over the use of these documents should be communicated to: superuser.siper@manchester.ac.uk.

4. Technical summary of SIPER

4.1 Information on the database system

- The application is written with MVC4/.Net 4.5. JavaScript / JQuery are also used.
- The application's databases are hosted on the server QLDef.dbs.ds.man.ac.uk, 6503 (SQL Server 2012).
- There are four web applications for the project, technical details explained below:
 - Part A, SiperPortalBasic:
This is basic data gathering tool, available for a limited number of users restricted to the SIPER project team. It offers the basic data gathering

facilities for user to enter certain project data, full details can be seen in the specification for the tool – “P00418a – SiperPortalBasic”. This application was only used as a temporary tool during phase 1, and was not authenticated. The functionalities are covered in the full version of the admin tool (Part B) – see Annex 5.

- Part B, SiperPortalAdmin:
The full version of the SIPER Portal admin tool, an authenticated site for members of the SIPER project team. It is protected by the University’s Central Authentication Service (CAS). The application offers facilities for researchers to administer project data. Full details are covered in the specification “P00418b – SiperPortalAdmin”.
- Part C, SiperPM:
An authenticated site with restricted access available to the external stakeholders (Policy Makers, or PMs), to enable them to work on authorised parts of the project data. This is protected by the application’s own authentication system. Full details are covered in the specification – “P00418c – SiperPortalPM”.
- Part D, SiperPortalPublic:
A public site with searching functionality, accessible to public users and which allows them to search the project data. Full details are covered in the specification – “P00418d – SiperPortalPublic”.

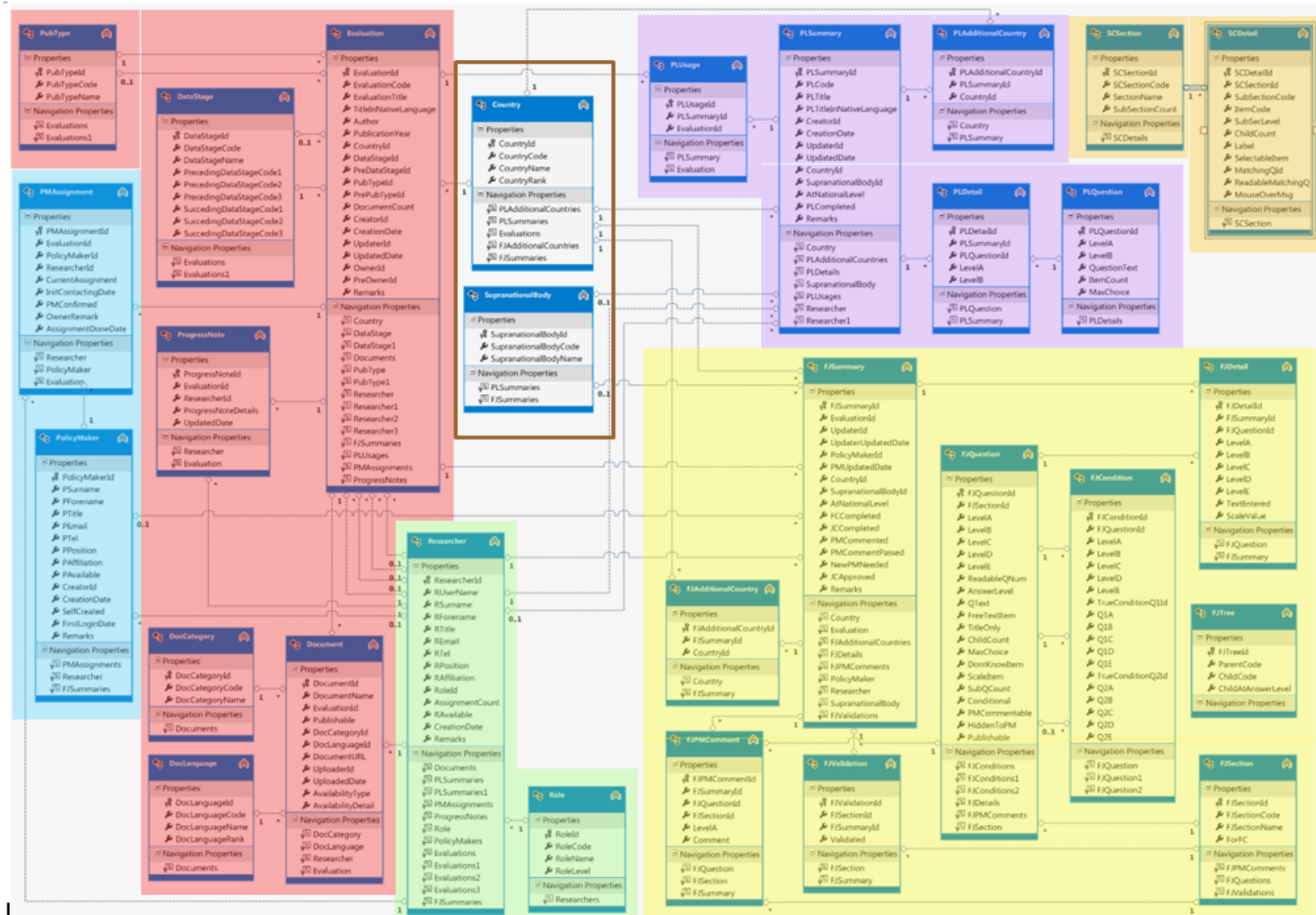
4.2 Technical variable definition

- Labelling of all variables: finalized
- Data type of all variables: varied, details as follows:
 - Integer: for example, DataStageId and PrecedingDataStageCode
 - Nvarchar: for example, QuestionText and PLTitleFor more details about data types please see Appendix 7 – Data table details – v5.1
- Current usage and definition of unique identifiers: Unique Identifiers are automatically generated through the Admin site as researchers upload evaluations onto the system.

4.3 Description of the Entity Relationship Model of SIPER (if applicable)

- There are two main tables: evaluations and policy measures. Evaluations include a number of evaluation characteristics; policy measures include a number of policy measure characteristics. These two tables will be linked in a many-to-many relationship (as there are evaluations covering multiple policy measures and there are policy measures that have been evaluated multiple times).

The overall data schema for SIPER is provided below:



Colour code:

Basic evaluation data

FC/JC data

Policy measure data

Policy maker data

Researcher data

Search condition data

PM authentication data

Overlapping data

Note on ambiguous relationship name:

[Evaluation] DataStage / [DataStage] Evaluation: (Current) DataStage
[Evaluation] DataStage1 / [DataStage] Evaluation1: PreDataStage
[Evaluation] PubType1 / [PubType] Evaluation: (Current) PubType
[Evaluation] PubType1 / [PubType] Evaluation1: PrePubType

[Evaluation] Researcher / [Researcher] Evaluation: Creator
[Evaluation] Researcher1 / [Researcher] Evaluation1: Owner
[Evaluation] Researcher2 / [Researcher] Evaluation2: PreOwner
[Evaluation] Researcher3 / [Researcher] Evaluation3: Updater

[PLSummary] Researcher / [Researcher] PLSummary: Creator
[PLSummary] Researcher1 / [Researcher] PLSummary1: Updater
[FJSummary] Researcher / [Researcher] FJSummary: Updater
[FJQuestion] FJCondition / [FJCondition] FJQuestion: FJQuestion
[FJQuestion] FJCondition1 / [FJCondition] FJQuestion1: TrueCondition1
[FJQuestion] FJCondition2 / [FJCondition] FJQuestion2: TrueCondition2

5 Further planning of the opening of SIPER

- Identification and collection of further evaluation reports will be undertaken through Summer 2016 and onwards, in liaison with OECD and EC officials, with French and Austrian colleagues and with colleagues from UNICAMP, University de Campinas, Sao Paolo, Brazil.
- In parallel, internal searching for additional reports will be continued in-house.
- Ongoing coding and characterisation of new reports will also be ongoing. Since the production of evaluation reports is an ongoing process, this will continue through the lifetime of SIPER in order to make it a fully comprehensive and up-to-date resource. It is also likely that additional older reports will also be located, especially as we extend the geographic range of the search process.
- We will undertake a pilot of the Policy Maker Judgemental Characterisation process to test the robustness and associated resource costs of this procedure. This will take place Summer 2016 using selected policy makers.
- A 'soft launch' of public version of the facility is anticipated to take place in the European Evaluation Conference in Vienna in November 2016.
- We anticipate that some preliminary findings will be available for presentation at the RISIS week 2017.

6 Stakeholder relations

- Throughout the development of SIPER, a large degree of interest in its future use and implications has been expressed by a number of external stakeholders who have recognised its high visibility and potential, both as a policy tool and as an academic resource.
- Significant interest has stemmed from the OECD, who together with the World Bank are extremely keen to capitalise on the work done on SIPER and to integrate it, in some form or other, with the OECD's Innovation Policy Platform (IPP - <https://www.innovationpolicyplatform.org/>).
- Extensive discussions around this issue have taken place, via phone and in face to face meetings in Paris and Washington. These are ongoing but it is clear that some sort of inclusion of SIPER within the IPP will take place (either through an embedded link in the IPP to the SIPER website or, if technically feasible, through an interactive link between the two resources).
- Interest has also been shown from staff at the DG RTD Joint Research Centre, IPTS – Innovation Systems Analysis Unit. Discussions here have focused on the potential inclusion/linkage of SIPER (particularly the repository of evaluations) in the Research and Innovation Observatory facility (located at: <https://rio.jrc.ec.europa.eu/en>). Activities so far include the exchange of collected evaluation reports between the SIPER team and JRC/IPTS.
- DG RTD staff engaged with the Policy Support Facility Mutual Learning Exercise (PSF/MLE) have also expressed interest in the future accessibility of SIPER. A brief presentation of SIPER was made at the kick-off meeting of the PSF/MLE on the Evaluation of Direct Measures for the Support of R&D which prompted significant interest from policy makers from Denmark, Spain, Norway, Germany and Sweden.

- The SIPER team has started a co-operation with Klaus Schuch, who is President of the Austrian Evaluation Platform. This platform systematically collects all evaluations in Austria and many international evaluations. It is also a network of practitioners and academics including members outside Austria, with a journal and regular workshops. The platform is organising, for the second time in 3 years, an evaluation conference in Vienna (together with IFRIS, Paris, and MIOIR, Manchester), the second one taking place end of November (<https://conference.zsi.at/index.php/OPENEVAL/OPENEVAL2016>). The platform has made available to us all evaluations conducted in Austria within our time window. This has provided access to over 145 evaluations from Austria, by far the largest contingent of all countries so far. The platform is very interested to support us beyond the collections of the evaluations. We have thus been in discussions to mobilise additional resources through the platform, and had mobilised a PhD student in Austria to help us code the evaluations. However, the career plan of this person has changed and we are now trying to find additional support for and in Austria.
- The SIPER database will be officially announced and launched in the November conference Open Evaluation, thus targeting academics, valuation practitioners and policy makers in equal measure. In addition, as the conference is organised alongside an early career researcher's conference financed by EU SPRI and co-organised by ZSI (Klaus Schuch), IFRIS and MIOIR, we will also involve the next generation in this.
- The research group from UNICAMP (São Paulo, Brazil) have been developing their work with the SIPER core team since May 2016. The team in Brazil (is composed of 2 senior academics, 2 doctoral student assistants with support from junior assistants. The Brazilian partner aims to cover 6 countries (Brazil, Chile, Colombia, Argentina, Uruguay and Mexico); the potential coverage of Spain and Portugal will depend on resources available. The immediate deliverable from the Brazilian partner is an initial list of Latin American evaluations with reflections on issues emerging. They are also working on getting contact details of policy makers. The team has applied for funding from FAPESP (São Paulo Research Foundation) to enable doctoral assistants to come to Manchester in late 2016 for training and exchange; however our training process has already started, and is not constrained by site visits. We keep quality control as a top priority during this collaboration process. We use a comprehensive package of manuals and protocols to streamline training and coding. We also attempt to ensure that the number of people who actually characterize evaluations is minimal to reduce variation. We use a standard inter-coder reliability testing process which involves the newly recruited coders working on evaluations previously characterized by the SIPER core team. We then seek to align their conceptual understandings with ours through this process. We do not impose any time pressure to achieve large quantities, rather we aim to be systematic, expanding the coverage of SIPER in a solid and steady way. All evaluation reports and, where available, associated documentation (Executive Summaries, Annexes, etc.) are uploaded into the SIPER Portal and stored in pdf format in the on-line repository via the SIPER Admin site.

7 Annexes

7.1 Annex 1a: SIPER Evaluation Report (Policy Measure and Factual Characterisation) template



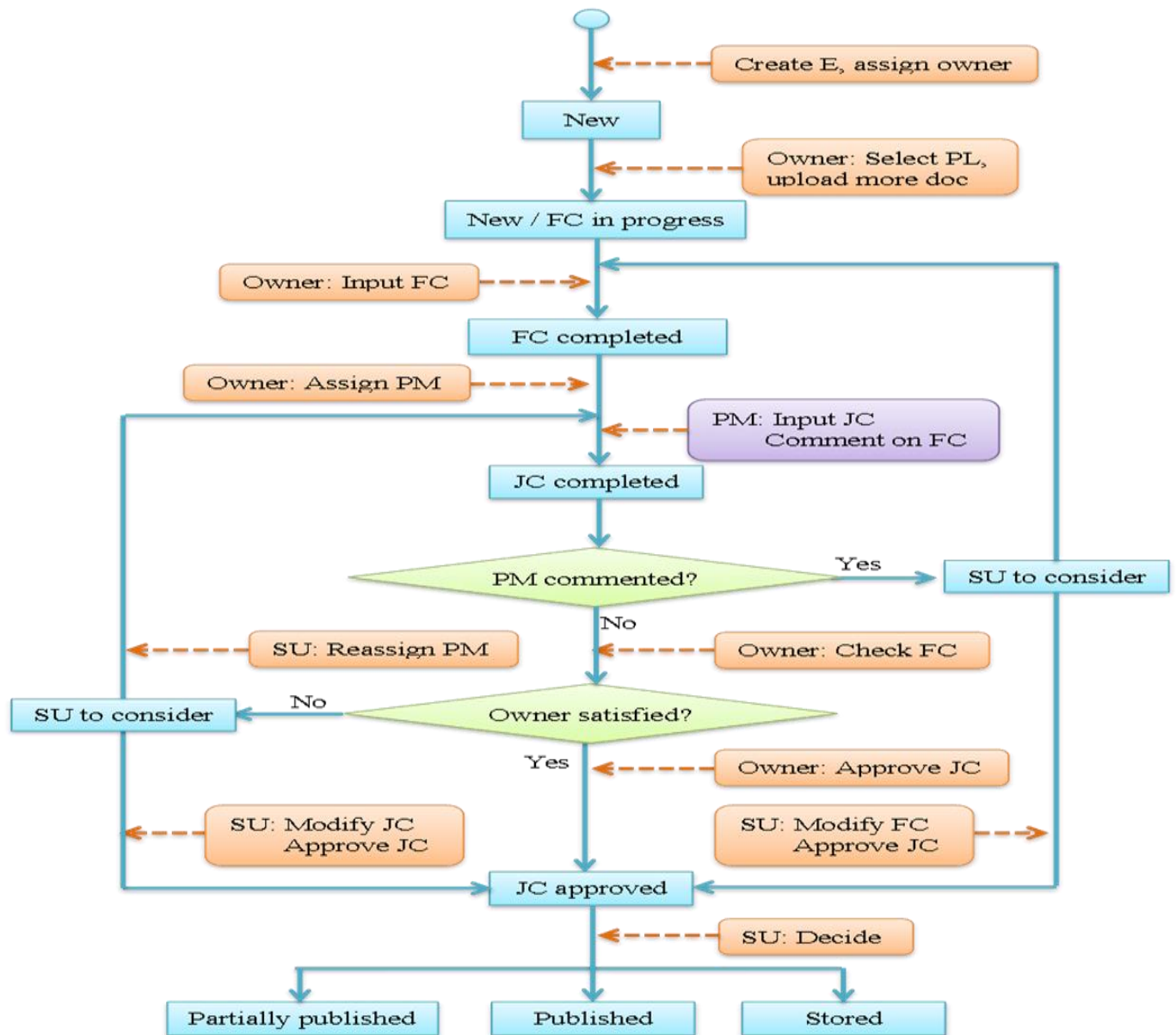
SIPER PL+FC 20151118.pdf

7.2 Annex 1b: SIPER Evaluation Report (Policy Maker Judgemental Characterisation) template



SIPER JC 20151103 .pdf

7.3 Annex 2: SIPER Data coding procedure flowchart



7.4 Annex 3: SIPER Coder manual

(see following pages)

SIPER Coder Manual

Version 1.0

1 Purpose of this Manual

This Manual is intended to provide guidance and assistance to persons involved in carrying out coding tasks associated with the SIPER database (Project Associates, PAs). These coding tasks relate to the characterisation of reports that present the results of evaluations of publicly funded policy measures, instruments and programmes intended to support research, technological development and innovation (RDTI) activities targeted either at the public or private sectors.

It begins with a short description of the SIPER project. This is followed by a more detailed explanation of the processes used to collect relevant evaluation reports and to extract the relevant data from these reports. It then presents a detailed explanation and definition of the core concepts and terminology employed in the data characterisation template. Finally, a glossary of key words and terms is provided.

2 SIPER: brief explanation

The SIPER database has four types of data:

1. Policy measure characterisation (PL): a basic three layer classification of the related policy- measures (according to the typology above). This will be filled in by project associates (PAs).
2. Basic information: evaluation title, author, language, country, related files etc.
3. Factual Characterisation (FC): characteristics that can be inferred from evaluation reports themselves (methods, timing, topics, etc.). This will be filled in by PAs. These characteristics will be fully open to the public (i.e. files will be searchable against most of them and they will be displayed on the web, possible linked to IPP).
4. Judgemental Characterisation (JC): subjective issues such as quality, use, consequences, dissemination, etc. This will be filled in by policy-makers (PM) who were responsible for the measure evaluated. For data integrity reasons, PAs will separately input data for quality and at a later stage we will compare them with PMs' judgements. We will not make JC data publicly available for various reasons, but we will use it for academic research.

This data structure is reflected in our database as follows:

- Part A, SiperPortalBasic – This is the tool for inputting "basic information" on evaluations and storing related files. This is operational at the moment.
- Part B, SiperPortalAdmin – The full version of the SIPERPortal admin tool, an authenticated site for members of the SIPERproject team. This tool will enable us to input policy measure characterisations and factual characterisations (see above). There will also be a workflow management system (assigning tasks to different users, contacting policy-makers and inviting them to fill in the JC).
- The SiperPortalPublic: (This will be implemented in early 2016, specs are in development)
- Part C: A public site with searching facilities, for public users to search the project data.

- Part D: An authenticated sub-site –SiperPortalPM, with the access restricted to the external stakeholders (PMs). This is the interface to which PMs input judgemental characterisation.

3 Evaluation Collection Process

The project aims (in the long term) to include all evaluations of science and innovation policy programmes conducted after 2000 from around the world. The medium term objective is to reach a target figure of around two thousand documents. These will include evaluations in major languages.

To achieve this, we use a three step search strategy to identify those evaluations to be included in SIPER.

Figure 1: A three-step approach to searching evaluations for SIPER

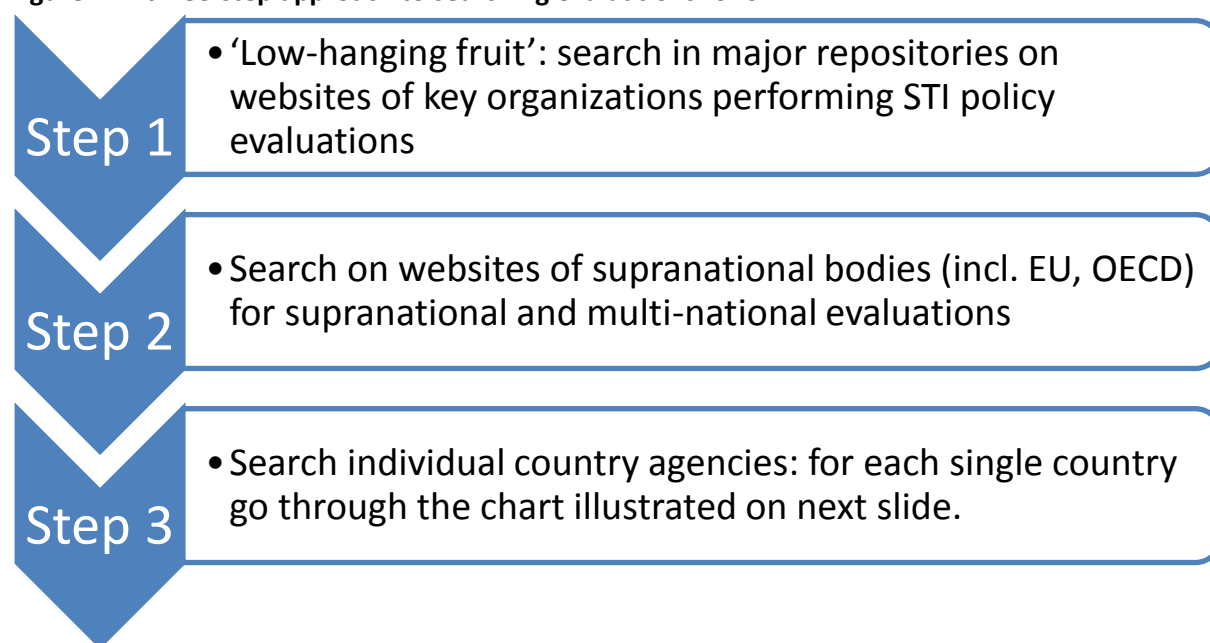
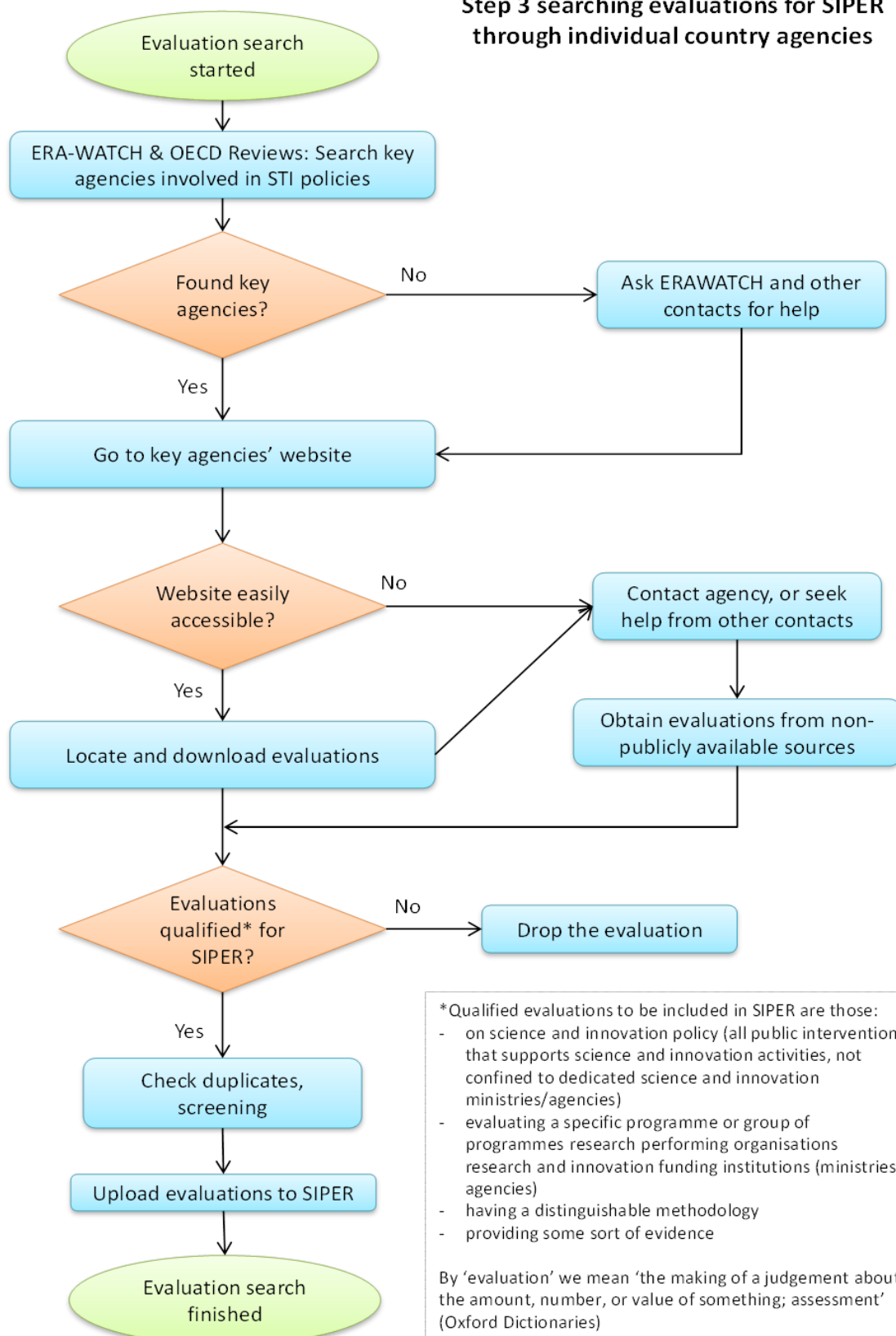


Figure 2 on the next page displays in more detail the third step of this search process.

Step 3 searching evaluations for SIPER through individual country agencies



4 Data Collection Process

Once an evaluation report has been collected, the next step is to ‘characterise’ the factual information it contains (i.e. relating to timing of the evaluation, topics covered, methods used, recommendations reported, etc.). Information is also captured regarding the related policy measure to which the evaluation refers (target group, modality, objectives, country, etc.). Both types of information are obtained through completion of an on-line characterisation template. The aim is to construct a database of these variables that will be searchable by external users. This factual information is augmented by a further ‘judgemental’ characterisation. This is elicited from policy makers (programme managers, etc.) who are connected to or familiar with the evaluation and/or the relevant policy/programme. Again, an on-line characterisation template is used to collect this data which concerns aspects of the evaluation quality, use and dissemination, etc. This latter judgemental information is collected on a confidential basis and is used solely for the purposes of academic research.

The next section is organised along the lines of the characterisation templates and provides detailed explanations of the core concepts and terminology used along with guidelines for the completion of the characterisation templates.

5 Definition of core concepts: Guidance on completing the template

This section is organised along the lines of the data characterisation template and follows the structure of the online input process.

It aims to provide a comprehensive, yet brief, set of definitions and explanations, accompanied by examples as required.

Part 1: About the Policy Measure being evaluated

This section seeks information on some basic characteristics of the measure or programme that is being evaluated in the report under consideration. Please note that all information entered on the template must be derived from the evaluation report itself – please do not make assumptions about any aspects of the programme that are not directly reported by the report authors, even if you are aware such additional information. With the possible exception of the first question (the name of the policy measure/programme in English) we are interested solely in the content of the evaluation report itself.

In the following list of questions, a preceding “*” indicates that the questions is conditional, i.e. it will only appear in the on-line template if a certain answer has been given in a preceding question.

PL0.1 What is the title in English of the policy measure being evaluated?

For those evaluation reports that use languages other than English, please give the name of the policy measure/programme that is being evaluated in English. Note that this question refers to the name of the programme or measure being evaluated, NOT the title of the Evaluation Report itself.

PL0.2 What is the title in the Native Language of the policy measure being evaluated? If the native language is English, please put in the English title again.

For those evaluation reports that use languages other than English, please give the name of the policy measure/programme that is being evaluated in its original language. As above, please note that this question refers to the name of the programme or measure being evaluated, NOT the title of the Evaluation Report itself.

PL0.3 Please select which country the policy measure belongs to (if it belongs to more than one country, please select 'Multiple Countries' at the bottom of the list; if it belongs to a supranational body such as the European Commission, please select 'Supranational Bodies' at the bottom of the list).

This question refers to the country in which the policy measure or programme is managed and administrated – i.e. the country in which the ‘owner(s)’ of the measure is/are located. For example, a cross-border programme may be operated by a single agency located in one country or by several agencies in coordination.

*PL0.3.1 Your answer to question PL0.3 is 'Multiple Countries'. Which countries does this policy measure belong to? Please specify below, using a semicolon to separate different countries. For example, if the policy measure belongs to Finland and Sweden, please input 'Finland; Sweden'.

Please refer to the instructions for Question PL0.3 above. Do not enter the countries in which the measure/programme is implemented unless these correspond to the location of the managing agencies.

*PL0.3.2 Your answer to question PL0.3 is 'Supranational Bodies'. Which supranational body/bodies does this policy measure belong to? Please specify below, using a semicolon to separate different supranational bodies. For example, if the policy measure belongs to OECD and EU, please input 'OECD; EU'.

Please refer to the instructions for Question PL0.3 above. It is unlikely that a policy measure/programme will belong to more than one supra-national body although this may be the case for some programmes such those operated jointly by the World Bank and UN agencies, for example.

PL1 Targets (Beneficiary of the support) (Please tick all options that apply)

Here we refer to the primary beneficiary of the monetary or non-monetary supports, rather than broader beneficiaries who benefit indirectly from the measure. The ‘target’ also reflects the goal of the policy – for example, mobility programmes will target individuals although the funding (or other support) will probably be allocated to and administered by a university department. As another example, a research grant or a scholarship can be applied for by an individual researcher but the money is administered (received and accounted for) by their host institution. In addition, such an award is intended to benefit the individual as a component of the wider institution – in these cases both ‘individual’ and ‘Universities’ can be ticked. Similarly, whilst individual managers may apply for grants, tax relief, etc., this action is generally on behalf of the firm they work for rather than for themselves as individuals.

The available options are (multiple answers are allowed):

- 1.1 Individuals (researcher, student, manager, entrepreneur, investor, etc.):** these are the targets of the policy support
- 1.2 Universities (including sub-departments and component institutions):**
- 1.3 Research Organisations (including the full spectrum from public (Public Research Organisations) to private (Research and Technological Organisations)):**
- 1.4 Public organisations (governmental or quasigovernmental agencies, policy making organisations – not directly involved in R&D):** These could include bodies whose activities include the allocation of funding for RTDI activities but which do not perform such activities themselves.
- 1.5 Intermediaries (such as science parks, business incubators, technology parks, knowledge brokers, TTOs, etc.):**
- 1.6 Firms (SMEs focused):** This includes measures that specifically, but not necessarily exclusively, target SMEs
- 1.7 Firms (no size-specific focus):** This includes measures that do not make any distinction between the size of firms that they are intended to support.

- 1.8 **Other funding organisations (NGOs, NPIs, Not-for-Profit, Charities.):**
- 1.9 **Specific industrial sector targeted:** Some measures/programmes often restrict their target to a single or small group of related sectors. Examples might include measures focusing on biotechnology, IT, energy or nanotechnology applications.
- 1.10 **Specific S&T field targeted:** Examples here would reflect either areas of academic or translational research and technology fields with multiple industrial applications, and could include social science research, or areas such as photonics.

PL2 Modalities (How support is provided) (Please tick all options that apply)

There are a number ways that measures and programmes may be delivered. Here we ask to select from a number of options (multiple options may be ticked):

- 2.1 **Direct financial support: grants, loans, guarantees, contracts, etc.:**
- 2.2 **Direct financial support: scholarships, fellowships, etc.:** Although fellowships are generally provided in the form of a grant, we make a distinction since fellowships often comprise a broader package of support.
- 2.3 **Direct financial support: (non-project specific) institutional block grants including large centres:** These are institutionally-targeted grant support intended to stimulate or maintain specific types of RTDI activities. Generally, the recipient institution has some degree of autonomy over how the support is utilised.
- 2.4 **Indirect financial support: (tax & fiscal incentives (e.g. R&D credits):** support is not given for specific projects, but for a certain type of activity, mostly research and development. The support is not given as a grant or loan, but as a reduction of the tax burden of a company.
- 2.5 **Infrastructure support (e.g. provision of access to and construction/upgrading of research infrastructure):** This can include large-scale infrastructure construction or provision, capital support or equipment grants.
- 2.6 **Non-financial support (e.g. training, coordination and advisory/information support/provision):** This includes any type of support that does not rely on the direct provision of finance (or on financial off-setting). This option refers to the main form of support, it should not be ticked if such support is provided as a minor or subsidiary element of a larger programme of support).
- 2.7 **Prizes and awards (ex ante inducement, ex post performance recognition, etc.):** These include recognition and financial rewards intended to stimulate research and innovation on certain topics (with specified targets) or recognition and financial rewards intended to confer acknowledgment of past achievements.

PL3 Explicit policy objectives (Why the support is provided) (Please tick all options that apply)

The third dimension of our policy typology is defined by the primary policy goals that are intended to be met by the measure/programme. While measures and programmes, particularly those in support of innovation, may have a number of indirect outcomes and impact a number of policy objectives, we are interested only in the main explicit objectives addressed by the measure. Again, multiple options may be selected.

- 3.1 **Enhancement of education and initial/further training:** This includes measures that aim to improve the level and capacity of all forms of education and training, both in the public sector and in the private sector.
- 3.2 **Facilitating personnel mobility:** This can include both inter-sectoral mobility and international mobility, including short term (travel grants) or long term (fellowships, etc.).
- 3.3 **Internationalisation of research, technological development and innovation (RTDI) activities:** Examples could include international collaboration programmes, personnel mobility schemes (see above also), large-scale facility sharing, multi-national research programmes, etc.)

- 3.4 **Awareness raising and promotion of public acceptance:** Measures intended to promote public understanding of S&T and also to stimulate public acceptance and demand for new technologies, etc.
- 3.5 **Strengthening/improving research management practices:** Measures intended to develop and improve management capacities, either through managerial skills training or similar approaches.
- 3.6 **Improving capabilities and capacity (including absorptive capacity):** This includes measures intended to strengthen the RDTI capabilities and capacities of the recipient entities, through developing skill-sets, developing RDTI experience, accessing additional staff and/or equipment, etc.
- 3.7 **Supporting collaborative interactions for the production of new knowledge and/or innovation (including project focused approaches, some types of innovation vouchers, etc.):** These include measures that explicitly focus on the objective of developing collaborative RDTI activities with a significant element of joint knowledge production and/or exchange. Thus, the provision of services alone would not be relevant.
- 3.8 **Supporting broader (multiple) interactions (e.g. through clusters or networks):** Measures intended to develop collaboration and knowledge exchange on a wider (geographical or virtual) extent than those included in 3.7., including multiple parties.
- 3.9 **Supporting the protection of IP:** Any measures aimed at protecting IP, increasing awareness about the protection of IP and improving confidence in the production and use of IP.
- 3.10 **Mobilising additional (non-public) financing for innovation (e.g. support of business angels, VCTs, equity schemes, etc.):** Schemes or measures intended to improve access to finance for the support of RTDI-related activities and purposes. Such finance can be provided from private (corporate or individual investment sources) but should involve some form of public support either in the form of administration and awareness raising or through the provision of incentives to investors (matched funding, tax breaks, etc.).
- 3.11 **Stimulation of additional RTDI activity (e.g. increasing R&D expenditures):** This includes measures intended to stimulate input additionality on the part of the recipients, rather than simply 'buying' research and innovation activities, although it can arise through the recruitment of additional staff or the purchase of new infrastructure.
- 3.12 **Strengthening the quality of RTDI activities (promotion of excellence):** These include programmes and measures intended to improve the quality of research and innovation, for instance based on criteria of excellence.
- 3.13 **Creating new RTDI capacity (e.g. new organisations, start-ups, technology-based companies, etc.):** This concerns the creation of new entities rather than the expansion of existing facilities, staff, etc.
- 3.14 **Generation or diffusion of innovation targeting the demand for innovation or the interaction between demand and supply (e.g. programmes to support public procurement of innovation, demand subsidies for innovation and awareness raising measures):**
- 3.15 **To support priority setting (e.g. foresight exercises):** This can include any measures intended to assist in the identification of RDTI priority areas/topics, such as horizon scanning, which typically, but not exclusively, involve the input of stakeholders.

Section 0: Information of the Evaluation

0.1 What is the title in English of the evaluation?

Many of the evaluation reports that will be included in SIPER are published in their national language and are often unavailable in English. However, here we would like an English translation of the title of the Evaluation report.

0.2 What is the title in the Native Language of the evaluation? If the native language is English, please put in the English title again.

If the evaluation report is not published in English, please give the title of the evaluation report in its original native language.

0.3 Please select which country the evaluation belongs to (if it belongs to more than one country, please select 'Multiple Countries' at the bottom of the list; if it belongs to a supranational body such as the European Commission, please select 'Supranational Bodies' at the bottom of the list).

This question refers to the country in which the evaluation report was commissioned. Note that this may differ from the country in which the measure or programme is managed and administrated. For example, a cross-border programme may be evaluated by an agency in one of the countries in which it is implemented: an example is the impact evaluations of the EU Framework Programmes which are often commissioned by a single national government.

*0.3.1 Your answer to question PL0.3 is 'Multiple Countries'. Which countries does this evaluation belong to? Please specify below, using a semicolon to separate different countries. For example, if the evaluation belongs to Finland and Sweden, please input 'Finland; Sweden'. Please refer to the instructions for Question 0.3 above. Do not enter the countries in which the measure/programme is implemented unless these correspond to the location of the country commissioning the evaluation.

*0.3.2 Your answer to question PL0.3 is 'Supranational Bodies'. Which supranational body/bodies does this evaluation belong to? Please specify below, using a semicolon to separate different supranational bodies. For example, if the evaluation belongs to OECD and EU, please input 'OECD; EU'.

Please refer to the instructions for Question 0.3 above. This answer corresponds to the body/bodies responsible for commissioning the evaluation.

0.4 Year of first publication:

Please give the year in which the evaluation report was first published.

0.5 Please put down the code of the evaluation if known.

For example, the evaluation titled as 'Evaluation of the Austrian Industrial Research Promotion Fund (FFF) and the Austrian Science Fund (FWF)' has been automatically coded by SiperPortalBasic as E_AT_0003, then you should put down 'E_AT_0003' below. If you don't know the evaluation code, please ignore this question (it will be allocated a code at a later date).

Section 1: Basic Characteristics

This section refers to some basic information about the evaluation.

1.1 Who conducted the evaluation? (Please tick all options that apply)

Note that several of these options may apply to a single evaluation, although such instances are uncommon.

a. Internal to programme: The evaluation was conducted by the agency responsible for the management/and or administration of the programme or measure.

b. External to programme (within government, including court of auditors): The evaluation was conducted by a body or unit not connected with the management or administration of the programme or measure. For example, some government departments have internal audit or evaluation units which undertake evaluations of programme run by their parent ministry.

c. External to programme and government ('independent'): Typically, this would include evaluations conducted by external consultancies or specialised evaluation bodies in the private or academic sectors.

d. Not specified in the report: The report does not state by whom the evaluation was conducted.

1.2 What was the timing of the evaluation? (Please tick only one option)

a. Ex ante (before the implementation of the measure/programme): The evaluation (sometimes referred to as 'ex ante assessment') was conducted at some point prior to the implementation of the programme or measure, typically during the design or planning phase.

b. Accompanying (on a permanent or repetitive basis during the implementation of the measure/programme): Accompanying evaluations tend to be performed on a frequent or even continuous basis to provide more or less constant support throughout the programme lifetime. They often focus on specific aspects of the measure's performance (for example, management, uptake, etc.).

c. Interim (periodic "ex post", after a specified phase during the implementation of the measure/programme): Interim evaluations tend to be held at specific points in the lifetime of the programme or measure. Many programmes that do not have fixed lifetimes are subject to interim evaluations, typically every few years.

d. Ex post final (after the lifetime of the measure): These may be conducted immediately or after some time following the end of a measure/programme that has a fixed lifetime.

1.3 What was the purpose of the evaluation? (Please tick all options that apply)

a. Summative (descriptive, judgemental): Summative evaluations (also known as impact evaluations) are judgemental and establish the effects of programmes, the difference made on the target group or beyond.

b. Formative (developmental, supporting): Formative evaluations ask how, why, and under what conditions does a policy instrument work, or fail to work? They typically seek information on the contextual factors, management practices, mechanisms and processes underlying success or failure, and their main purpose is to support learning during the programme.

c. Other (please specify):

1.4 Does the evaluation refer to the programme logic or its intervention rationale? (Please tick only one option)

All measures and programmes should be informed and guided by an underlying reasoning for their introduction, which is often based on an identified "failure" or gap in the system. Sometimes, the design of a programme or measure is informed by the creation of a logic chart which sets out to unpack the theoretical or logical sequence by which a policy intervention is expected to bring about its desired effects. Some evaluations may re-visit the original design process of the programme/measure and reproduce or re-construct the logic chart which sets out the objectives, aims, activities, results, outputs, impacts and effects anticipated from the measure. Other evaluations may re-state the original objectives of the measure and describe precisely how the measure was designed and implemented in order to deliver these. Please note: your answer should be based on what is explicitly reported in the evaluation report itself – not on what you may know about the programme or measure being evaluated.

a. Yes, fully – it clearly refers to the rationale for its development and identifies the way in which the intervention achieves the stated objectives (e.g. by using a logic chart model): Here, the evaluation report will clearly explain the underlying rationale for the establishment of the programme or measure – why it was set up, what issues it set out to address together with its stated expected objectives and effects, and it will make explicit the way in which the effects will be achieved.

b. Yes, partially – it refers in a broad sense to the original rationale for establishing the programme/measure: Here, the evaluation report will refer to the underlying rationale of the programme or measure in a less detailed manner, for example "to address a shortfall in the provision of seed funding to SMEs" or "to stimulate collaboration between the university and private sectors" but with no explanation of how the measure/programme was intended to address these problems. It will also not be very explicit in explaining the steps with which the intervention will achieve its aims.

c. No: There is no reference in the evaluation report to the underlying rationale of the measure.

Section 2: Topics Covered

2.1 Which aspect of the programme did the evaluation examine? Please select 'yes' only when the aspect is explicitly evident in the actual report. For each row please make one choice.

On which aspects of the programme did the evaluation provide evidence? In this case, the word 'examine' means not just providing numbers or giving a brief statement or mention of the topic – the topic should be discussed within the text, and should involve an element of in-depth analysis.

2.1.1: Appropriateness of the underlying programme rationale of the measure (does the evaluation examine if the programme is appropriate for the failure or need it addresses?): Further to Q1.4 above, does the evaluation examine and present evidence regarding the appropriateness of a failure or need that the programme or measure being evaluated addresses – i.e. does it test the programme with regard to its underlying rationale and its specific context?

2.1.2 Appropriateness of goals (does the evaluation examine if the measure's goals were appropriate and consistent with the external challenges the measure was meant to address?): Developing on the above issue, the goals of the measure or programme being evaluated should align with the external challenges that it was intended to address: does the evaluation provide any evidence on this consistency?

2.1.3 Appropriateness of design/modality of the measure (does the evaluation examine whether the design/modality of the measure was appropriate to achieve the stated goals?): Again following the above logic, the design/modality of a measure/programme should be appropriate to achieve its stated goals: does the evaluation provide any evidence of how the programme or measure's design was consistent with its intended goals? In order to answer "yes", the design of the measures should be examined against the achieved stated goals; it is not enough just to name them or compare them together.

2.1.4 Coherence/complementarity (does the evaluation examine whether the measure was coherent with, and complementary to, other programmes and policy initiatives?): Measures and programmes frequently exist in a broader suite of similar or complementary policy instruments which may address the same or partially overlapping goals/objectives and/or target groups. Does the evaluation report present any evidence on whether the measure was coherent with, and complementary to, any other co-existing programmes and policy initiatives?

2.1.5 Goal attainment/effectiveness (does the evaluation examine whether the goals of the measure were achieved?): Does the evaluation report examine (and present evidence on) the achievement of the intended goals of the programme or measure being evaluated?

2.1.6 Outputs (does the evaluation examine the direct, immediate results of the measure?): Does the evaluation report examine (and present evidence on) the outputs and results of the measure or programme being evaluated?

***2.1.6.1 Quality of outputs: In Question 2.1.6, you have indicated that this evaluation provides evidence on outputs. Does the evaluation examine whether the outputs of projects were of a high quality?:** The report should explicitly examine the issue of quality of outputs using some criteria or metrics for any justification – qualitative assessments made by interviewees or survey respondents would satisfy this requirement whereas an unsupported statement that the outputs were of high quality would not.

2.1.7 Outcomes and impacts (does the evaluation examine the effects and consequences of the policy measure? Impacts imply a longer term and broader form of effect): Further along the timeline of a measure/programme, this question seeks to assess whether the evaluation report examines (and presents

evidence on) its effects and consequences. In this context, impacts imply a longer term and broader form of effect.

***2.1.7.1 In Question 2.1.7, you have indicated that this evaluation provides evidence on outcomes and impacts. Does the evaluation examine the geographical scope of outcomes and impacts?:** Does the evaluation report present evidence on and make comparisons about the geographical scope of any of its outcomes and impacts?

***2.1.7.2 In Question 2.1.7.1, you have indicated that this evaluation examines the geographical scope of outcomes and impacts. At what geographical level(s)?:** Please indicate the appropriate geographic level to which the evidence on outcomes and impacts relates to. Regional refers to the sub-national level and supra-national refers to outcomes and impacts across several countries. For example, an evaluation of an EU-supported measure might be expected to have impacts across the entire EU.

***2.1.7.3 In Question 2.1.7, you have indicated that this evaluation provides evidence on outcomes and impacts. Does the evaluation examine the following impacts/effects? (Please tick all options that apply):** Impacts and effects may take several forms; they may be restricted to scientific and technological effects or may have wider impacts. The scope of these impacts will be dependent on the nature of the measure/programme itself. In addition, these impacts may be felt at several levels from the individual, at the organisational level or across an entire scientific area or technological sector. Please remember we are seeking to find out if the evaluation report presented evidence of the impacts and effects of the measure/programme on these various areas.

***2.1.7.4 In Question 2.1.7, you have indicated that this evaluation provides evidence on outcomes and impacts. Does the evaluation examine unintended impacts/effects?:** In addition to the expected or desired impacts and effects, programmes and measures may have unintended impacts and effects (regardless if they were in line with the policy goals, i.e. desirable, or not. Did the evaluation present evidence and discuss any of these? A brief mention of any potential outcomes and impacts would not count as evidence.

2.1.8 Value for money/return on investment/cost-benefit efficiency (does the evaluation examine if there were adequate returns on investment?): Does the evaluation report examine (and present evidence on) whether there were adequate returns on investment, for example in terms of representing value for money, return on investment (ROI) or cost-benefit efficiencies?

2.1.9 Programme implementation efficiency (does the evaluation examine if the measure was well managed and administered?): Does the evaluation report examine (and present evidence on) whether the measure was well and cost-effectively managed and administered?

2.1.10 Additionality (does the evaluation examine the issue of input, output or behavioural additionality?) (Note: the evaluation may use alternative terms for additionality such as 'incrementality', 'added-value', 'return on investment', 'persistent behavioural change', etc.): Additionality is the change that can be attributed to the existence of the measure or programme, i.e. what the additional effect of the programme is, as compared to what would have happened in its absence. Three forms of additionality are generally examined: input, output or behavioural additionality. See below for a description of each of these terms.

***2.1.10.1 In question 2.1.10, you have indicated that the evaluation examines issues of additionality. Which type(s) of additionality does the evaluation examine? (Please tick all options that apply):**

a. Input additionality (e.g. does the evaluation report examine if the measure stimulated more investment in RTDI than would have occurred in the absence of the measure?)

b. Output additionality (e.g. does the evaluation report examine if the measure stimulated more RTDI outputs than would have occurred in the absence of the measure?)

c. Behavioural additionality (e.g. does the evaluation report examine if the measure stimulated persistent changes in the behaviours of the participants that would have not occurred in the absence of the measure?)

2.1.11 Policy/strategy development (does the evaluation examine any implications for future strategy development and policy formulation?): Does the evaluation report examine (and present any evidence for) implications for future strategy development and policy formulation? This may be reflected in the evaluation's recommendations (if present) but we are trying to assess if any evidence on which such recommendation can be based is presented in the report.

2.1.12 Gender issues (does the evaluation examine gender issues?): Does the evaluation report present and discuss any evidence that is of relevance to gender issues?

2.1.13 Minority/inclusivity issues (does the evaluation examine minority/inclusivity issues?): Does the evaluation report present and discuss any evidence that is of relevance to minority or inclusivity issues?

2.1.14 Uptake of programme (does the evaluation examine the extent to which the programme attracted applicants? For example, the success rate of applications, the response rate from applicants, etc.): Does the evaluation report examine (and present evidence on) the extent to which the programme attracted applicants?

2.1.15 Degree of satisfaction of stakeholders (does the evaluation examine the extent to which the policy satisfied stakeholders' needs/expectations?): Does the evaluation report examine (and present evidence on) the extent to which the policy measure/programme satisfied or met the needs and or expectations of stakeholders?

2.1.16 Collaboration/partnership (does the evaluation examine the issue of collaboration and/or partnerships? e.g. the performance of joint research projects.): Does the evaluation report examine (and present evidence on) the issue of collaboration and/or partnerships? This may not be a relevant issue for all programmes and measures, however.

***2.1.16.1 In question 2.1.16, you have indicated that the evaluation examines the issues of collaboration/partnership. What was the sectoral nature of collaboration/partnership examined (the following options include both individual level and organisational level collaboration/partnership)? Please tick all options that apply:** Note that we regard collaboration as an inter-organisational phenomenon in this question, although the collaboration may take place between individuals located in those organisations. Options are (and multiple options may apply):

a. Firm-Firm: i.e. between private sector entities alone

b. Non-Firm (universities, research organisations and third sector organisations etc.) –Firm: i.e. between a firm and, generally speaking, a public sector, or not-for-profit entity or entities.

c. NonFirm–NonFirm (universities, research organisations and third sector organisations etc.): i.e. between public sector or not-for-profit sector organisations alone.

d. Not specified in the report: No mention is made in the report of the types of entities involved.

***2.1.16.2 In question 2.1.16, you have indicated that the evaluation examines the issues of collaboration/partnership. What geographical level of the collaboration/partnership does the evaluation examine? Please tick all options that apply:** At what level does the collaboration examined in the report take place – between actors within a region, between actors at the national level or between actors in different countries (international)?

***2.1.16.3 In question 2.1.16, you have indicated that the evaluation examines the issues of collaboration/partnership. What forms of collaboration/partnership does the evaluation examine? (Please tick all options that apply):** Does the evidence on collaboration that is presented in the report relate only to interactions between two parties (i.e. bilateral relationships) or between more than two parties (multi-lateral relationships)? For example, a 'twinning' programme linking pairs of firms would examine bilateral relationships, while a networking programme would involve multilateral relationships.

2.1.17 Mobility (does the evaluation examine the issue of mobility of personnel?): Does the evaluation report examine (and present evidence on) the issue of mobility of personnel? In this context, mobility may apply to international movement, inter-sectoral movement (e.g. public sector to private sector, or vice versa) or movement between institutions, for example.

***2.1.17.1 In question 2.1.17, you have indicated that the evaluation examines the issues of mobility. What scope of mobility does the evaluation examine? (Please tick all options that apply):** We wish to know at what level does the mobility examined occur, i.e. at the national level only (movement within a single country) or at the international level (movement across national borders)?

2.1.18 Career (does the evaluation report examine the issue of career development/progression?): Are the effects of the programme or measure on the (research) careers of the participants examined and discussed in the report?

2.1.19 Networking (does the evaluation examine the issue of networking? e.g. the creation of virtual communities, e-platforms, workshops, information dissemination channels.): Networking may form a specific objective of the programme or measure being evaluated, although it may often arise as an unintended consequence. Is any evidence of this presented and analysed/discussed in the report?

Section 3: Evaluation Design

3.1 Which type(s) of design approach did the evaluation employ? (Please tick all options that apply):

a. Experimental: Experimental research methods provide evidence about the relative effectiveness of a policy intervention compared with other policy interventions, or doing nothing at all (e.g. the counterfactual). They may utilise two samples (an experimental group and a non-experimental (i.e. control) group) to attempt to isolate the effects of participation in the policy or programme under investigation.

b. Quasi-experimental: Quasi-experimental methods include research designs that compare the outcomes of experimental and control groups by methods other than randomisation. These include: controlled before and after designs (pre-test and post-test comparisons) using either a single group of samples or two or more groups of samples; interrupted time series studies (based on repeated observations over time of valid and reliable standardised measures of outcome); various types of matching designs using matched comparisons of individuals or units before and after an intervention; regression discontinuity designs.

c. Nonexperimental: Non-experimental methods can include in-depth interviews, observational methods, participant observation and ethnography.

***3.1.1 In question 3.1, you have indicated that a quasi-experimental design approach has been employed. Please specify which of the following approaches were used. (Please tick all options that apply):**

a. Before/after comparison: Before/after comparisons involve the comparison of data from the same sample at two separate periods in time.

b. Comparison/control groups: Comparison or control group methods involve comparisons of data from a sample of supported actors/organisations and a sample of actors/organisations that are as similar to the supported group as possible, but have not been supported.

c. Beneficiary self-reporting on the counter-factual (what would have happened in the absence of the programme, etc.):

Beneficiary self-reporting is a more subjective approach which involves asking the recipient/target of the measure what would have happened in the absence of the programme – e.g. if funding had not been received.

3.2 Did the evaluation include comparison between the evaluated measure and similar measures?:

Some evaluations may compare or benchmark the performance of the measure, or aspects of its performance, against similar or comparable measures in operation in the same country or in other countries. Here we mean some form of analytical comparison or in-depth examination between the specific elements and characteristics of the programme/measure and similar measures, rather than a trivial reference to other programmes or measures.

3.3 Did the evaluation include benchmarking against the outcomes of previous phases/evaluations of the measure/programme?:

If previous evaluations of the measure or programme have been conducted or if monitoring data exists, the evaluation may benchmark its results against these to provide some sort of comparison over time. This is often the case for interim evaluations of programmes/measures with long lifetimes. Again, we refer here to thorough discussions/examinations of the comparison data/information rather than simplistic descriptions.

Section 4: Data Collection Methods

4.1 According to the report, which data collection methods and data sources were employed in the evaluation?:

Evaluations may employ several methodologies and approaches to collect data and related information on the programme or measure. We have identified the main approaches and sources below, but other approaches may also be used and we have provided space for these to be added in free text format. Note that this series of questions does not concern the quality of the methods employed, we will investigate this aspect in Section 6, here we are interested only in whether these approaches are reported in the evaluation report.

4.1.1: Existing databases and monitoring data (and Q4.1.1.1): This may include monitoring data collected internally through the implementation period of the programme/measure and/or existing external databases (e.g. the Science Citation Index).

***4.1.1.1 In question 4.1.1, you have indicated that existing databases and monitoring data have been employed. What types of existing databases and monitoring data were employed? (Please tick all options that apply):**

a. Existing internal databases and monitoring data: These would include data collected and maintained by the programme management, often for administrative purposes but beyond simple details such as participant names and contact details.

b. Existing external databases and monitoring data: These would include databases such as those covering publications, e.g. PubMed, Science Citation Index and Patent Office data files.

c. Not specified in the report:

4.1.2 Surveys (and Q4.1.2.1): These include all forms of survey, e.g. on-line, emailed, postal or face-to-face questionnaires. The latter typically employ largely closed (yes/no, multiple choice, etc.) questions, whereas interview pro-formas typically use a high proportion of open questions.

***4.1.2.1 In question 4.1.2, you have indicated that surveys have been employed. What types of surveys were employed? (Please tick all options that apply):**

a. Participants (e.g. programme beneficiaries, those in receipt of support):

b. Non-participants: Those that did not participate (regardless if they applied or not).

c. Unsuccessful Applicants: Those who applied for support but were unsuccessful. This is a subgroup of b).

d. Non-applicants (i.e. members of target group that did not apply): In some cases the report may identify non participants that have not applied. This would be a subgroup of b0 above..

e. Stakeholders directly linked with the programme (e.g. representatives from organizations funding, owning, and managing the policy measures):

f. Other parties/stakeholders (e.g. associations, representatives of comparative programmes, initiatives, context experts and politicians) Please specify: Typically these will not be directly linked to the programme or measure.

g. Not specified in the report:

4.1.3 Interviews (and Q4.1.3.1): These may be conducted via a range of media, e.g. face to face, telephone, Skype, etc.

***4.1.3.1 In question 4.1.3, you have indicated that interviews have been employed. Who were the interviewees? (Please tick all options that apply):**

a. Participants (e.g. programme beneficiaries, those in receipt of support):

b. Non-participants: Those that did not participate and did not apply for support. In some cases it may not be known whether non-participants were also unsuccessful applicants.

c. Unsuccessful Applicants: Those who applied for support but were unsuccessful for a range of reasons.

d. Non-applicants (i.e. members of target group that did not apply): Although these may be the same as group b. Non-applicants, it may be possible in some cases to distinguish those from the target group that actively chose not to apply for support/participate.

e. Stakeholders directly linked with the programme (e.g. representatives from organizations funding, owning, and managing the policy measures):

f. Other parties/stakeholders (e.g. associations, representatives of comparative programmes, initiatives, context experts and politicians) Please specify: Typically these will not be directly linked to the programme or measure.

g. Not specified in the report:

4.1.4 Focus groups/workshops/meetings: These can be used to collect a broad range of qualitative information and also to stimulate discussion and debate to investigate a range of issues and perspectives concerning the programme/measure. They generally involve groups of participants or stakeholders in a moderated discussion.

4.1.5 Peer reviews (including stakeholder reviews): The use of peer opinion is a frequently employed evaluation process, although it is predominantly used in ex ante assessment. Similarly, stakeholders may also be approached for their opinions on the performance and other aspects of a programme or measure. Peer reviews may be conducted using interviews or surveys of individual peer reviewers, or collectively with a peer review panel.

4.1.6 Formalised data on intellectual property (patents, including other related sources such as copyrights, trademarks, utility models, etc.): This type of data collection refers to the capture of codified information on manifestations of intellectual property arising from the programme or measure.

4.1.7 Publications data: This typically, covers scientific and academic publications, but may also include grey literature, reports and other outputs. In this instance, we distinguish it from patent data, which is covered under Q4.1.6 above.

4.1.8 Altmetrics data (twitter, download statistics, etc.): A more novel approach to utilising bibliometric data and information on social interactions, altmetrics looks at a range of data sources derived from on-line social media.

4.1.9 Curriculum Vitae (CV) data: Important data may be derived from the CVs of programme participants, for example, in tracking career development profiles.

4.1.10 Longitudinal/tracking data collection methods/sources: These approaches involve collecting information either from monitoring data or through ex post surveys and interviews to determine the effects of the programme or measure on career progression or on long-term company performances, for example.

4.1.11 Site visits: These are generally employed in the evaluation of institutions or scientific facilities. They involve an intensive analysis by a team of knowledgeable peers and/or stakeholders often carried out over a period of several days, during which staff and management will be interviewed individually or collectively.

4.1.12 Other data collection methods/sources (please specify): We may have omitted other types of data collection approaches, in which case please provide an example as a free text entry.

Section 5: Data Analysis Methods

5.1: Which data analysis methods/approaches were used in the evaluation?

Here we are only interested in approaches that were employed in the evaluation and which are explicitly described in the evaluation report. References to approaches and methods used in preceding or similar evaluations should not be included.

5.1.1 Case study analysis: Case studies are typically undertaken to provide in-depth analysis of processes and outcomes. They are used to provide detailed examinations of a particular instance of the phenomenon under investigation. They may focus on a particular aspect of the programme or measure, such as a specific project, or on a specific firm or institution impacted by the programme or measure. Generally they focus on a restricted number of participants or beneficiaries. They typically involve a number of data collection methods, but tend to focus on qualitative methods such as document analysis and interviews.

5.1.2 Network analysis: This is an approach that aims to map the social interaction between the subjects of an evaluation including the beneficiaries – e.g. those receiving a grant.

5.1.3 Econometric analysis: This involves the use of techniques drawing on advanced statistical methods such as regression analysis, instrumental variables and Heckman style selection models, or advanced economic modelling approaches in order to ascertain the influence of programme variables (as independent variable, such as a grant or a provision of advice) on a dependent variable (such as change increase of sales with novel products).

5.1.4 Descriptive statistics: These are approaches that use basic descriptive statistics, quantitatively describing and analysing the main features of a collection of information related to the programme to analyse the data (such as uptake analysis, i.e. the extent to which target beneficiaries have taken up the support provided by a programme or support measure). In contrast to inferential statistics, descriptive statistics do not analyse how one variable (e.g. number of firms participating) influence another one (overall economic benefit).

5.1.5 Input/output, cost/benefit, return on investment analysis: These are methods used to characterise economic activity triggered or enhanced by the intervention in a given time period, and to predict the reaction of a programme beneficiary (typically a firm) to stimulation. Basically they compare the input to the participant or the cost to the policy provider (i.e. the grant award, for example) to the economic outcomes arising from participation. Terms such as ‘leveraging’ and ‘gearing’ may be used.

5.1.6 Intellectual property (IP) data analysis: These are techniques which use IP data, such as patent statistics, as the unit of analysis in a range of statistical analyses and models, including technometric approaches. Citation analysis may also be applied to patent data.

***5.1.6.1 In question 5.1.6, you have indicated that IP data analysis has been employed. Did the IP analysis include an analysis of citations?** Citations of patent data may be used as a proxy indicator of the quality or extent of impact of the patent information.

5.1.7 Publications data analysis: These techniques utilise data on published outcomes (generally arising from the participants in a programme or measure). Typically such data includes scientific or academic journal articles although other forms of published outputs may be used. Such approaches include bibliometric techniques such as publication counting and citation analysis.

***5.1.7.1 In question 5.1.7, you have indicated that publications data analysis has been employed. Did the publications data analysis include an analysis of citations?** Citation analysis is a frequently employed technique used to provide an indication of the quality or impact of publications.

5.1.8 Altmetrics data analysis: As noted above, this is a more novel approach to using bibliometric data and information on social interactions and examines a range of data sources derived from on-line social media.

***5.1.8.1 In question 5.1.8, you have indicated that Altmetrics data analysis (twitter, downloads statistics, etc.) has been employed. Please specify:** As this is a relatively new form of data analysis, we are interested in the specific type of altmetrics approach employed.

5.1.9 Qualitative or quantitative analysis of texts: Again a new form of analysis, this approach uses automated text searching algorithms to identify interesting textual content and text associations. It is often referred to as ‘text-mining’.

Section 6: Quality Issues

In this section we are interested in your more subjective view of various aspects of the evaluation report and the approaches used. Please note that, as in the preceding sections, we are only interested in aspects and characteristics of the evaluation that have been explicitly mentioned in the report itself.

6.1 Did the report clearly refer to the objectives of the measure/programme evaluated?

In framing an evaluation and the issues it is intended to address, it is often useful to explicitly refer to the objectives that the measure or programme was expected to achieve as these provide a point of reference for the subsequent data collection and analysis process.

6.2 Did the report clearly state the evaluation objectives?

Similarly, the objectives of the evaluation may not entirely match all of the aspects of the programme or measure being evaluated. It may only address a sub-set of programme activities or issues, a restricted set of programme participants or a specific time frame of the programme lifecycle. We are only interested in those objectives that are explicitly mentioned in the evaluation report.

6.3 To what extent do you agree/disagree with the following statements?

Here we are asking for your subjective judgement of a series of questions concerning aspects of the evaluation as reported in the evaluation report. The on-line version employs a series of sliders and values along the scale correspond to the extent to which you agree/disagree with the specific question. As a rule of thumb, the scale can be divided into 20 point intervals, where:

- 0 = completely disagree
- 20 = disagree
- 40 = tend to disagree more than agree
- 60 = tend to agree more than disagree
- 80 = agree to a large extent
- 100 = completely agree.

Note that it is also to answer “not applicable”, should this issue not be relevant to the evaluation.

Also, please note that your judgement should be made in the context of the stated and explicit objectives of the report and the nature and context of the policy measure, including any resource constraints that the evaluation may have encountered. Does the report (or rather, the information it presents) meet the objectives of the evaluation? Overall, we are looking at the quality of the evaluation, given its particular context and not against an ideal benchmark that could have been achieved given infinite time and personnel resources.

6.3.1 The choice and balance of methods is appropriate given the stated objectives of the evaluation and the nature of the policy measure: According to the information presented in the evaluation report, was the selection of methods in the evaluation made in such a way that it was able to address the objectives and the nature of the policy measure or programme in an appropriate, comprehensive and satisfactory way?

6.3.2 The report reflects critically on the evaluation design and implementation of the chosen methodology, including consideration of its limitations: According to the information presented in the evaluation report, did the report provide a sound rationale for the design of the evaluation and the use of the methods employed. Did the report discuss or highlight any constraints or limitations that could have resulted (e.g. any inability to gain access to high-quality data)?

6.3.3 The information sources used in the report are well documented and referenced: Any information sources should be well referenced and details should be provided of their sources.

6.3.4 The analysis presented in the report was clearly based on the data obtained by the evaluation: There should be a clear and logical link between the quality and type of data obtained and the analytical approaches used and results obtained. The analyses described in the evaluation report should be clearly based on the data obtained by the evaluation collection methodologies.

6.3.5 Given the objectives of the evaluation, the analysis documented in the report covers the broader context (e.g. societal, institutional, policy and economic contexts) appropriately: Did the evaluation examine the broader societal, institutional, policy and economic contexts, etc. in an appropriate manner? Note that the specific objectives of the evaluation (if stated in the evaluation report) may have not necessitated or may have even excluded such a broader-based analysis, thus in which cases such an analysis would not be expected.

6.3.6 The application of the chosen qualitative methods is appropriate and satisfactory, given the purpose/objectives of the evaluation: Where qualitative methodologies were employed for data collection and data analysis, was their use appropriate to the types of information available and the specified objectives of the evaluation?

6.3.7 The application of the quantitative methods is appropriate and satisfactory, given the purpose/objectives of the evaluation: Where quantitative methodologies were employed for data collection and data analysis, was their use appropriate to the types of information available and the specified objectives of the evaluation?

6.3.8 The conclusions and recommendations are clearly based on the results of the evaluation analysis: The conclusions and recommendations of the evaluation (if provided) should be consistent with the results of the evaluation analyses. That is, the recommendations should be clearly drawn from and based on the outcomes of the data analysis.

Section 7: Comments

7.1 If you have any further comments, please write them in the box below. Thanks.

Please use this space to add any comments or questions you have regarding any of the above questions and issues address. This can include explanations of why you have selected a specific response, or anything that is unclear and requires further explanation from the SIPER team.

7.4 Annex 4: SIPER Policy Measure Typology

Science and Innovation Policy Measure Categorisation

| | |
|---|---|
| 1. Modalities (How support is provided) | |
| 1. | Direct financial support: grants, loans, guarantees, contracts, etc. |
| 2. | Direct financial support: scholarships, fellowships, etc. |
| 3. | Direct financial support: (non-project specific) institutional block grants |
| 4. | Indirect financial support: tax & fiscal incentives (e.g. R&D credits) |
| 5. | (Indirect financial support – norms, standards, regulations) NOT USED |
| 6. | Infrastructure support (e.g. provision of access to and construction/upgrading of research infrastructure) |
| 7. | Non-financial support (e.g. training ,coordination and advisory/information support/provision) |
| 8. | Prizes and awards (ex-ante inducement, ex-post performance recognition, etc.) |
| 2. Targets (Recipient of the support) | |
| 1. | Individuals (researcher, student, manager, entrepreneur, investor, etc.) |
| 2. | Universities (including sub-departments and institutions) |
| 3. | Research Organisations (including the spectrum from public (PROs) to private (RTOs)) |
| 4. | Public organisations (governmental or quasi-governmental agencies, policy making organisations – not directly involved in R&D) |
| 5. | Intermediaries (such as science parks, business incubators, technology parks, knowledge brokers, TTOs, etc.) |
| 6. | Firms (SMEs focused) |
| 7. | Firms (no size-specific focus) |
| 8. | Other funding organisations (NGOs, NPIs, Not-for-Profit, Charities...) |
| 9. | Specific industrial sector targeted |
| 10. | Specific S&T field targeted |
| 3. Policy objectives (Why the support is provided) | |
| 1. | Enhancement of education and initial/further training |
| 2. | Facilitating personnel mobility (including career enhancement) |
| 3. | Internationalisation of RDTI activities |
| 4. | Awareness raising and promotion of public acceptance |
| 5. | Strengthening/improving research excellence, relevance and management practices |
| 6. | Improving absorptive capabilities and capacity |
| 7. | Supporting collaborative interactions for the production of new knowledge (including project focused approaches, innovation vouchers, etc.) |
| 8. | Supporting broader (multiple) interactions (e.g. through clusters or networks) |
| 9. | Supporting the protection of IP |
| 10. | Mobilising additional (non-public) financing for innovation (e.g. support of business angels, VCTs, equity schemes, etc.) |
| 11. | Stimulation of additional RDTI activity (e.g. increasing R&D expenditures) |
| 12. | Strengthening the quality of RDTI activities (promotion of excellence) |
| 13. | Creating new RDTI capacity (e.g. new organisations, start-ups, technology-based companies, etc.) |
| 14. | Diffusion of innovation (including creation or exploitation of new markets, public procurement of innovation) |

7.5 Annex 5: SIPER Portal Basic Technical Specifications

(see next page)

HDT2014004a

SiperPortal (Basic)

Version 2.2

Revision History

| Version | Date | Author(s) Reviewer Authoriser | Change description |
|---------|------------|-------------------------------------|---|
| 1.0 | 06/11/2014 | Theresa Teng | Initial version. |
| 1.1 | 10/11/2014 | Theresa Teng | Added in: Storage arrangement for uploaded documents: Put publishable and non-publishable ones in different folders in order to enable the University's GSA doing the text search only in publishable ones. |
| 2.0 | 14/11/2014 | Theresa Teng | Added in: Naming convention for uploaded documents: Language code will be used too. Clarifications on a few points. |
| 2.1 | 18/11/2014 | Theresa Teng | Modified: Evaluation details view, Upload document tab: <ul style="list-style-type: none"> • Change the saving rule so user only needs to click one button to save the changes made to all documents. • Use icons for viewing and deleting action for individual document. |
| 2.2 | 18/11/2014 | Theresa Teng | Formatting/spelling changes only. |

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1. Overview

SIPER stands for Science and Innovation Policy Evaluations Repository, which is a part of a larger scale multi-partner effort titled The Research Infrastructure for Science and Innovation Policy Studies (RISIS) project. SIPER's objective is "to identify, collect, characterise evaluation reports and present them to wider stakeholders, and to conduct academic research by analysing these evaluations."

The SIPER Portal project is required by the MBS's SIPER team. The project's requirements for producing web applications and databases for the project are covered in the specification for the SIPER Portal (HDT2014004 – SiperPortal).

There will be three web applications for the project:

- Part A, SiperPortal (Basic) – The basic data gathering tool, for small number of internal users in the Siper project team. It will offer the basic data gathering facilities for user to enter certain project data, full details can be seen in the specification for the tool – "HDT2014004a – SiperPortal (Basic)" (this document). This application will only be used as a temporary tool during phase 1, and will not be authenticated. The functionalities will be integrated into the full version of the admin tool (Part B) at later stage.
- Part B, SiperPortal (Admin) – The full version of the Siper admin tool, an authenticated site for members of the Siper project team. It will be protected by the University's CAS. The application offers facilities for researcher to administrate project data. Full details will be covered in the specification – "HDT2014004 – SiperPortal".
- The SiperPortal (Public), which has two main parts:
 - Part C – A public site in the project's own domain(s), with searching facilities, for public user to search the project data.
 - Part D – An authenticated sub-site – SiperPortal (PM) – in the same public domain(s), with the access restricted to the external stakeholders (Policy Makers, or PMs), for them to work on certain authorized part of the project data. This will be protected by the application's own authentication system.

Full details will also be covered in the specification – "HDT2014004 – SiperPortal".

The development work will be carried out in phases (subject to review):

| Phase | Description |
|-------|--|
| 1 | <ul style="list-style-type: none">• Database for SiperPortal (Basic)• SiperPortal (Basic) |
| 2 | <ul style="list-style-type: none">• Databases for SiperPortal (Admin) and SiperPortal (Public)• Key functionalities of SiperPortal (Admin) for evaluation data• SiperPortal (Public) site styles (static)• Authentication related functionalities of SiperPortal (PM) |
| 3 | <ul style="list-style-type: none">• Key functionalities of SiperPortal (PM)• Integration between SiperPortal (Admin) and SiperPortal (PM) |
| 4 | <ul style="list-style-type: none">• Key functionalities of SiperPortal (Public)• The rest of the functionalities for all applications |

2. Assumptions for SiperPortal (Basic)

2.1. Data included in the basic tool's database ([HumSiperBasic]):

[HumSiperBasic] only contains a small subset of the full database, including the following tables. For more details of the database see the Technical Overview section (section 4).

- Pre-defined data that should be set up directly into the database in the required structure:
 - Country
 - DocCategory
 - DocLanguage
 - Status
 - Researcher
- Data to be entered by user in the application:
 - Document
 - Evaluation

The above tables are selected because these are needed to meet the minimum data gathering requirement, and to minimise the possible integration issues in the future.

2.2. Assumptions

The following assumptions are used in this application, and will be used in the later integration process:

- The application will only be used by very small number of users, and with no authentication.
- Evaluation's data in the scope:

The following data will be included for an evaluation in the application:

 - Title: Entered by user.
 - Publication year: Selected by user.

Note: This is a new requirement and will be added in the main database as well.
 - Country: Selected by user using the pre-defined data in [Country] table.
 - Code: Generated by the application with the same format as to be used in the full version of the admin tool. Full details in the relevant section below.
 - Status: This will be set to "New" and won't be changed, but the [Status] table will be used.
 - Documents uploaded: The pre-defined document category and language data (in [DocCategory] and [DocLanguage]) will be used, and more than 1 document can be uploaded.
 - Creator: In order to avoid future integration problem the real researcher data will be used for creator. However the researcher data must be entered into database directly.
- Data not included:
 - PL data, i.e. the questionnaire and usage in the evaluations.
 - FC/JC data, i.e. the questionnaire and characterisations.
 - PM data, i.e. the PM account and assignment.
 - Other supporting data, such as progress note (a manually maintained communication record between SU/PA/PM by the evaluation owner).

3. Functional overview

3.1. Evaluation list

Evaluation list is the starting point for evaluation functionalities.

a) Data on the page:

The evaluations will be displayed in a list with searching / sorting / paging facilities. Details included are

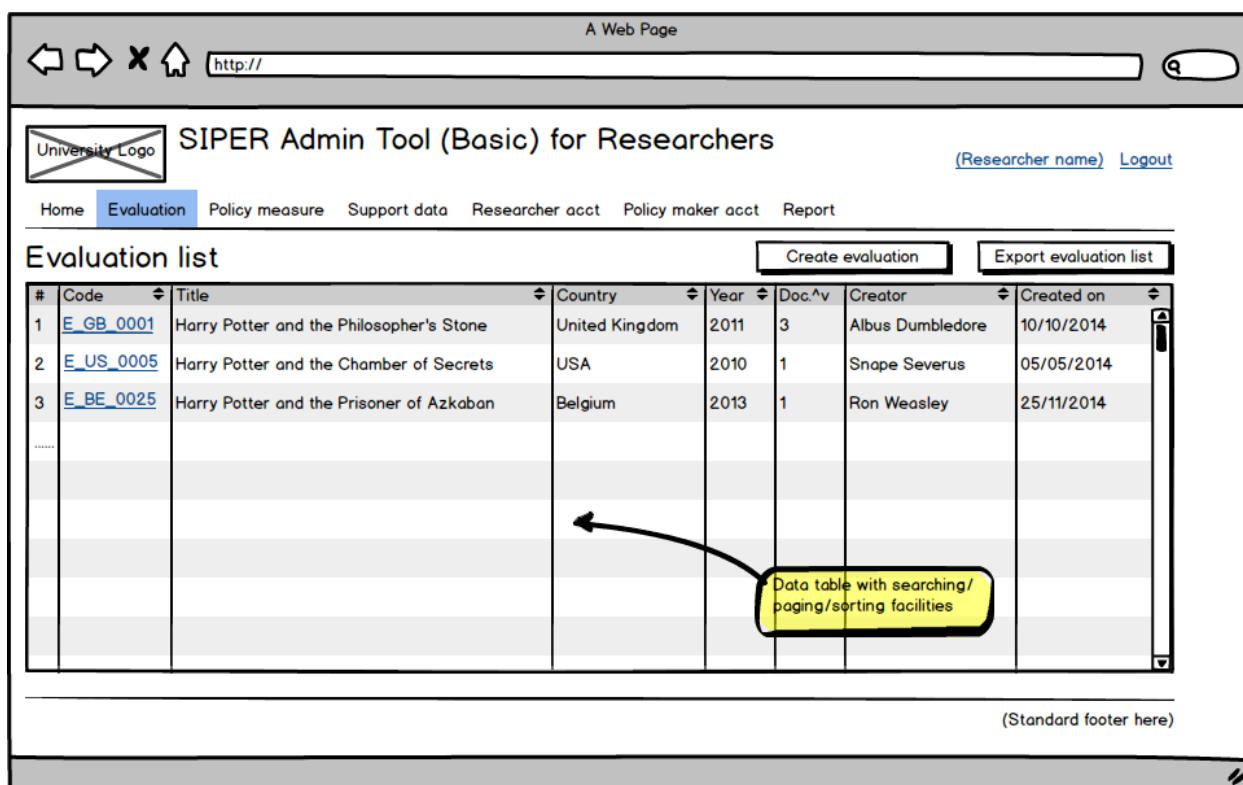
- Code
- Title
- Country
- Publication year
- Number of documents uploaded
- Creator name
- Creation date

The evaluation data is from the [Evaluation] table and other few tables in the database, including [Country], [Document] and [Researcher].

b) Actions available:

- Create new evaluation:
The [Create evaluation] button is available on evaluation list page, pointing to the creating evaluation page (section 3.2).
- Go to evaluation details page:
The evaluation code in the list will be a clickable link, pointing to the evaluation detail page (section 3.3).
- Searching / sorting / paging facilities:
The text entered in the search box will be used to filter the content in the list.
Click the head of a column will get the list sorted by that column.
Number of evaluations per page can be selected from a dropdown list.
Note: The mock page doesn't show the full details of these but they are available.
- Export the list **C**:
The [Export evaluation list] button is available for user to export the list into an Excel file.

Mock page:



3.2. Create new evaluation

This page will be displayed when [Create Evaluation] button on evaluation list page is clicked. It has the following functions:

- a) Get data for creating new evaluation. Minimum data requirement:
 - Evaluation title: Text, length range 1 to 255 characters.
 - Publication year: Selected from a year list.
 - Country: Selected from the [Country] list (220 countries in total, stored in the [Country] table in the database).
 - Document: One initial document must be uploaded. The publishable flag will be defaulted to false, the document category and language will be selected by user from the pre-defined [DocCategory] and [DocLanguage] tables in the database. See more details in 3.3.2 – Uploading document tab.
- b) Generate the rest of the data for the new evaluation:
 - Evaluation Id: For system use only.
 - Evaluation code:

This is unique which will be used as the identifier for evaluations. It's generated with a given format:
E_[2-letter country code]_[4-digit number]

The 2-letter country code is selected from the pre-defined country list; The 4-digit number will be incremented by 1 from the number in the code of the last evaluation from the same country.

Sample: E_GB_0001, E_GB_0056, E_BE_0005, E_CN_0040
 - Status: “New”.
 - Researcher's Id who created the evaluation, and the creation date. Researcher's data (manually entered into database directly) is from [Researcher] table in the database.

Evaluation data will be saved into [Evaluation] table in the database, the related document data is saved in the [Document] table.

Note on uniqueness:

The system won't check whether a new evaluation is unique or not. SU will check it manually.

However the existing evaluation list with some basic data will be displayed on the page, offering a chance for researcher to do some manual checking.

Mock page:

SIPER Admin Tool for Researchers

(Researcher name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Create new evaluation

Title: (Title for new evaluation)

Country: Country list

Publication year: Year list

Initial document

Doc to upload: Browse (Selected document's name)

Category: Category list

Language: Language list

Publishable: ☐

Create

Existing evaluation list

| # | Code | Title | Country | Year | Doc.^v | Creator | Created on |
|---|-----------|--|----------------|------|--------|------------------|------------|
| 1 | E_GB_0001 | Harry Potter and the Philosopher's Stone | United Kingdom | 2011 | 3 | Albus Dumbledore | 10/10/2014 |
| 2 | E_US_0005 | Harry Potter and the Chamber of Secrets | USA | 2010 | 1 | Snape Severus | 05/05/2014 |
| 3 | E_BE_0025 | Harry Potter and the Prisoner of Azkaban | Belgium | 2013 | 1 | Ron Weasley | 25/11/2014 |

Data table with searching/paging/sorting facilities

(Standard footer here)

3.3. Evaluation details

Evaluation detail page acts as a dash board for functionalities related to a selected evaluation. A tab structure will be used in order to accommodate the multiple functionalities.

The following tabs will be available in SiperPortal (Admin), which group the functionalities for a selected evaluation:

- Basic data and action
- Upload document
- Policy measure
- Factual/judgemental characterisation

- Progress note

In SiperPortal (Basic), only the first two tabs will be enabled.

3.3.1. Basic data and action tab

This is the first tab to be displayed when the page is launched.

a) Data in the view:

- Data for information only:
 - Code
 - Publication year
 - Country
 - Creator and creation date
 - Last updater and updating date
- Data editable:
 - Title
 - Publication year
 - Remarks

b) Actions available:

- Change title
- Change publication year
- Add remarks

Mock page:

A Web Page

University Logo SIPER Admin Tool for Researchers (Researcher name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

(Evaluation title for E_GB_0001) Status: New

Basic data&action Upload document PL data FC/JC data Progress note

Basic data

Evaluation code E_GB_0001

Created by (Creator name) On (dd/mm/yyyy)

Updated by (Updater name) On (dd/mm/yyyy)

Country United Kingdom

Title Title for E_GB_001

Publication year Year list ▼

Remarks (Some remarks on the evaluation)

Update

(Standard footer here)

3.3.2. Upload document tab

a) Rules for uploading documents:

- PDF is the only acceptable format for documents to be uploaded.

- Document category and language must be selected when uploading. See below for more details.
- Publishable flag must be decided when uploading, indicating if the document can be made available on public site when the evaluation is published. The default value is false.
- A standard format will be used to name the uploaded documents:
[Evaluation code]_[Document category code]_[Document language code]_[2-digit number]
The number will be incremented by 1 from the last document's name for same evaluation and in same document category and language.
Sample names: E_GB_0001_MR_EN_01, E_CN_0025_AP_ZH_02.
- Uploaded documents will be stored in two designated areas on the site:
 - “_Docs_Publishable”, for publishable documents. Documents will be put into sub-folders named by the evaluation code. The folder and its sub-folders will be open to the University's GSA (Google Search Appliance) for text search.
 - “_Docs_NonPublishable”, for non-publishable documents. They will be organised by evaluation code as well. The folder won't be searchable for the University's GSA.
 - A few sample document names:
~_Docs_Publishable\E_GB_0001\E_GB_0001_MR_EN_01.PDF
~_Docs_NonPublishable\E_GB_0005\E_GB_0005_AP_ZH_02.PDF

b) Document category and language:

The document category and language are stored in tables [DocCategory] and [DocLanguage] in the database.

The document category details are stored in table [DocCategory], as displayed below. The code will be used in the standard name for uploaded documents:

| Category code | Category name |
|---------------|--------------------|
| AP | Appendices |
| ES | Executive summary |
| MR | Main report |
| OT | Other |
| TR | Terms of reference |

Language details are stored in table [DocLanguage], the code will also be used in the standard name for uploaded documents.

c) Actions available:

- Upload new documents:
 - Click [Browse] button to select a document to be uploaded from the local drive. Only PDF format is acceptable;
 - Select category, language, set publishable flag, and click [Upload] button to start uploading
 - A folder will be created (if not already existed) for the evaluation, named after the evaluation code;
 - The chosen file's name will be changed based on the naming convention, and saved in the relevant folder;
 - A record will also be saved in [Document] table in the database, together with uploader id and uploaded date.
- Change category, language and publishable flag for existing documents:

- In the existing document list, make changes for documents, and click [Save] button to save all the changes into [Document] table in the database.
- When a document's category and/or language are changed, the document name must be updated too to reflect the change, so is the path for the document. However the name change will only affect the document itself, not the other documents, i.e., the number part in the document names won't be changed. See the example below in "Remove document".
Example:
Old category:
Main report (code=MR), in English (code=EN)
Old path:
~\UploadedDocuments\E_GB_0001\E_GB_0001_MR_EN_01.PDF
New category:
Executive summary (code=ES), in Chinese (code=ZH)
New path:
~\UploadedDocuments\E_GB_0001\E_GB_0001_ES_ZH_**.PDF
where ** will be the last E_GB_0001_ES_ZH-document's number plus 1.
- Other relevant details will also be saved, including uploader id and uploaded date.
- View document details:
 - Click the [View] icon (an eye), the selected PDF document will be opened in a new tab.
 - Note: This can be used for downloading single document.
- Remove document:
 - When the [Delete] icon (a bin) is clicked the confirmation window will appear for user to confirm the action.
 - If confirmed, the record in [Document] table will be deleted, and the document in the evaluation's document folder will be deleted too. However the name of other existing documents will remain unchanged.
Example:
Evaluation "E_GB_0001" has two documents uploaded, named "E_GB_0001_MR_EN_01" and "E_GB_0001_MR_EN_02". If "E_GB_0001_MR_EN_01" is deleted, "E_GB_0001_MR_EN_02" will still keep its name as "02", and not changed to "01".
 - Note: This icon will be disabled if it's for the last document.

Mock page:

A Web Page
http://

SIPER Admin Tool for Researchers

(Researcher name) Logout

Home
Evaluation
Policy measure
Support data
Researcher acct
Policy maker acct
Report

(Evaluation title for E_GB_0001)
Status: New

Basic data&action
Upload document
PL data
FC/JC data
Progress note

Upload new document

Document
Browse
(Selected document name)

Category
Category list

Language
Language list

Publishable
☐

Upload

Associated documents

| # | Document name | Category | Language | Publishable | Action |
|-------|-----------------------------------|--------------|----------|-------------------------------------|--------|
| 1 | Doc 1 name aaaaaaaaaaaaaaaaaaaaaa | Main report | English | <input checked="" type="checkbox"/> | |
| 2 | Doc 2 name | Executive S. | English | <input type="checkbox"/> | |
| 3 | Doc 3 name | Appendices | Chinese | <input checked="" type="checkbox"/> | |
| | | | | | |

Save

(Standard footer here)

5. Glossary

Note: This application shares the same glossary in the full version of the admin tool. Not all the terms listed below are applicable in this application.

5.1. User related

| Term | Meaning |
|------------------|--|
| SU | Super user, the project team leader |
| PA | Project associate, with a University account |
| PM | Policy maker, external, no University account |
| Researcher | SU, PA |
| Evaluation owner | Researcher who has been assigned to the Evaluation |

5.2. Evaluation related

| Term | Meaning |
|------|--|
| En | Evaluation without an owner |
| Ea | Evaluation with an assigned owner |
| PL | Policy measure for evaluations |
| FC | Factual characterisation for evaluations |
| JC | Judgemental characterisation for evaluations |

6. Contacts

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7.6 Annex 6: SIPER Portal Admin Technical Specifications

(see next page)

P00418-b

SiperPortalAdmin

Version 4.4

Revision History

| Version | Date | Change description |
|------------|------------|---|
| 1.0 | 27/01/2015 | Initial version. |
| 2.0 | 09/03/2015 | <ul style="list-style-type: none"> • Copyright requirement related changes. • New evaluation workflow related changes. • Assigning/re-assigning/releasing owner and/or PM related changes. • FC/JC working process related changes. • Server related changes. |
| 2.1 | 20/04/2015 | <ul style="list-style-type: none"> • Data schema changed to add new title fields for Evaluation and Policy measure to take information native languages. • Data schema changed to increase the lengths of certain string-typed fields. • New information on databases. |
| 3.0 | 03/06/2015 | <ul style="list-style-type: none"> • Separated SPPublic and SPPM. • Added a new PubType, and some more details in various sections. • Made a few corrections in various sections. |
| 3.1 / 3.11 | 18/06/2015 | <ul style="list-style-type: none"> • Updated details related to PubType / ownership change based on the new clarification. • Added the URLs in for internally hosted SP sites. • Updated maximum allowed document size. |
| 3.2 | 29/06/2015 | <ul style="list-style-type: none"> • Introduced new DataStages to separate two “SU to consider” cases. • Updated details for post-JC related actions in order to rectify conflict requirements. |
| 3.3 | 22/07/2015 | <ul style="list-style-type: none"> • Updated details further for post-JC related actions in order to rectify conflict requirements and cover missing information. • Updated details for owner and PM related data/actions in order to rectify conflict requirements. |
| 3.4 | 27/10/2015 | <ul style="list-style-type: none"> • Added details on document related parts – Publishable documents will be stored in an area outside of the current application, to make them accessible to PM and public sites. • Updated details in various sections: Publishing evaluation part; Approving JC part; PM email related part. |
| 4.0 | 08/01/2016 | <ul style="list-style-type: none"> • Updated details on hosting arrangement. • Updated details related to the core data schema change. |
| 4.1 | 22/01/2016 | <ul style="list-style-type: none"> • Updated details related to PM re-assigning / releasing. |
| 4.2 | 04/02/2016 | <ul style="list-style-type: none"> • Added details related to abandoning/reviving evaluations. |
| 4.3 | 18/03/2016 | <ul style="list-style-type: none"> • Amended detail related the SU’s general email. |
| 4.4 | 17/05/2016 | <ul style="list-style-type: none"> • Amended details to make specifications of the 3 SiperPortal applications consistent (e.g., number of years used in the year list). • Updated details related to the scale items. • Added in details for maintaining support data. |

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7. Overview

SIPER stands for Science and Innovation Policy Evaluations Repository, which is a part of a larger scale multi-partner effort titled The Research Infrastructure for Science and Innovation Policy Studies (RISIS) project. SIPER's objective is "to identify, collect, characterise evaluation reports and present them to wider stakeholders, and to conduct academic research by analysing these evaluations."

The SIPER Portal project is required by the MBS's SIPER team. There will be four web applications for the project:

- Part A, SiperPortalBasic – The basic data gathering tool, for very few users in the Siper project team. It will offer the basic data gathering facilities for user to enter certain project data, full details can be seen in the specification for the tool – "P00418a – SiperPortalBasic". This application will only be used as a temporary tool during phase 1, and will not be authenticated. The functionalities will be covered in the full version of the admin tool (Part B) at later stage.
- Part B, SiperPortalAdmin – The full version of the Siper Portal admin tool, an authenticated site for members of the Siper project team. It will be protected by the University's CAS. The application offers facilities for researcher to administrate project data. Full details will be covered in the specification "P00418b – SiperPortalAdmin" (this document).
- Part C, SiperPM – An authenticated site with the access restricted to the external stakeholders (Policy Makers, or PMs), for them to work on authorized part of the project data. This will be protected by the application's own authentication system.

Full details will be covered in the specification – "P00418c – SiperPortalPM".

- Part D, SiperPortalPublic – A public site with searching facilities, for public user to search the project data. Full details will be covered in the specification – "P00418d – SiperPortalPublic".

The development work will be carried out in phases (subject to review):

| Phase | Description |
|-------|---|
| 1 | <ul style="list-style-type: none">• Database for SiperPortalBasic• SiperPortal Basic |
| 2 | <ul style="list-style-type: none">• Databases for SiperPortalAdmin and SiperPortalPublic• Key functionalities of SiperPortalAdmin for evaluation data• SiperPortalPublic site styles (static)• Authentication related functionalities of SiperPortalPM |
| 3 | <ul style="list-style-type: none">• Key functionalities of SiperPortalPM• Integration between SiperPortalAdmin and SiperPortalPM |
| 4 | <ul style="list-style-type: none">• Key functionalities of SiperPortalPublic• The rest of the functionalities for all applications |

The relationship of the four applications is illustrated in Appendix 14. (TBA)

8. Authentication and authorisation

8.1. Authentication

The project consists of three parts, each designed for a particular type of user, with different access control and functionalities (Please refer to the Glossary section for terms used):

| | SiperPortalAdmin | SiperPortalPM | SiperPortalPublic |
|-----------------------------|---------------------------|---|-------------------------------------|
| User role | Researchers, i.e. SU / PA | External user, i.e. PM | General public |
| Access control | The University's CAS | The application's own authentication system | None |
| Main functionalities | Administrate project data | Edit JC | View / search published evaluations |

For researchers (internal users), the standard University's account will be used to login. No account details will be stored in the application's database.

For PMs, the account will be created by the internal users, and will be stored in the application's database. More details in relevant parts of this document.

8.2. Authorisation for researcher

Role information of the researchers will be stored in table [Role] in the database.

Details of authorisation rules for different authenticated users can be found in "Appendix 1 – Authorised activities for roles".

8.3. Authorisation for PM

Details of authorisation rules for PM can also be found in "Appendix 1 – Authorised activities for roles".

Authorised actions for PM include the following:

- Change own password.
- Provide comment to FC for assigned evaluations.
- Provide JC for assigned evaluations.

PM can delegate the assignment to someone else. The delegation process is briefly covered in the PM section (3.6), full detail can be found in the specification for SiperPortalPM ("P00418c – SiperPortalPM").

More details in relevant parts of this document.

9. Functional overview

9.1. Outline

The purpose of the SiperPortalAdmin is to provide various facilities for researchers to administrate the Siper project data.

a) Status of evaluations:

Two types of status will be used:

- Data stage:

A unique indicator for an evaluation's data entering status, showing which stage an evaluation is currently in in terms of setting up evaluation data during the whole working process. Certain actions can be taken for evaluations in certain stages.

- Publishing type

A unique indicator for an evaluation's publishing status. The default status is "Data not ready" which can be changed to "Data ready" by both SU and PA's (and PM's) actions, but only SU can decide to publish or store an evaluation.

Data stage details are stored in table [DataStage], and can be summarised as below:

| Code | Name | Preceding DataStage | Succeeding DataStage | Change triggered by | Possible matching PubType code |
|------|----------------|---------------------|----------------------|---------------------|--------------------------------|
| 1 | New | None | 2 | SU/PA | NO |
| 2 | FC in progress | 1 | 3 | SU/PA | NO |
| 3 | FC complete | 2 | 4 | SU/PA | Any except NO /AB |
| 4 | JC in progress | 3 | 5, 6 | PM | Any except NO /AB |
| 5 | JC complete | 4, 6, 7 | 3, 8 | PM | Any except NO /AB |
| 6 | SU consider FC | 4 | 5 | PM | Any except AB |
| 7 | SU consider JC | 4 | 3, 5 | PA | Any except NO /AB |
| 8 | JC approved | 5 | - | SU/PA | Any except NO /AB |
| 9 | Abandoned | 1 ~ 8 | 1 ~ 8 | SU | NO |

Publishing type details are stored in table [PubType], and can be summarised as below (Note "Partially published" type is suspended):

| Code | Name | Preceding Code | Succeeding Code | Possible matching DataStage |
|------|---------------------|----------------|-----------------|-----------------------------|
| NO | Data not ready | None | RD | 1, 2, 6 |
| RD | Data ready | NO | FP, PP, ST | 3 ~ 8 |
| FP | Published | RD, PP, ST | PP, ST | 3 ~ 8 |
| PP | Partially published | RD, FP, ST | FP, ST | 3 ~ 8 |
| ST | Stored | RD, FP, PP | FP, PP | 3 ~ 8 |
| AB | Abandoned | Any | Any | 9 |

3 Evaluation data:

An evaluation's data has following major parts:

- Basic data – Title, code, author, country, published year, policy measure (PL)
- Document(s) – An evaluation must have at least 1 document uploaded for it
- FC data – A set of answer to FC questionnaire
- JC data – A set of answer to JC questionnaire

There are other parts of the supporting data:

- PL data – Sets of answer to PL questionnaire

- Pre-defined look-up item lists (e.g. country list, language list, supranational body list)
- Progress note

4 Working process for evaluations:

Once an evaluation is created it will go through various stages. Detailed description about the whole process is in “Appendix 2 – Workflow for evaluations”, a flowchart is in “Appendix 3 – Flowchart for working on an evaluation”.

5 Menu items

The top level menu items include the following

- Home
- Evaluation – e.g., List, details, create new, assign owner/PM, and many other actions.
- Policy measure – e.g., List, details, create new, merge
- Support data – Pre-defined look-up item lists, such as country, supranational body, language, etc.
- Researcher account – Maintain internal user details
- Policy maker account – Maintain PM account
- Report – Generate reports

9.2. Evaluation related pages

Important properties of an evaluation:

- An evaluation must have the following element: Code (generated, unique), title (in English), country, published year, and at least one document. There are other optional elements, full details are in Evaluation Detail page (3.2.3).
- An evaluation is always in unique DataStage and PubType at a time, the DataStage will be changed by various actions taken by researchers or PMs, and the PubType will be changed by SU. Full details about evaluation's DataStage and PubType are summarised in the Outline section (3.1).
- An evaluation will be assigned to an owner (researcher), and later on to a PM as well. An evaluation without owner (En) can only be in the DataStage of "New" if it's created by SU. All the other evaluations should be Ea – i.e., with an assigned owner.
- One evaluation can only have one owner at a time, or have no owner. But a researcher can be owner of many evaluations at same time.
- One evaluation can only be assigned to one PM at a time, and one PM can only be assigned to one evaluation at a time.
- Actions available to an evaluation depend on its DataStage and/or PubType, and its owner's role, although some of the actions can be available to all roles and for all status.

9.2.1. Evaluation list page

Evaluation list is the starting point for evaluation functionalities.

c) Data on the page:

The evaluations will be displayed in a list with searching / sorting / paging facilities. Details included are code, title (in English), country, published year, Data stage (DataStage), publishing type (PubType), number of documents uploaded, owner name, updater name & last updated date.

The default sorting order for the list is by creation date. Other options including evaluation title and code, defined in the application's configuration file (web.config) and can be changed.

The title in native language will not be displayed in the evaluation list.

The evaluation data is from the [Evaluation] table and other few tables in the database, including [DataStage], [Country] and [Researcher].

All the researchers – SU/PA – can view the list of all existing evaluations except the abandoned ones, regardless of the evaluations' ownership.

d) Actions available for different roles:

| Action | SU | PA |
|---|----|----|
| Create new evaluation | √ | √ |
| Go to evaluation detail page | √ | √ |
| Generate evaluation report | √ | √ |
| Include abandoned evaluations in the list | √ | |

e) Action details:

- Create new evaluation:

The [Create evaluation] button is available on evaluation list page to both roles, pointing to the creating new evaluation page (3.2.2).

- Go to evaluation details page:

The evaluation code in the list will be a clickable link, pointing to the evaluation detail page (3.2.3).

- Searching / sorting / paging facilities:
 - The text entered in the search box will be used to filter the content in the list.
 - Click the head of a column will get the list sorted by that column.
 - Number of evaluations per page can be selected from a dropdown list.

Note: The mock page doesn't show the full details of these but they are available.

- Export the list:

The [Export evaluation list] button is available for user to export the full evaluation list into an Excel file.

- Include abandoned evaluation in the list – SU only:

Information on whether abandoned evaluations are included in the list will be displayed, and a relevant button is available for SU to choose to include / exclude the abandoned evaluations in the list. The default is to exclude abandoned ones.

Mock page – Evaluation list:

University Logo SiperPortalAdmin (Researcher name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Evaluation list Create evaluation Export evaluation list

Abandoned evaluations excluded. Include abandoned evaluations Only visible to SU

OR

Abandoned evaluations excluded. Exclude abandoned evaluations

| # | Code | Title | Country | Year | Doc | DataStage | PubType | Owner | Updater |
|-------|---------------------------|--|----------------|------|-----|----------------|-------------------|-----------|----------|
| 1 | E_GB_0001 | Harry Potter and the Philosopher's Stone | United Kingdom | 2011 | 1 | New | Data not complete | | |
| 2 | E_US_0005 | Harry Potter and the Chamber of Secret | USA | 2010 | 3 | FC complete | Published | Potter H | Potter H |
| 3 | E_BE_0025 | Harry Potter and the Prisoner of Azkaba | Belgium | 2013 | 1 | JC in progress | P.Part.Published | Weasley R | |
| | | | | | | | | | |

(Standard footer here)

9.2.2. Create new evaluation page

This page will be displayed when [Create evaluation] button on evaluation list page is clicked. It has the following functions:

c) Get data for creating new evaluation.

Minimum data requirement:

- Evaluation title: Text, length range 2 to 500 characters, in English, will be searchable in SPPublic site.
- **Year published:** Selected from a year list. A dropdown list of years is used for user to enter data. The list contains 25 years, starting from the current year.
- Country: Selected from the [Country] list (stored in the [Country] table in the database, sorted by frequency + name, i.e., 10 most frequently used countries will appear on top of the list). It includes 2 special ones: Multiple countries and supranational body, but no details will be entered here.
- Document: One initial document must be uploaded when creating a new evaluation. The document must be in PDF format, and size is within the limit which is set in the application's configuration file (web.config) and can be changed, the default limit is 50MB.

Required details for document:

- The publishable flag, default value will be false.
- The document category will be selected from the pre-defined [DocCategory] table in the database as displayed below. The category code will be used in the standard name for uploaded documents.

| Category code | Category name |
|---------------|--------------------|
| AP | Appendices |
| ES | Executive summary |
| MR | Main report |
| MP | Multipurpose |
| OT | Other |
| TR | Terms of reference |

- The document language will be selected from the pre-defined [DocLanguage] table in the database. 10 most frequently used languages will be listed on the top. The language code will also be used in the standard name for uploaded documents.
- The copyright related information, which contains a group of radio buttons to take information on availability type, and a textbox to take further information as free text. Three categories will be used:
 - If the document is publically available online, the [AvailabilityType] in [Document] table will be set to "Online", and URL should be provided and stored in [AvailabilityDetail] in the same table.
 - If the document is publically available offline, the [AvailabilityType] will be set to "Offline", further details stored in [AvailabilityDetail] will be ISBN (or similar).
 - If the document isn't publically available, the [AvailabilityType] will be set to "Non-public", further details in [AvailabilityDetail] will hold information such as from whom it's obtained and when, provided by user.

Optional data:

- Title in native language: Free text, length range 2 to 500 characters.
- Author information: Free text, length range 2 to 1000 characters.

Note:

- The [AvailabilityDetail] will be entered as free text, length range 2 to 1000 characters. There will be no validation.
- The data in pre-defined [DocCategory] and [DocLanguage] tables can be maintained in Supporting data section. See more details there (3.7).

d) Generate the rest of the data for new evaluation:

- Evaluation Id: System generated and for system use only.

- Evaluation code:

This is unique which will be used as the identifier for evaluations. It's generated with a given format:

E_[2-letter country code]_[4-digit number]

The 2-letter country code is selected from the pre-defined country list; The 4-digit number will be incremented by 1 from the number in the code of the last evaluation from the same country.

Sample: E_GB_0001, E_GB_0056, E_BE_0005, E_CN_0040

- DataStage, will be set to 1 (New).
- PubType, will be set to "NO" (Data not complete).
- Researcher's Id who created the evaluation, as the creator, and the creation date.
Researcher's data is from [Researcher] table in the database.
- Ownership:

For PA, the newly created evaluation must be assigned to him/herself. For SU this is optional.

Evaluation data will be saved into [Evaluation] table in the database, the related document data is saved in the [Document] table.

Note on uniqueness:

The system won't check whether a new evaluation is unique or not. SU will check it manually.

However the existing evaluation list with some basic data will be displayed on the page, offering a chance for researcher to do some manual checking.

Mock page – Create new evaluation:

A Web Page

University Logo SiperPortalAdmin (Researcher name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Create new evaluation

Basic evaluation data

Title (English) (Title in English for new evaluation)

Title (Native) (Title in native language for new evaluation)

Author (Author information)

Country ☒ Single country ☐ Multiple countries ☐ Supranational body
Country list

Published year Year list

Assign it to self ☒

Optional to SU, but compulsory to PA

Initial document

Doc to upload Browse (Selected document's name)

Category Category list

Language Language list

Publishable ☐

Copyright ☐ Publically available online - The URL must be provided.
☐ Publically available offline - Further details (e.g. ISBN) must be provided.
☐ Not publically available - Please state from what source you received this document and when.
(Further details on copyright issue)

Create

Existing evaluation list

| # | Code | Title | Country | Year | Doc | DataStage | PubType | Owner | Updater |
|-------|---------------------------|--|----------------|------|-----|----------------|-------------------|-----------|----------|
| 1 | E_GB_0001 | Harry Potter and the Philosopher's Stone | United Kingdom | 2011 | 1 | New | Data not complete | | |
| 2 | E_US_0005 | Harry Potter and the Chamber of Secret | USA | 2010 | 3 | FC complete | Published | Potter H | Potter H |
| 3 | E_BE_0025 | Harry Potter and the Prisoner of Azkaba | Belgium | 2013 | 1 | JC in progress | P.Part.Published | Weasley R | |
| | | | | | | | | | |

Link back to evaluation list

(Standard footer here)

Data table with searching/paging/sorting facilities

9.2.3. Evaluation detail page

Evaluation detail page acts as a dash board for functionalities related to a selected evaluation. A tab structure will be used in order to accommodate the multiple functionalities.

The following tabs are available which group the functionalities for a selected evaluation:

- Edit basic data
- Work with document
- Select policy measure
- Edit factual/judgemental characterisation
- Edit progress note

Different roles have different accessibilities for actions in those tabs. SU has full access to all evaluations regardless of their ownership, but PA only has full access to own evaluations, and read-only right to other ones.

The evaluation's code, title (in English) and DataStage will always be displayed on top. The PubType will be displayed too if it's not "NO". A link pointing to the evaluation list will be available at the bottom of the page.

9.2.3.1. Edit basic data tab – PA

It is the first tab to be displayed when the evaluation detail page is launched. This section covers the PA's version for the tab.

c) Data in the view:

| Data | E.type | PA status | E.DataStage | Description |
|--|--------|---------------------|--------------------------|-------------|
| <ul style="list-style-type: none"> Code Country Creator and creation date Last updater and updating date Current owner and previous owner (if exists) | Ea, En | Owner and non-owner | Any | Read-only |
| <ul style="list-style-type: none"> Title (in English) Title (in native language) Author Year published | Ea | Owner | New FC in progress | Editable |
| | | | FC complete and beyond | Read-only |
| Remarks | Ea | Owner | Any except the two below | Editable |
| | En | Non-owner | JC approved Abandoned | Read-only |

A note will be displayed to remind PA that title, author and published year are only editable before FC is completed.

d) Actions available to PA for own Ea:

| Action | E.type | PA | DataStage | Description |
|--------------------------------------|--------|-----------|--------------------|--|
| Change title, author, published year | Ea | Owner | New FC in progress | Relevant field in [Evaluation] get updated when the [Save] button is clicked. |
| Add/edit remarks | Ea | Owner | Any | Remarks gets updated in [Evaluation] when the [Save] button is clicked. |
| Claim ownership | En | Non-owner | New | [OwnerId] in [Evaluation] table gets updated when the [Own it] button is clicked |

Note:

An evaluation can only have one current owner.

Mock page – Evaluation detail, basic data tab, for PA:

University Logo

SiperPortalAdmin

(PA name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Evaluation details - E_GB_0001

(Title for E_GB_0001)
(Current PubType)

Only visible when PubType isn't "NO"

Data stage (Current DataStage)

Edit basic data Work with documents Select policy measure Edit FC/JC data Edit progress note

Basic data

Evaluation code

E_GB_0001

Created by (Creator name) On (dd/mm/yyyy)

Updated by (Updater name) On (dd/mm/yyyy)

Country

United Kingdom

Title (English)

Title in English for E_GB_0001

Title (Native)

Title in native language for E_GB_0001

Author

(Author information)

Published year

Year list

Note: Title, Author and Published year can only be updated before FC is completed.

Remarks

(Some remarks on the evaluation)

Save

For own Ea and DataStage is "New" or "FC in progress"

Ownership

Owner

(Own name, since the PA is the owner of current Ea)

Previous owner

(Previous owner name if applicable)

Basic data

Evaluation code

E_GB_0001

Created by (Creator name) On (dd/mm/yyyy)

Updated by (Updater name) On (dd/mm/yyyy)

Country

United Kingdom

Title (English)

(Title in English for E_GB_0010)

Title (Native)

(Title in native language for E_GB_0010)

Author

(Author information)

Published year

(Year)

Remarks

(Some remarks on the evaluation)

Save

For own Ea and DataStage is "FC complete" or beyond

Ownership

Owner

(Own name, since the PA is the owner of current Ea)

Previous owner

(Previous owner name if applicable)

Basic data

Evaluation code

E_GB_0001

Created by (Creator name) On (dd/mm/yyyy)

Updated by (Updater name) On (dd/mm/yyyy)

Country

United Kingdom

Title (English)

(Title in English for E_GB_0010)

Title (Native)

(Title in native language for E_GB_0010)

Author

(Author information)

Published year

(Year)

Remarks

(Some remarks on the evaluation)

For other's Ea, or for En

Ownership

Owner

(Current owner name or No owner if it's an En)

Previous owner

(Previous owner name if applicable)

Own it

Only visible for En

[Link back to evaluation list](#)

(Standard footer here)

9.2.3.2. Edit basic data tab – SU

It is the first tab to be displayed when the evaluation detail page is launched. This section covers the SU's version for the tab. SU has full access right to all evaluations, regardless of the evaluation's ownership.

The data / actions will be grouped in four boxes, as described below:

a) Data / actions in [Basic data] box:

| Data | E.type | E.DataStage | Description |
|---|--------|---------------------------|--------------------------|
| <ul style="list-style-type: none">• Code• Country• Creator and creation date• Last updater and updating date | Any | Any | Read-only |
| <ul style="list-style-type: none">• Title (in English)• Title (in native language)• Author• Year published | Any Ea | New FC in progress | Editable – [Save] button |
| | | FC complete and beyond | Read-only |
| Remarks | Any | Any except Abandoned | Editable – [Save] button |
| | | Abandoned | Read-only |

b) Data / actions in [Ownership] box:

The current owner and previous one (if exist) will be displayed. Both researchers' Ids are in table [Evaluation] (as OwnerId and PreOwnerId).

Other data and actions described below are only available to SU and for DataStages excluding “JC approved” and “Abandoned”. For an evaluation that has already reached “JC Approved” DataStage, owner should have been dropped and become previous owner, and no ownership change should be applied. For an abandoned evaluation the only available action is reviving. SU can change ownership for all the rest of the DataStages.

A dropdown list will show all the available researchers, data is from [Researcher] table. A researcher's availability is reflected by [RAvailable] in the table, and set in “Researcher account” section (3.5).

Actions:

- Assign the initial owner to an En (i.e. no owner, no geographic scope data, no FC data):

Select a researcher from the dropdown list, click [Assign owner] button. The following will happen:

- The selected researcher will be saved as current owner in table [Evaluation].
- The assignment count in [Researcher] table for the owner will be increased by 1.
- The owner should get a notifying email about the assignment. **Auto-email ID = EvAssignOwner, refer to Appendix 6 for email content.**

- Release an owner from an Ea:

This button is only enabled for Ea, and before a PM is assigned.

Click [Release owner] button, the following will happen:

- The current owner will be saved as previous one in table [Evaluation], and there will be no owner for the evaluation.
- The assignment count in [Researcher] table for the researcher will be decreased by 1.

- The researcher should get a notifying email about the ownership change. **Auto-email ID = EvReleaseOwner, refer to Appendix 6 for email content.**
- Dealing with geographic scope data when release owner:

Although geographic scope data is in FC part, it should really be considered as part of the country data for an evaluation, hence is treated differently from the FC questionnaire data. When Geographic scope data is entered the DataStage is still “New”. This data – in [FJSummary] and [FJAdditionalcountry] – shouldn’t be deleted when release owner.

- Dealing with FC data when release owner:

If FC data already exists, i.e., the Ea’s DataStage is “FC in progress” or “FC complete”, information will be displayed to remind SU that the existing FC data from the released owner will be deleted (FC data entered by the released owner can be identified in [FJSummary]). Relevant data in table [FJDetail] will be deleted.

- Change ownership from one to another for an Ea:

This button is only enabled for Ea, and before a PM is assigned.

Select a researcher from the dropdown list, click [Re-assign owner] button. The following will happen:

- The current owner will be saved as previous one; and the new one as the current one in table [Evaluation].
- The assignment count in [Researcher] table for both researchers will be updated.
- Dealing with geographic scope data when re-assign owner:

Geographic scope data should be considered as part of the country data for an evaluation, not as part of the FC data. When Geographic scope data is entered the DataStage is still “New”. This data – in [FJSummary] and [FJAdditionalcountry] – shouldn’t be deleted when re-assign owner, only to change [OwnerId] in [FJSummary].

- Dealing with FC data when release owner:

If the Ea’s DataStage is “FC in progress”, or “FC complete” but no PM is assigned yet, a check box is available for SU to choose to duplicate the existing FC data. The default value is true.

Information will be displayed to remind SU that the existing FC data from the previous owner will be cleared if no duplication is required.

- If no duplication is required: FC data in the questionnaires (i.e. in table [FJDetail]) will be deleted.
- No further action is needed if duplication is required, the owner will be changed in table [FJSummary].

More details on FC data can be seen in FC/JC part (3.4).

- Both researchers should get a notifying email about the ownership change. **Auto-email ID = EvReassignOwner1 and EvReassignOwner2, refer to Appendix 6 for email content.**

c) Data / actions in [Publishing] box:

Evaluations can only be considered for publishing when its FC data is completed; therefore this box is only available for evaluation when its DataStage is “FC complete” or beyond (but not abandoned). Once FC is completed the PubType value will be turned from “Data not ready” to “Data ready”.

Functions related to evaluation publishing are only available to SU, because only SU can decide whether an evaluation can be published or not.

An evaluation’s publishing type (PubType) will be displayed as a read-only information, with three action buttons: Publish, Partially publish and Store. The three PubTypes – “Published”, “Partially published”, “Stored” – are interchangeable, e.g., a published evaluation can be changed to partially published, or a stored one can be published. Refer to [3.1 Outline] for relations between different PubTypes.

- [Publish] button:

Publish an evaluation means to change its PubType from “Data ready” or “Partially published” or “Stored” to “Published” (PubTypeCode = FP), hence make it visible on the SiperPortalPublic site. More details are in the specification for SiperPortalPublic, here is a brief description on key features of a published evaluation on public site:

- The basic data is available in the evaluation list, including titles, geographical scope related information (country, multiple countries, and supranational body), author, published year.
- Selected PL(s).
- Names of all the uploaded documents are visible, including both publishable and non-publishable ones.
- Full contents of the publishable documents are available for viewing.
- The answers to the publishable questions in FC data (pre-defined and stored in table [FJQuestion]) are visible.

- [Partially publish] button:

This function is suspended.

An evaluation is also possible to be partially published, the PubType will be turned from “Data ready” or “Published” or “Stored” to “Partially published” (PubTypeCode = PP). More details are in the specification for SiperPortalPublic, here is a brief description on key features of a partially published evaluation on public site:

- The basic data is available in the evaluation list, including titles, geographical scope related information (country, multiple countries, and supranational body), author, published year.
- Selected PL(s).
- Uploaded documents are not visible.
- The answers to the publishable questions in FC data are not visible.

- [Store] button:

If an evaluation is considered as not publishable, SU can decide to store it by changing its PubType from “Data ready” or “Published” or “Partially published” to “Stored” (PubTypeCode = ST), hence it won’t appear on the public site.

For an already published evaluation, storing it means to remove it from the public site. A reminding message will be provided.

Note:

- Editing FC data after evaluation is published (or partially published / stored):

After being completed, FC data will only be editable again to SU for DataStage “SU consider FC”. When DataStage is changed to “SU consider FC” in SiperPortalPM site by PM’s submission the evaluation’s PubType will be changed back to “Data not ready”, so to make sure that it won’t appear on SiperPortalPublic site.

- The evaluation’s ownership:

Published evaluation may still need an owner, because JC data may not be completed yet. An evaluation’s ownership will be dropped when its DataStage is changed to “JC approved”, by SU or owner PA in FC/JC tab, by clicking the [Approve JC] button.

d) Actions in [Additional actions] box:

- [Abandon] button:

Availability:

- This action isn't available to evaluations in two DataStages with PM: "FC complete" with PM assigned, and "JC in progress", in order to avoid any possible confusion to PM.
- For evaluations in other DataStages the action is available. A text will be displayed to remind user the result of the action. For an already published evaluation there will be an extra line of text to remind user that the evaluation will be removed from the public site.

Description of the abandoning action:

- No evaluation data will be deleted, only to be marked as in "Abandoned" DataStage / PubType in the [Evaluation] table.
- The current DataStage / PubType will be remembered as previous DataStage / PubType for the evaluation (in [Evaluation] table), and can be used when reviving the evaluation.
- Ownership change:
 - For a "New" evaluation, i.e., an evaluation before it's assigned an owner (En), no need to do anything.
 - For a "JC approved" one where the owner has been dropped but remembered as previous owner, keep the previous owner's information, but no need to email anyone for the change.
 - For an evaluation in all the other DataStages, i.e. an owner still exists, the ownership will be dropped, the owner will be remembered for the evaluation as previous owner in [Evaluation] table, and will get a notifying email. **Auto-email ID = EvAbandon, refer to Appendix 6 for email content.**

Effect on other tabs / pages / sites:

- A reminding message will be displayed in various boxes / tabs in this page for abandoned evaluation. Relevant data won't be available in those places.
- Checking will be carried out for FC/JC pages and reminding message displayed.
- Once an already published evaluation is abandoned it will disappear from the public site.

- [Revive] button:

Availability:

This action is only available to abandoned evaluations, and is the only available action to this type of evaluation.

Description of the reviving action:

- The DataStage / PubType will be reset to the previous one (in the [Evaluation] table).
- Ownership change:
 - If an evaluation's previous DataStage is "New", no need to do anything.
 - If an evaluation's previous DataStage is "JC approved", no need to reset the owner since there should be no owner for "JC approved" evaluation, but the previous owner should be restored. No need to send any message to the previous owner about the action.
 - For an evaluation in all the other DataStages, there must be an owner once it's revived. The owner should be set to the previous owner saved for the evaluation, and the person should get an alert email about this. **Auto-email ID = EvAbandon, refer to Appendix 6 for email content.**

Mock page – Evaluation detail, basic data tab, for SU:

A Web Page

University Logo SiperPortalAdmin (SU name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Evaluation details - E_GB_0001

(Title for E_GB_0001)
(Current PubType)

Only visible when PubType isn't "NO"

Data stage (Current DataStage)

Edit basic data Work with documents Select policy measure Edit FC/JC data Edit progress note

Basic data

Evaluation code E_GB_0001
 Created by (Creator name) On (dd/mm/yyyy)
 Updated by (Updater name) On (dd/mm/yyyy)
 Country United Kingdom
 Title (English) Title in English for E_GB_0001
 Title (Native) Title in native language for E_GB_0001
 Author (Author information)
 Published year Year list
 Remarks (Some remarks on the evaluation)
 Save

Only editable when DataStage is "New" or "FC in progress"

Note: Title, Author and Published year can only be updated before FC is completed.

Ownership

Current owner (Assigned researcher name)
 Previous owner (Previous owner name)
 Researcher list Researcher list
 (Instruction to remind SU that existing FC data from previous owner will be cleared if no duplication is required when re-assigning a new owner, or if he/she is released)
 Duplicate FC data when re-assign a new owner: ☒
 Assign owner Release owner
 Disabled for En
 Only enabled for "FC in progress" or beyond

Publishing

Publishing type (Current publishing type)
 Publishing action Publish Store
 The box only visible for "FC complete" and beyond

Additional actions

Abandon? Reminding text on the result of the action, for evaluation that can be abandoned
 Abandon Revive
 Only enabled for "Abandoned"

Link back to evaluation list

Only enabled for evaluation without PM

(Standard footer here)

9.2.3.3. Upload document tab – SU/PA

d) Rules for uploading documents:

- PDF is the only acceptable format for documents to be uploaded.
- Document category and language must be selected when uploading. See Creating new evaluation for more details (3.2.2).
- Publishable flag must be decided when uploading, indicating if the document can be made available on public site when the evaluation is published. The default value is false.

- The copyright related information must be provided, detail is the same as in Creating new evaluation, i.e., it includes a group of radio buttons to take information on availability type, and a textbox to take further information as free text. See Creating new evaluation for more details (3.2.2).
- A standard format will be used to name the uploaded documents:

[Evaluation code]_[Document category code]_[Document language code]_[2-digit number]

The number will be incremented by 1 from the last document's name for same evaluation and in same document category and language.

Sample names: E_GB_0001_MR_EN_01, E_CN_0025_AP_ZH_02.

e) Document storage on server:

Uploaded documents will be stored in two areas:

- Publishable documents
 - These documents must be accessible from the public site, hence will be stored outside the application's webroot (i.e. outside the authenticated area). A designated area is created for this purpose; the directory detail will be kept in the application's configuration file (web.config). The file URL will be stored in the [Document] table as physical paths.
 - Documents will be put into sub-folders named by the evaluation code.
 - The directory and its sub-folders can be set to be open to the University's GSA (Google Search Appliance) should text search in PDF is needed in the future.
- Non-publishable documents
 - These documents are not publically accessible and will be stored within the application's webroot (in "App_Data" folder). The directory detail will also be kept in the application's configuration file. The file URL will be stored in the [Document] table as virtual paths.
 - Documents will also be grouped in sub-folders named by the evaluation code.
- A few sample document names:
 - N:\Hum\SiperPortalUploads\E_GB_0001\E_GB_0001_MR_EN_01.PDF
 - ~\Docs_NonPublishable\E_GB_0005\E_GB_0005_AP_ZH_02.PDF

f) Action availability:

| Action | Role | E.DataStage | Own Ea | En | Other Ea |
|--|------|--------------------------|--------|----|----------|
| Upload documents | SU | Any except Abandoned | √ | √ | √ |
| | PA | JC approved, Abandoned | | | |
| | | Any except the two above | √ | | |
| Change category, language, publishable flag, and availability detail | SU | Any except Abandoned | √ | √ | √ |
| | PA | New, FC in progress | √ | | |
| View document details | SU | Any except Abandoned | √ | √ | √ |
| | PA | Any except Abandoned | √ | √ | √ |
| Remove document | SU | Any except Abandoned | √ | √ | √ |
| | PA | New, FC in progress | √ | | |

g) Action description:

- Upload new documents:
 - Click [Browse] button to select a document to be uploaded from the local drive. Only PDF format is acceptable;

- A size limit could be set for uploaded documents, in the application's configuration file (web.config). The default value is 50MB.
- Select category, language, set publishable flag, input copyright related details, and click [Upload] button to start uploading
 - A folder will be created (if not already existed) for the evaluation, named after the evaluation code;
 - The chosen file's name will be changed based on the naming convention, and saved in the relevant folder;
 - A record will also be saved in [Document] table in the database, together with the uploader detail and date.

More details are in Create new evaluation section (3.2.2).

- Update details for existing documents:
 - Select an existing document from the document name list and click [select] button, the details will be displayed below.
 - Make changes on relevant parts and click [Update] button to save all the changes into [Document] table in the database.
 - When a document's category and/or language are changed, the document name must be updated too to reflect the change, so is the path for the document.

Example:

Old category:

Main report (code=MR), in English (code=EN)

Old path:

~\App_Data\Docs_NonPublishable\E_GB_0001\E_GB_0001_MR_EN_01.PDF

New category:

Executive summary (code=ES), in Chinese (code=ZH)

New path:

~\App_Data\Docs_NonPublishable\E_GB_0001\E_GB_0001_ES_ZH_**.PDF

where ** will be the last E_GB_0001_ES_ZH-document's number plus 1.

- Note the name change will only affect the document itself, not the other documents, i.e., the number part in the names of other documents won't be changed. See the example below in "Remove document".
- Other relevant details will also be saved, including uploader details and date.

- Other actions for existing documents:

Existing documents will be displayed in a list with most details. User can click the icons to view document details or remove documents.

- View document details:

Click the eye icon for a document, the selected PDF document will be opened in a new tab.

Note: This can be used for downloading single document.

- Remove document:

Click the bin icon for a document, the confirmation window will pop up for user to confirm the action.

If confirmed, the record in [Document] table will be deleted, and the document in the evaluation's document folder will be deleted too. However the name of other existing documents will remain unchanged.

Example:

Evaluation "E_GB_0001" has two documents uploaded, named "E_GB_0001_MR_EN_01" and "E_GB_0001_MR_EN_02". If "E_GB_0001_MR_EN_01" is deleted, "E_GB_0001_MR_EN_02" will still keep its name as "02", and not changed to "01".

Note: The icon will be hidden if it's for the last document.

Mock page – Evaluation detail, document tab, for SU:

A Web Page

SiperPortalAdmin

[\(SU name\)](#) [Logout](#)

[Home](#)
[Evaluation](#)
[Policy measure](#)
[Support data](#)
[Researcher acct](#)
[Policy maker acct](#)
[Report](#)

Evaluation details - E_GB_0001

(Title for E_GB_0001) Only visible when PubType isn't "NO"

(Current PubType)

Data stage (Current DataStage)

[Edit basic data](#)
[Work with documents](#)
[Select policy measure](#)
[Edit FC/JC data](#)
[Edit progress note](#)

Upload new document

Document

(Selected document name)

Category

▼

Language

▼

Publishable

☐

Copyright

☐ Publically available online - The URL must be provided.
☐ Publically available offline - Further details (e.g. ISBN) must be provided.
☐ Not publically available - Please state from what source you received this document and when.

Update existing documents

Document

▼

Category

▼

Language

▼

Publishable

☒

Copyright

☒ Publically available online - The URL must be provided.
☐ Publically available offline - Further details (e.g. ISBN) must be provided.
☐ Not publically available - Please state from what source you received this document and when.

Existing document list

| # | Document name | Category | Language | Publishable | Availability | Action |
|-------|--------------------|------------------|----------|-------------------------------------|--------------|--------|
| 1 | E_GB_0001_MR_EN_01 | Main report | English | <input checked="" type="checkbox"/> | Online | |
| 2 | E_GB_0001_ES_EN_01 | Excutive summary | English | <input type="checkbox"/> | Offline | |
| 3 | E_GB_0001_MP_ZH_01 | Multipurpose | Chinese | <input checked="" type="checkbox"/> | Non-public | |
| | | | | | | |

Delete icon won't be visible for last document

[Link back to evaluation list](#)

(Standard footer here)

Mock page – Evaluation detail, document tab, for PA as the owner:

A Web Page
http://

University Logo

SiperPortalAdmin

(PA name) Logout

Home
Evaluation
Policy measure
Support data
Researcher acct
Policy maker acct
Report

Evaluation details - E_GB_0001

(Title for E_GB_0001)

(Current PubType)

Only visible when PubType isn't "NO"

Data stage (Current DataStage)

Edit basic data
Work with documents
Select policy measure
Edit FC/JC data
Edit progress note

Upload new document

Document (Selected document name)

Category

Language

Publishable ☐

Copyright

☐ Publicly available online - The URL must be provided.

☐ Publicly available offline - Further details (e.g. ISBN) must be provided.

☐ Not publicly available - Please state from what source you received this document and when.

(Further details on copyright issue)

Upload

Existing documents

Document

Category

Language

Publishable ☒

Copyright

☒ Publicly available online - The URL must be provided.

☐ Publicly available offline - Further details (e.g. ISBN) must be provided.

☐ Not publicly available - Please state from what source you received this document and when.

(URL)

Update

Existing document list

| # | Document name | Category | Language | Publishable | Availability | Action |
|-------|--------------------|------------------|----------|-------------------------------------|--------------|---|
| 1 | E_GB_0001_MR_EN_01 | Main report | English | <input checked="" type="checkbox"/> | Online | <input type="button" value="View"/> <input type="button" value="Delete"/> |
| 2 | E_GB_0001_ES_EN_01 | Excutive summary | English | <input type="checkbox"/> | Offline | <input type="button" value="View"/> <input type="button" value="Delete"/> |
| 3 | E_GB_0001_MP_ZH_01 | Multipurpose | Chinese | <input checked="" type="checkbox"/> | Non-public | <input type="button" value="View"/> <input type="button" value="Delete"/> |
| | | | | | | |

Delete icon won't be visible for last document

Existing documents

| # | Document name | Category | Language | Publishable | Availability | Action |
|-------|--------------------|------------------|----------|-------------------------------------|--------------|-------------------------------------|
| 1 | E_GB_0001_MR_EN_01 | Main report | English | <input checked="" type="checkbox"/> | Online | <input type="button" value="View"/> |
| 2 | E_GB_0001_ES_EN_01 | Excutive summary | English | <input type="checkbox"/> | Offline | <input type="button" value="View"/> |
| 3 | E_GB_0001_MP_ZH_01 | Multipurpose | Chinese | <input checked="" type="checkbox"/> | Non-public | <input type="button" value="View"/> |
| | | | | | | |

DataStage is "FC complete" or beyond

[Link back to evaluation list](#)

(Standard footer here)

Mock page – Evaluation detail, document tab, for PA who's not the owner:

9.2.3.4. Policy measure (PL) tab – SU/PA

Each evaluation must have at least one PL selected. PL data is maintained in a separate part of the application (3.3), and is available here to be selected.

PL can be identified by its code, which is in the following format:

P_[2-letter country code]_[4-digit number]

Sample: P_GB_0001, P_CN_0005

a) Data in the tab:

- List of selected PL(s)

This list shows selected PL(s)'s code and English title. The data is from [PLUsage] and [PLSummary].

For new evaluation the list will be empty initially.

- List of available PLs

This list shows all the available PLs in the same format. Note only completed PLs (i.e. the PLs with "PLCompleted" flag being true in [PLSummary] table in the database) are considered available.

More details about PL data are in PL section (3.3).

b) Action availability:

| Action | | Own Ea | En | Other Ea | DataStage |
|----------------------------------|----|--------|----|----------|-----------|
| [+] buttons in available PL list | SU | √ | √ | √ | New |
| | PA | √ | | | New |
| [-] buttons in selected PL list | SU | √ | √ | √ | New |
| | PA | √ | | | New |

| | | | | | |
|---------------------------|----|---|---|---|----------------------|
| [Create new PL] button | SU | √ | √ | √ | Any except Abandoned |
| | PA | √ | | | Any except Abandoned |

c) Action description:

- [+] buttons in the available PL list:

The PL will appear in the selected PL list and disappear from the available one, and the table [PLUsage] will be updated to record this.

- [-] buttons in the selected PL list:

The PL will disappear from the selected PL list and re-appear in the available one, and the table [PLUsage] will be updated accordingly.

- Create new PL:

If no suitable PL is found in the available PL list, new PL needs to be created first. Researcher can use [Create new PL] button on this page to go to creating new PL page (3.3.4), or use the PL menu item to go to PL list page and use the creating new PL button there.

- Check PL details:

TBA at later stage if time/resource permits

Select a PL in either of the two PL lists, and click the view icon, the PL's detail will be displayed in a read-only box on the page, showing the selected items in the PL questionnaire.

Mock page – Evaluation detail, policy measure tab, for PA who's not the owner:

A Web Page

University Logo SiperPortalAdmin (PA name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Evaluation details - E_GB_0001
(Title for E_GB_0001)
(Current PubType)

Only visible when PubType isn't "NO"

Data stage (Current DataStage)

Edit basic data Work with documents Select policy measure Edit FC/JC data Edit progress note

Create new policy measure

| # | Code | Title | Action |
|---|------------|--|--------|
| 1 | PL_GB_0001 | (PL title for PL_GB_0001 aaaaaaaaaaaaaaaaaaaaaaaaaaaaaa) | View |
| 2 | PL_GB_0003 | (PL title for PL_GB_0003) | View |
| 3 | PL_FR_0001 | (PL title for PL_FR_0001) | View |

View PL details - TBA

Link back to evaluation list

(Standard footer here)

Mock page – Evaluation detail, policy measure tab, for SU or PA as the owner:

SiperPortalAdmin

[\(Researcher name\)](#)
[Logout](#)

[Home](#)
[Evaluation](#)
[Policy measure](#)
[Support data](#)
[Researcher acct](#)
[Policy maker acct](#)
[Report](#)

Evaluation details - E_GB_0001

(Title for E_GB_0001)
(Current PubType)

Only visible when PubType isn't "NO"

Data stage (Current DataStage)

[Edit basic data](#)
[Work with documents](#)
[Select policy measure](#)
[Edit FC/JC data](#)
[Edit progress note](#)

Selected policy measure(s)
Create new policy measure

| # | Code | Title | Action |
|---|------------|--|--------------|
| 1 | PL_GB_0001 | (PL title for PL_GB_0001 aaaaaaaaaaaaaaaaaaaaaaaaaa) | - [eye icon] |
| 2 | PL_GB_0003 | (PL title for PL_GB_0003) | - [eye icon] |
| 3 | PL_FR_0001 | (PL title for PL_FR_0001) | - [eye icon] |

Available policy measures

| # | Code | Title | Action |
|---|------------|--|--------------|
| 1 | PL_GB_0002 | (PL title for PL_GB_0002 aaaaaaaaaaaaaaaaaaaaaaaaaa) | + [eye icon] |
| 2 | PL_GB_0004 | (PL title for PL_GB_0004) | + [eye icon] |
| 3 | PL_FR_0002 | (PL title for PL_FR_0002) | + [eye icon] |
| 4 | PL_Z1_0001 | (PL title for PL_Z1_0001) | + [eye icon] |
| 5 | PL_Z2_0001 | (PL title for PL_Z2_0001) | + [eye icon] |

[View PL details - TBA](#)

Data table with searching/
paging/sorting facilities

[Link back to evaluation list](#)

(Standard footer here)

9.2.3.5. Factual/judgemental characterisation (FC/JC) tab – SU

The purpose of this tab is to provide an easy way for SU to check FC/JC related data and take relevant actions on them. It's not the FC/JC editing page which is in FC/JC data related pages section (3.4).

This tab will only make sense for an Ea. So if the evaluation details page is called for an En there will only be a message in this tab to remind SU to assign an owner first.

User can only work on FC/JC after PL is selected. If this tab is called for an Ea with PL, only the owner name will be displayed, and a reminder for SU to select PL(s) first.

The tab contains two boxes, for FC and JC respectively.

a) FC box:

- There will be some read-only data, including:
 - The owner name. It's in the [Basic data] tab but will be displayed here too as a quick reference.
 - DataStage related to FC, to show if the FC hasn't been set, is in progress, or complete.
 - When DataStage is "JC in progress" and beyond, two checkboxes to show whether or not PM has made some comments on FC, and whether the comments have been checked.
- [View/Edit] button, to take user to the FC pages (3.4), to view and/or edit FC data. FC data accessibility can be summarised below:

| DataStage/Code | PubType code | SU | Owner PA | Non-owner PA |
|-------------------------|------------------|------|----------|--------------|
| New / 1 | NO | Edit | Edit | n/a |
| FC in progress / 2 | NO | Edit | Edit | View |
| FC complete / 3, no PM | Any except NO/AB | Edit | Edit | View |
| FC complete / 3, has PM | Any except NO/AB | View | View | View |
| JC in progress / 4 | Any except NO/AB | View | View | View |
| JC complete / 5 | Any except NO/AB | View | View | View |
| SU consider FC / 6 | NO | Edit | View | View |
| SU consider JC / 7 | Any except NO/AB | View | View | View |
| JC approved / 8 | Any except NO/AB | View | View | View |

b) JC box:

b-1) Read-only data:

- PM details:
 - For evaluation in "FC complete" with PM already assigned, and "JC in progress", PM name and initial contact date will be displayed.
 - For evaluation in "JC complete" and beyond, the PM who has done the JC will be displayed as previous PM, because the assignment should have been released by then. JC completion date will be displayed too.
- DataStage related to JC, to show if the JC hasn't been set, is in progress, complete, or it's for SU to consider, or it's already been approved.
- Available PM list:

Since a PM can only be working on one evaluation at a time, only available PMs (i.e. those who don't have current assignment) can be used for assignment, based on [PAvailable] value in [PolicyMaker] table in the database. The list of available PMs will be displayed when assignment related actions are available.

b-2) PM assignment related data and actions:

Actions in this box are only available to certain DataStages, as summarised in the table below:

| DataStage/Code | Assign PM | Re-assign PM | Release PM | Reset password |
|----------------------------|---------------------|------------------|------------------|---|
| FC complete / 3, no PM | Y, initial PM | N | N | N |
| FC complete / 3, has PM | N | Y Inactive PM | Y Inactive PM | Y Forget password before entering any data |
| JC in progress / 4 | N | Y Inactive PM | Y Inactive PM | Y Forget password |
| JC complete / 5 | Y Unsatisfied JC | N PM dropped | N | N PM dropped |
| SU consider FC / 6 | N | N | N | N |
| SU consider JC / 7 | Y Unsatisfied JC | N PM dropped | N | N |
| JC approved / 8 | N | N | N | N |

PM's login account in PM authentication database:

A PM can be assigned many times. The login account will be created when a PM is assigned for the first time, and the same account will be used in the later assignments. The PM's email will be used as username, and an initial password will be generated by the application in this format: The first letters from PM's forename and surname plus the assigned evaluation code. So if a PM named Mary Smith is assigned to an evaluation E_GB_0001, the initial password will be set to "ms+E_GB_0001". More details on PM account are in PM account pages (3.6).

Detailed description about the buttons:

- [Assign] button for assigning initial PM to an evaluation:

This button will do it when DataStage is "FC complete" and no PM has been assigned to an evaluation, i.e. this will be the initial assignment for the evaluation.

When it's clicked, the following will happen:

- The assignment will be recorded in [PMAssignment] table in the database, details including PM, evaluation and its owner, initial contact date, and the [PMCurrent] flag will be set to true, indicating this assignment is a current one, and will be accessible for data entering in SiperPortalPM site for the assigned PM (Note if a PM already has a past assignment for the evaluation the same assignment record will be reused);
- The [PAvailable] flag in [PolicyMaker] table will be set to false, so this PM can't be assigned to work on other evaluations;
- The assigned PM should also be recorded in table [FJSummary].
- Login account:
 - If the PM hasn't been used in the past a login account will be created in the PM's authentication database, and an auto email will be sent to the PM with initial login details and other relevant information about the assignment. **Auto-email ID = EvAssignPM1, refer to Appendix 6 for email content.**
 - If the PM already has a login account no new one will be created. An auto email will be sent to the PM about the assignment. **Auto-email ID = EvAssignPM2, refer to Appendix 6 for email content.**
- If SU is doing this for an Ea owned by others (e.g. a PA), the owner PA of the Ea should be copied into the above auto email.

- [Assign] button for assigning PM to a post-JC evaluation:

This button will do it when DataStage is “JC complete” or “SU consider JC”. This means that JC has been done but not satisfied, and SU decided to re-do it with another JC. Evaluation in these DataStages has no PM because once JC is submitted PM’s assignment will be dropped.

When it’s clicked, the following will happen:

- In [PMAssignment] table, same as in initial assignment action, plus the following: The [AssignmentDoneDate] should be set to null;
- In [PolicyMaker] table, same as in initial assignment action;
- In [FJSummary] table, record the new PM, and re-set flags [JCCompleted], [PMCommented] and [PMCommentPassed] to false.
- Delete old JC data: Delete JC and FC comment entered by previous PM for current evaluation in [FJDetails] and [FJPMComment], and re-set JC section flags to false in [FJValidation]; More details on JC data are in JC editing pages (3.4.6).
- In [Evaluation] table, DataStage should be changed to “FC complete”;
- Login account, same as in initial assignment action;
- If SU is doing this for an Ea owned by others (e.g. a PA), the owner PA of the Ea should be copied into the above auto email.

- [Release] button:

This button will release the assigned PM, usually due to PM being inactive for a long time. It’s only available for “FC complete” with PM already being assigned, or “JC in progress”, because these are the only two DataStages that have assigned PMs. Information will be displayed to remind SU that the JC data entered by the PM will be deleted.

When the button is clicked the following will happen:

- In [PMAssignment] table, the [PMCurrent] flag for the PM assignment with this evaluation will be set to false, indicating this is a past assignment. The initial contact date will remain;
- In [PolicyMaker] table, the [PAvailable] flag for the PM will be re-set to true, so he/she can be assigned to other evaluations;
- Identify JC data’s [FJSummaryId] for the released PM for current Ea by [PolicyMakerId] in table [FJSummary], delete relevant JC data in tables [FJDetails] and [FJPMComment], and updated relevant values in [FJValidation] and [FJSummary]; More details on JC data are in JC editing pages (3.4.6).
- In [Evaluation] table, DataStage should be changed to “FC complete”;
- Login details: These will remain in the PM authentication database;
- If SU does this to an evaluation owned by someone else, the owner should get email notification too. **Auto-email ID = EvAssignPM4, refer to Appendix 6 for email content.** No auto email will be sent to the released PM.

- [Re-assign] button:

This button is only available for “FC complete” with PM already being assigned, or “JC in progress”, because these are the only two DataStages that have assigned PMs.

This button is actually the combination of assigning (for new PM) and releasing (for old PM).

When it’s clicked, the following will happen:

- In [PMAssignment] table, the new assignment will be recorded for new PM (same as assigning), so the new PM will now have a current assignment; the old assignment for old PM will remain but marked as past;
- In [PolicyMaker] table, new PM will be set as unavailable and old one available, in their [PAvailable] flags;

- The assigned PM should be updated in table [FJSummary], and re-set flags [JCCompleted], [PMCommented] and [PMCommentPassed] to false;
- Delete old JC data: Delete JC and FC comment entered by old PM for current evaluation in [FJDetails] and [FJPMComment], and re-set JC section flags to false in [FJValidation]; More details on JC data are in JC editing pages (3.4.6).
- In [Evaluation] table, DataStage should be changed to “FC complete”;
- Login account: For new PM same as in assigning action, for old PM same as in releasing action;
- If SU is doing this for an Ea owned by others (e.g. a PA), the owner PA of the Ea should be copied into the auto email sent to new PM, and get an alert for the assignment been dropped for old PM. **Auto-email ID = EvAssignPM3, refer to Appendix 6 for email content.** Note the previous PM won't get any auto notification.

- Re-assign same PM for password re-setting purpose ([Reset password] button):

This action is for re-setting password for an existing PM, and only available for DataStage “FC complete” when a PM has already assigned, or “JC in progress”, when there is definitely an assigned PM.

- The JC data (in [FJSummary], [FJDetail], [FJValidation] and [FJPMComment]) related to or entered by the PM will remain.
- The following data will remain unchanged too: [PAvailable] in [PolicyMaker], [PMCurrent] in [PMAssignment], DataStage in [Evaluation].
- The PM's current account in PM authentication data database will remain but the password will be reset to the original system-generated one, and auto email will be sent out to the PM. **Auto-email ID = EvAssingPM5, refer to Appendix 6 for email content.** If the evaluation is owned by someone else the owner will be copied in. Login details setting rule will be the same as in assigning initial PM, see more details in relevant part above in this section.

Note:

Once a PM has been assigned to an evaluation, researcher must take caution to avoid causing unnecessary confusion when doing re-assigning and releasing. Although a researcher can't tell if a PM is currently logged in to the SiperPM site to work on an evaluation, the last login date is displayed in JC box as part of the PM related details. It's researcher's responsibility to check this date before re-assigning or releasing a PM. This date is updated by Siper PM site every time a PM logs in and stored in table [PolicyMaker], the value will be cleared once an assignment is cancelled or completed.

b-3) JC related actions:

Actions in this box are only available to DataStage in “JC in progress” or beyond. Detailed availabilities are summarised in the table below:

| DataStage/Code | (Edit FC) | View JC | Edit JC | Pass to PA for new PM | (Re-assign PM) | Approve JC |
|--------------------|-----------|---------|---------|-----------------------|----------------|------------|
| JC in progress / 4 | N/A | Y | N | N | Y | N |
| JC complete / 5 | N/A | Y | Y | Y | Y | Y |
| SU consider FC / 6 | Y | Y | N | N | N | N |
| SU consider JC / 7 | N/A | Y | Y | Y | Y | N |
| JC approved / 8 | N/A | Y | N | N | N | N |

[View/Edit JC] button is only enabled after a PM is assigned to the evaluation and is entering JC data, i.e. when DataStage is “JC in progress” or beyond. Clicking the button will take SU to the JC editing pages (3.4.6).

[Edit FC] button isn’t in this box but in FC box. It’s included here because SU will need to go to FC editing pages if DataStage is “SU consider FC”, which means PM completed JC and made comment on FC, therefore SU needs to check FC and decide what to do.

Detailed descriptions on DataStage-specific actions:

- DataStage = “JC in progress”:
 - [View JC] button: This is available for SU to view JC data in JC editing pages in read-only mode. SU shouldn’t make changes in JC data if PM is working on it.
 - [Re-assign] button (in Assignment box): SU can decide to re-assign a new PM, if the current PM is inactive for a long time. See details for [Re-assign] button in this section.
- DataStage = “JC complete”:
 - [Edit JC] button: This is available for SU to view/edit JC data in JC editing pages. DataStage can be changed back to “JC in progress” as the result of SU’s data changing, or stay as “JC complete”, see more details in JC details page section 3.4.6.
 - [Approve JC] button: Only available for “JC complete”. If SU is satisfied with JC it can be approved. DataStage will be changed to “JC approved”, and ownership will be dropped, with the current owner being recorded as previous owner in table [Evaluation].
 - [Assign] button (in Assignment box): SU can also assign a new PM him/herself, if JC is checked and not satisfied. See details for [Assign] button in this section, for quick reference: DataStage will be changed to “JC complete” when assigning PM, existing JC data and FC comment will be deleted. If the evaluation is owned by someone else the owner will get an auto email as an alert. **Auto-email ID = EvAssignPM1 or EvAssignPM2, refer to Appendix 6 for email content.**
- DataStage = “SU consider FC”:

This DataStage indicates that PM has completed JC and made comments on FC, therefore SU must check the FC.

- [Edit FC] button (in FC box): This will take SU to FC editing pages. An extra [Submit] button will be available on all FC section pages, only visible in DataStage “SU consider FC”, for SU to confirm that the comments are checked and passed.

See more details in FC details page section 3.4.5. For quick reference: When [Submit] button on FC details pages is clicked, DataStage will be turned from “SU consider FC” to “JC complete”,

PubType will be changed from “Data not ready” to “Data ready”, and flag [PMCommentPassed] in [FJSummary] will be set to true. If the evaluation is owned by someone else the owner will get an auto email as an alert, so the owner can start checking JC. Auto-email ID = PassToPAForCheckingJC, refer to Appendix 6 for email content.

- [View JC] button: When in this DataStage, SU can't edit JC, but can view it. The DataStage will remain unchanged.

- DataStage = “SU consider JC”:

This DataStage indicates that PA has checked JC and isn't satisfied; therefore SU must check PA's remarks and decide what to do.

- [Edit JC] button: Same as in “JC complete” above.
- [Assign] button (in Assignment box): Same as in “JC complete” above.

Please refer to appendix 2/3/10 and the JC section below for more details.

9.2.3.6. Factual/judgemental characterisation (FC/JC) tab – PA

The purpose of this tab is to provide an easy way for PA to check FC/JC related data and take relevant actions on them. It's not the FC/JC editing page which is in FC/JC data related pages section (3.4).

This tab will only make sense for an Ea. So if the evaluation details page is called for an En there will only be a message in this tab to remind PA that the evaluation needs to have an owner assigned first.

User can only work on FC/JC after PL is selected. If this tab is called for a PL-less Ea, there will only be a message to remind PA that he/she should select PL(s) first.

PA can only work on own Ea. If the tab is called for an Ea owned by others, it will be displayed in the read-only mode.

The tab contains two boxes, for FC and JC respectively.

a) FC box:

- There will be some read-only data, including owner name, FC status and PM comment related information. This is similar to SU in 3.2.3.5.
- [View/Edit] button, to take user to the FC pages (3.4), to view and/or edit FC data. PA can only edit FC before it's completed. For DataStage “FC complete” and beyond PA can only view FC. See more details in FC box part for SU.

b) JC box:

b-1) Read-only data for quick reference:

This part is the same as SU, in 3.2.3.5.

b-2) PM assignment related data and actions:

Actions in this box are only available to certain DataStages. Detailed availabilities and action descriptions are the same as for SU in 3.2.3.5.

b-3) JC related actions:

Actions in this box are only available to DataStage in “JC in progress” or beyond. Detailed availabilities are summarised in the table below:

| DataStage/Code | View FC | View JC | Pass to SU | (Assign PM to re-do JC) | Approve JC |
|--------------------|---------|---------|------------|-------------------------|------------|
| JC in progress / 4 | Y | Y | N | Y | N |
| JC complete / 5 | Y | Y | Y | N | Y |
| SU consider FC / 6 | Y | Y | N | N | N |
| SU consider JC / 7 | Y | Y | N | Y | N |
| JC approved / 8 | Y | Y | N | N | N |

[View FC] button is always available, for PA to view PM's comment on FC in JC editing pages.

[View JC] button is always available, for PA to view JC data in JC editing pages in read-only mode.

Other DataStage-specific actions:

- DataStage = "JC in progress":
 - [Assign PM] button (in Assignment box): PA can decide to assign a new PM, if the current PM is inactive for a long time. See details for [Assign PM] button in 3.2.3.5.
- DataStage = "JC complete":
 - [Approve JC] button: Only available for "JC complete". If PA is checked JC and satisfied it can be approved. DataStage will be changed to "JC approved", and ownership will be dropped, current owner will be recorded as previous owner in table [Evaluation].
 - [Pass to SU for JC] button: If PA checked JC and isn't satisfied, this button will set DataStage to "SU consider JC". PA must provide reasons for doing so (in [Remarks]). An auto email will be sent to the SU's general email account. **Auto-email ID = PassToSUFforJC, refer to Appendix 6 for email content.**
 - [Assign PM] button (in Assignment box): If SU checked JC and decided a new PM is needed to re-do it, the [NewPMNeeded] flag will be set to true and the information will be displayed here. PA can assign a new PM. See details for [Assign] button in 3.2.3.5, for quick reference: DataStage will be changed to "FC complete" when a new PM is assigned.
- DataStage = "SU consider FC":

This DataStage indicates that PM has completed JC and made comments on FC, therefore SU must check the FC. PA can't do anything except viewing FC/JC data.

- DataStage = "SU consider JC":

This DataStage indicates that PA has checked JC and isn't satisfied; therefore SU must check PA's remarks and decide what to do.

 - [Assign PM] button (in Assignment box): Same as in "JC complete" above.

Mock pages for this tab are done for different role and DataStage, including

- a) FC stages, for SU and owner-PA
- b) JC in progress, for SU and owner-PA
- c) JC complete, for SU
- d) JC complete, for owner-PA
- e) SU consider FC, for SU and owner-PA
- f) SU consider JC, for SU
- g) SU consider JC, for owner-PA

- h) JC approved, for SU and owner-PA
- i) All stages, for non-owner-PA

Mock page – Evaluation detail, FJ/JC tab, FC stages, for SU and owner-PA:

A Web Page

University Logo SiperPortalAdmin (SU/PA name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Evaluation details - E_GB_0001

(Title for E_GB_0001) (Current PubType)

Only visible when PubType isn't "NO"

Data stage (Current DataStage)

Edit basic data Work with documents Select policy measure Edit FC/JC data Edit progress note

Owner (Owner name)

Policy measure must be selected before editing factual / judgemental characterisation data.

Factual characterisation

Owner (Owner name)

FC data status (Empty / In progress / Complete)

PM comment N/A

Action Edit/View FC data

Button text depends on FC status. PA can only view it when it's completed

Judgemental characterisation

Policy maker (Policy maker name if assigned)
Initially contacted on (initial contact date)

JC data status Empty

Assign policy maker

Policy maker can only be assigned when the factual characterisation is completed. Please input FC data first.

Work on judgemental characterisation

Judgemental characterisation data is only available once a policy maker is assigned and he/she has started entering JC data.

Actions only available if PL is selected

[Link back to evaluation list](#)

(Standard footer here)

Mock page – Evaluation detail, FJ/JC tab, JC in progress, for SU and owner-PA:

A Web Page

University Logo SiperPortalAdmin [\(Researcher name\)](#) [Logout](#)

Home **Evaluation** Policy measure Support data Researcher acct Policy maker acct Report

Evaluation details - E_GB_0001

(Title for E_GB_0001)
(Current PubType)

Data stage JC in progress

Edit basic data Work with documents Select policy measure **Edit FC/JC data** Edit progress note

Factual characterisation

| | |
|----------------|--|
| Owner | (Owner name) |
| FC data status | Complete |
| PM comment | Policy maker commented on FC: <input checked="" type="checkbox"/> Policy maker comments checked by SU: <input type="checkbox"/> |
| Action | View FC data |

Information displayed for "JC in progress" or beyond. Read only

Even SU shouldn't edit FC if DataStage is "JC in progress", i.e., when PM is working on the data.

Judgemental characterisation

| | |
|---------------------|--|
| Policy maker | (Policy maker name) Initially contacted on (initial contact date) Last logged in on (last login date) |
| JC data status | In progress |
| Assign policy maker | |
| Available PMs | Available policy maker list |
| Action | Re-assign policy maker Release policy maker Policy maker's password can be re-set upon request. Reset password |

Resetting password only available for "FC complete" and "JC in progress"

Work on judgemental characterisation

| | |
|--------|--|
| Action | Judgemental characterisationcan data is being entered by the PM. View JC data |
|--------|--|

[Link back to evaluation list](#)

(Standard footer here)

Mock page – Evaluation detail, FJ/JC tab, JC complete, for SU:

A Web Page

University Logo

SiperPortalAdmin

(SU name) [Logout](#)

[Home](#) [Evaluation](#) [Policy measure](#) [Support data](#) [Researcher acct](#) [Policy maker acct](#) [Report](#)

Evaluation details - E_GB_0001

(Title for E_GB_0001)
(Current PubType)

Edit basic data

Work with documents

Select policy measure

Edit FC/JC data

Edit progress note

Factual characterisation

Owner

(Owner name)

FC data status

Complete

PM comment

Policy maker commented on FC: ☐
Policy maker comments checked by SU: ☐

Action

Edit FC data

Judgemental characterisation

Pre.Policy maker

(Previous policy maker name who did the JC)
JC completed on (JC completion date)

JC data status

Complete

Assign policy maker

Available PMs

Available policy maker list

Action

Assign policy maker

Work on judgemental characterisation

Action

Edit JC data

Note: JC must be checked and satisfied before it's approved.

Approve JC data

[Link back to evaluation list](#)

(Standard footer here)

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Mock page – Evaluation detail, FJ/JC tab, JC complete, for owner-PA:

A Web Page

University Logo

SiperPortalAdmin

(PA name) [Logout](#)

[Home](#) [Evaluation](#) [Policy measure](#) [Support data](#) [Researcher acct](#) [Policy maker acct](#) [Report](#)

Evaluation details - E_GB_0001

(Title for E_GB_0001)
(Current PubType)

Data stage JC complete

Edit basic data

Work with documents

Select policy measure

Edit FC/JC data

Edit progress note

Factual characterisation

Owner (Owner name)

FC data status Complete

PM comment Policy maker commented on FC: ☐
Policy maker comments checked by SU: ☐

Action

View FC data

Judgemental characterisation

Pre.Policy maker (Previous policy maker name who did the JC)
JC completed on (JC completion date)

JC data status Complete

Assign policy maker

Available PMs Available policy maker list

Action New policy maker required by SU!

Assign policy maker

Work on judgemental characterisation

Action Judgemental characterisationcan data can be viewed

View JC data

If you've checked JC and are not satisfied, you can pass it to SU to consider.
Please give your reasons here:
(PA's remarks for JC)

Pass JC to SU

Note: JC must be checked and satisfied before it's approved.

Approve JC data

[Link back to evaluation list](#)

(Standard footer here)

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Mock page – Evaluation detail, FJ/JC tab, SU consider FC, for SU and owner-PA:

A Web Page

University Logo SiperPortalAdmin (Researcher name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Evaluation details - E_GB_0001

(Title for E_GB_0001)
(Current PubType)

Data stage SU consider FC

Edit basic data Work with documents Select policy measure Edit FC/JC data Edit progress note

Factual characterisation

Owner (Owner name)

FC data status (Empty / In progress / Complete)

PM comment Policy maker commented on FC: ☒
Policy maker comments checked by SU: ☐

Action Text on button will be "View FC data" for PA

Judgemental characterisation

Pre.Policy maker (Previous policy maker name who did the JC)
JC completed on (JC completion date)

JC data status Complete, with comment on FC

Assign policy maker

Assigning / releasing PM action isn't available for current DataStage (SU consider FC)

Work on judgemental characterisation

Action

[Link back to evaluation list](#)

(Standard footer here)

Mock page – Evaluation detail, FJ/JC tab, SU consider JC, for SU:

A Web Page

University Logo

SiperPortalAdmin

(SU name) [Logout](#)

[Home](#) [Evaluation](#) [Policy measure](#) [Support data](#) [Researcher acct](#) [Policy maker acct](#) [Report](#)

Evaluation details - E_GB_0001

Data stage SU consider JC

(Title for E_GB_0001)
(Current PubType)

Edit basic data

Work with documents

Select policy measure

Edit FC/JC data

Edit progress note

Factual characterisation

Owner (Owner name)

FC data status Complete

PM comment Policy maker commented on FC: ☒
Policy maker comments checked by SU: ☐

Action

Edit FC data

Judgemental characterisation

Pre.Policy maker (Previous policy maker name who did the JC)
JC completed on (JC completion date)

JC data status Complete, checked by PA and not satisfied

Assign policy maker

Available PMs Available policy maker list ▼

Action

Assign policy maker

Work on judgemental characterisation

Action Judgemental characterisationcan data can be viewed or edited

Edit JC data

[Link back to evaluation list](#)

(Standard footer here)

96

Mock page – Evaluation detail, FJ/JC tab, SU consider JC, for owner-PA:

A Web Page

University Logo

SiperPortalAdmin

(PA name) [Logout](#)

[Home](#) [Evaluation](#) [Policy measure](#) [Support data](#) [Researcher acct](#) [Policy maker acct](#) [Report](#)

Evaluation details - E_GB_0001

Data stage SU consider JC

(Title for E_GB_0001)
(Current PubType)

Edit basic data

Work with documents

Select policy measure

Edit FC/JC data

Edit progress note

Factual characterisation

Owner

(Owner name)

FC data status

Complete

PM comment

Policy maker commented on FC: ☒

Policy maker comments checked by SU: ☐

Action

View FC data

Judgemental characterisation

Pre.Policy maker

(Previous policy maker name who did the JC)

JC completed on (JC completion date)

JC data status

Complete, checked by PA and not satisfied

Assign policy maker

Available PMs

Available policy maker list

Action

New policy maker required by SU!

Assign policy maker

Work on judgemental characterisation

Action

View JC data

[Link back to evaluation list](#)

(Standard footer here)

97

Mock page – Evaluation detail, FJ/JC tab, JC approved, for SU and owner-PA:

A Web Page

University Logo SiperPortalAdmin (SU/PA name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Evaluation details - E_GB_0001

(Title for E_GB_0001)
(Current PubType)

Data stage JC approved

Edit basic data Work with documents Select policy measure Edit FC/JC data Edit progress note

Factual characterisation

Pre.Owner (Previous owner name)
FC data status Complete
Action

Judgemental characterisation

Pre.Policy maker (Previous policy maker name who did the JC)
JC completed on (JC completion date)
JC data status Approved
Action

[Link back to evaluation list](#)

(Standard footer here)

Mock page – Evaluation detail, FJ/JC tab, All stages, for non- owner-PA:

A Web Page

University Logo SiperPortalAdmin (PA name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Evaluation details - E_GB_0001

(Title for E_GB_0001)
(Current PubType)

Data stage (Current DataStage)

Edit basic data Work with documents Select policy measure Edit FC/JC data Edit progress note

Factual characterisation

Owner (Owner name)
FC data status (Empty / In progress / Complete)
Action

Judgemental characterisation

Policy maker (Policy maker name if assigned)
JC data status (Empty / In progress / Complete / Approved)
Action

[Link back to evaluation list](#)

(Standard footer here)

Only visible when PubType isn't "NO"

Button only available if FC / JC data

9.2.3.7. Progress note tab – SU/PA

TBA at later stage if time/resource permits

Progress note is for internal communication purpose. The notes are stored in [ProgressNote] table in the database.

- New note:

SU can add new note to any En and Ea.

PA can add new note to own Ea.

A note should contain no more than 1000 characters.

- Previous notes:

The date and first few characters of the notes will be displayed in a dropdown list sorted by the date.

User can select one to view the full details.

Notes are viewable regardless of the ownership.

Mock page – Evaluation detail, progress note tab:

The mockup shows a web browser window with the URL 'http://'. The page title is 'SiperPortalAdmin'. The navigation bar includes links for Home, Evaluation (selected), Policy measure, Support data, Researcher acct, Policy maker acct, and Report. The main content area is titled 'Evaluation details - E_GB_0001' with a subtitle '(Title for E_GB_0001)' and '(Current PubType)'. A yellow callout box points to the subtitle with the text 'Only visible when PubType isn't "NO"'. The 'Data stage' is '(Current DataStage)'. Below the title is a tabbed interface with five tabs: 'Edit basic data', 'Work with documents', 'Select policy measure', 'Edit FC/JC data', and 'Edit progress note' (selected). The 'Edit progress note' tab contains two sections: 'New note' and 'Previous notes'. The 'New note' section has a text input field labeled 'New note...' and an 'Add note' button. The 'Previous notes' section has a dropdown menu labeled '(Note date - The first xx characters of a note)' and a 'View detail' button. Below the dropdown is a table with columns 'Date', 'Creator', and 'Content'. The table has two rows of data. A yellow callout box points to the table with the text 'For SU on any Ea; PA on own Ea'. Below the table is a dashed line and another dropdown menu labeled '(Note date - The first xx characters of a note)' with a 'View detail' button. A yellow callout box points to this section with the text 'For PA on other Ea'. At the bottom of the page is a link 'Link back to evaluation list' and a footer '(Standard footer here)'.

University Logo SiperPortalAdmin (Researcher name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Evaluation details - E_GB_0001 (Title for E_GB_0001) (Current PubType) Data stage (Current DataStage)

Only visible when PubType isn't "NO"

Edit basic data Work with documents Select policy measure Edit FC/JC data Edit progress note

New note

New note...

Add note

Previous notes

(Note date - The first xx characters of a note) View detail

| | |
|---------|--|
| Date | (Date) |
| Creator | (Creator name) |
| Content | Full content of the note Can be long |

For SU on any Ea; PA on own Ea

(Note date - The first xx characters of a note) View detail

For PA on other Ea

Link back to evaluation list

(Standard footer here)

9.3. Policy measure (PL) data related pages

9.3.1. Basic policy measure properties

- A PL must have a code, a title (in English), a country (or special country code, see details below), and a set of answers to the pre-defined PL questionnaire.
- PL's code is unique, generated when it's created, in a standard format:

P_[2-letter country code]_[4-digit number].

Sample code: P_GB_0001

- PL's English title contains 4 to 500 characters, will be used when user selects PL for an evaluation.
- A PL can also have a title in native language (optional), containing no more than 500 characters.
- An evaluation must have at least one PL, but there is no upper limit on a number of PL an evaluation can have.
- A PL can be selected by multiple evaluations.
- A PL has a creator, but not owned by the creator. Any researcher can modify a PL created by him/herself; or by others.
- When a PL is created, by default it's marked as uncompleted ([PLCompleted] flag in [PolicyMeasure] table is set to false), user can stop in the middle of the creating process and come back to finish it later. Only when the creating process is finished, i.e. all the questions are answered for a PL, it can be marked as completed. And only completed PLs will be listed as available for evaluation to choose.

9.3.2. PL data in the database

- PL summary data:

This is stored in table [PLSummary], including PL's code, titles (in English and in native language), creation and updating person and date, country (or special "country", more details in creating new PL page), whether the PL is completed (i.e. all the questions answered), and remarks.

- PL questionnaire data:

A set of pre-defined PL questionnaire data will be stored in a fixed 2-level structure in table [PLQuestion]. The PL items are grouped in 3 categories, each category contains a fixed number of items: Targets (10 items), Modalities (7 items), Policy objectives (15 items). The data in [PLQuestion] can't be changed.

- PL detail data:

This is a set of answers to the PL questionnaire. It's stored in table [PLDetail], and if the PL is for multiple countries, in table [PLAdditionalCountry] as well.

- PL usage data:

Stored in table [PLUsage], this link table will record the many-to-many relationship between PL and evaluation.

- Other related data:

PL will use the pre-defined geographic related data, including country list and supranational body list, which are stored in tables [Country] and [SupranationalBody]. They can be maintained by SU, more detail is in the support data section (3.7).

PL will also be linked to other tables such as [Evaluation] and [Researcher].

9.3.3. PL list page

PL list is the starting point for PL functionalities. It's available to both SU and PA.

a) Data in the view

PLs will be displayed in a list with searching / sorting / paging facilities. Details included are PL code, English title, country (or special “country”, more details in creating new PL page), creator and creation date, updater and updating date if applicable, completion flag, and usage (i.e. number of evaluations a PL is used by).

Extra column for SU:

For PLs that are not used by any evaluation, i.e. usage count is 0, a bin sign will be available, offering a deleting option to SU.

The data is from the [PLSummary] table and other few tables in the database, including [PLUsage] and [Country].

b) Actions available to both SU and PA:

- Create new PL:

The button is available to all.

- Go to a PL’s detail page:

The PL code in the list is a clickable link, pointing to the PL Summary page (3.3.5).

- Searching / sorting / paging facilities:

The text entered in the search box will be used to filter the list content.

Click the head of a column will get the list sorted by that column.

Number of PLs per page can be selected from a dropdown list, the options are 10/25/50/100.

c) Additional actions available to SU:

- Delete PL:

The column is only available to SU, and the bin sign is only visible if the usage count (i.e. number of evaluations the PL is used by) is 0.

When the bin sign is clicked a confirmation box will appear for SU to confirm the deleting action.

If the deleting is confirmed, the PL will be permanently deleted from the database, in [PLSummary], [PLDetail] and [PLAdditionalCountry] (if applicable) tables.

- Merge two PLs:

The button will launch the PL Merge page (3.3.7).

TBA at later stage if time/resource permits

Mock page – Policy measure list:

A Web Page

University Logo SiperPortalAdmin (Researcher name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Policy measure list Create policy measure Merge policy measures

| | Code | Title | Country | Creator | Updater | Completed | Usage | Delete |
|---|---------------------------|-----------------------|----------------|------------|------------|-------------------------------------|-------|--------|
| 1 | P_GB_0001 | Title for the PL..... | United Kingdom | Dumbledore | Dumbledore | <input checked="" type="checkbox"/> | 5 | |
| 2 | P_GB_0002 | Title for the PL..... | United Kingdom | Granger | Granger | <input checked="" type="checkbox"/> | 5 | |
| 3 | P_CN_0001 | Title for the PL..... | China | Potter | Granger | <input checked="" type="checkbox"/> | 2 | |
| 4 | P_BE_0001 | Title for the PL..... | Belgium | Chang | | <input type="checkbox"/> | 0 | |

(Standard footer here)

Annotations:

- "Merge" button only available to SU
- Data table with searching/paging/sorting facilities
- "Delete" column only available to SU, and bin icon only visible for PL not used

9.3.4. Create new PL page

This page is accessible to both SU and PA.

The following data must be selected / entered when creating a new PL:

- PL title in English. It must be between 4 to 500 characters.
- Geographical scope:
 - Single country

If this is selected, a country list will be displayed for user to select a country. The selected country's CountryCode will be used to generate the unique PLCode.

- Multiple countries

If this is selected, a special CountryCode "Z1" will be used to generate the unique PLCode, i.e. the PL code will be P_Z1_[4-digit number]. The countries will be selected on PL Summary page.

- Supranational body

If this is selected, a special CountryCode "Z2" will be used to generate the unique PLCode, i.e. the PL code will be P_Z2_[4-digit number]. The supranational body will be selected on PL Summary page.

PL's title in native language can also be entered but it's optional. If entered it must not exceed 500 characters.

Once the [Create and proceed] button is clicked, a new record will be added into the table [PLSummary] for the new PL with its unique PLCode, and user will be taken to the PL Summary page to complete the data entering process. The PL's completion flag is set to false at this point.

Mock page – Create new policy measure:

The screenshot shows a web browser window titled 'A Web Page' with a URL bar containing 'http://'. The page header includes a 'University Logo' and the text 'SiperPortalAdmin'. A navigation bar contains links: 'Home', 'Evaluation', 'Policy measure' (highlighted), 'Support data', 'Researcher acct', 'Policy maker acct', and 'Report'. On the right, there is a link for '(Researcher name)' and a 'Logout' link. The main content area is titled 'Create new policy measure' and contains the following form fields and controls:

- 'Title (English)' and 'Title (Native)' text input fields.
- 'Creator' text input field with the placeholder '(Current researcher's name)'.
- 'Geographic scope' section with three radio buttons: 'Single country' (selected), 'Multiple countries', and 'Supranational body - e.g. EU, OECD'.
- 'Country' section with the text 'Please select a country from the list below:' and a dropdown menu labeled '(Country list)'. A yellow callout box points to this section with the text 'This part only appears if single country is selected'.
- 'Create and proceed' and 'Abort' buttons.
- A link 'Link back to PL list'.

The footer area contains the text '(Standard footer here)'.

9.3.5. PL Summary page

PL Summary page can be called in two ways:

- To edit details of an existing PL:

Called from PL List page by clicking a PL's code, the selected PL's detail will be displayed. The PL status is completed.

- To finish the creating new PL process:

Called from the creating new PL page by clicking the [Create and proceed] button, the empty PL (with selected country) will be displayed. Different geographic scope related questions will show accordingly. The PL status is incomplete.

Data displayed:

- PL title in English – Editable to both SU and PA.
- PL title in native language – Editable to both SU and PA.
- Creator and updater name and date – View only.
- Geographical scope – View only.
- Further information, depending on the geographic scope:
 - Single country:

A group of radio buttons will be presented for user to choose if the PL is at national or regional level. No default selection is offered.

- Multiple countries:

Lists of available countries and selected countries will be displayed, with [Select] and [Remove] buttons in between. The result will be saved into table [PLAdditionalCountry] every time a country is selected or removed. The buttons will be enabled / disabled according to the number of countries already selected.

- Supranational body:

A list of supranational body (read from table [SupranationalBody]) will be displayed for user to choose from. An instruction will be presented too to let user contact SU if the suitable supranational body isn't available in the list, so SU can add it into the list.

- Remarks – Editable to both SU and PA.

Validation rules for PLSummary data:

- Title in English: Must have 4 to 500 characters, and should be unique.
- Title in native language: Optional. If entered it shouldn't exceed 500 characters.
- Additional question according to the geographic scope:

- For single country:

National/regional level must be selected.

- For multiple countries:

2 to 10 countries must be selected.

- For supranational body:

A supranational body must be selected.

Actions available:

- [Save and proceed] button:

Validated data – title, remarks, national / regional level for single country, supranational body – will be saved in the table [PLSummary]. The completion flag won't be changed here.

- [Proceed without saving] button:

Move to PL Detail page without saving. The button will be disabled when data required hasn't been entered.

- [Select] / [Remove] button (for multiple countries only):

Multiple country selection will be updated in table [PLAdditionalCountry].

- [Cancel] button

Cancel the action and return to policy measure list page without saving.

Mock page – Policy measure summary:

The screenshot shows a web browser window titled "A Web Page" with a URL bar containing "http://". The page header includes a "University Logo" and the text "SiperPortalAdmin". A navigation bar contains links: Home, Evaluation, Policy measure (selected), Support data, Researcher acct, Policy maker acct, and Report. A user profile link "(Researcher name) Logout" is in the top right.

The main content area is titled "Policy measure details - (PL code)" with a status indicator "Status: Incomplete". The form includes the following fields and sections:

- Title (English):** A text input field with placeholder text "(Title (in English) of the selected PL)". Below it, smaller text reads "Created by (creator name) on (creation date)" and "Updated by (updater name) on (updating date)".
- Title (Native):** A text input field with placeholder text "(Title (in native language) of the selected PL)".
- Geographic scope:** A section with two options: "Single country" and "Multiple countries".
- Selected country:** A text input field with placeholder text "(Country name)".
- Geographic level:** Two radio buttons: "National level" and "Regional level".
- Multiple countries section:** A section titled "Multiple countries" with the text "Which countries was the policy measure situated in? Please select up to 10 countries from the list below." It contains two lists: "Available country list" (with items: Belgium, United Kingdom, China, and a scroll bar) and "Selected country list" (with items: Austrilia, Germany, and a scroll bar). Between the lists are "Select" and "Remove" buttons.
- Supranational body:** A section titled "Supranational body" with a dropdown menu showing "Supranational body list". Below it, text reads "Please contact *** if the supranational body you needed isn't available."

Annotations on the right side of the form indicate three possibilities based on the geographic scope selection:

- Possibility 1:** If geographic scope = "Single country"
- Possibility 2:** If geographic scope = "Multiple countries"
- Possibility 3:** If geographic scope = "Supranational body"

At the bottom of the form are three buttons: "Save and proceed", "Proceed without saving", and "Cancel". A link "Link back to PL list" is located below the buttons. The footer contains the text "(Standard footer here)".

9.3.6. PL Detail page

PL Detail page will be called when [Save and proceed] or [Proceed without saving] button is clicked on PLSummary page. User can complete the PL questionnaire on this page.

Data displayed:

There are three boxes, each for a question, containing a set of checkboxes for user to select. Minimum and maximum items selectable will be displayed on top of each box.

Validation rules for PLDetail data:

At least one item must be selected in each group.

Actions available:

- [Save and complete] button:

Validated data will be saved into table [PLDetail]. The completion flag will now be set to true.

- [Go back without saving] button:

Go back to PL Summary page without saving.

- [Cancel] button

Cancel the action and return to policy measure list page without saving.

Mock page – Policy measure detail:

A Web Page

University Logo SiperPortalAdmin (Researcher name) Logout

Home Evaluation **Policy measure** Support data Researcher acct Policy maker acct Report

Policy measure details - (PL code) Status: Incomplete

(Title of the selected PL)

Targets (Recipient of the support)

Please select 1 to 10 items from the list:

☐ 1. Individuals (researcher, student, manager, entrepreneur, investor, etc.)

☐ Item 2

.....

☐ Item 10

Modalities (How support is provided)

Please select 1 to 7 items from the list:

☐ 1. Direct financial support: grants, loans, guarantees, contracts, etc.

☐ Item 2

.....

☐ Item 7

Policy objectives (Why the support is provided)

Please select 1 to 14 items from the list:

☐ 1. Enhancement of education and initial/further training

☐ Item 2

.....

☐ Item 14

Save and complete Go back without saving Cancel

[Link back to PL list](#)

(Standard footer here)

9.3.7. PL Merge page – SU

TBA at later stage if time/resource permits

This page will enable SU to select two PLs and merge them to one.

9.4. Factual / Judgmental characterisation (FC/JC) related pages

9.4.1. Basic FC/JC properties

- One evaluation has one set of FC/JC attached to it.
- FC/JC is related to one researcher (owner) who enters FC data, and one PM who enters JC data. The SU can modify FC/JC data for any evaluation, however he/she won't be recorded as the person who enters FC/JC data.
- FC/JC's country will be the country selected when the evaluation is created, but will have additional data:
 - If the evaluation is for single country, the extra detail – for national or regional level – will be added in ([FJSummary]).
 - If the evaluation's selected CountryCode is Z1, i.e., "Multiple countries", the countries will be added in ([FJAdditionalCountry]).
 - If the evaluation's selected CountryCode is Z2, i.e., "Supranational body", the supranational body will be added in ([FJSummary]).
- Depending on the data entering status for FC and JC, the evaluation's DataStage changed from "New" to "JC approved". More details about the process are in Appendix 2 and 3.
- Not all the questions are answered, many are conditional. Full validation rules for FC/JC's completeness are in Appendix 5.
- PM can enter comment on FC, for questions marked as [PMCommentable] in table [FJQuestionnaire]. These are the top questions in each section, i.e. the questions with LevelA and LevelB flags, but not lower level flags. E.g., question 2.1 is PM commentable, but 2.1.1 isn't.
- FC data completed is the condition for SU to consider publishing evaluations. JC data status has no effect on evaluation's publishing consideration.

9.4.2. FC/JC data in database

a) FC/JC summary data:

This is stored in table [FJSummary], one record for each FC/JC set. Data includes

- The relations to other parts, such as EvaluationId, ResearcherId, PolicyMakerId, CountryId.
- Additional details on geographic scope, such as SupranationalBodyId, whether it's at national/regional level if it's for a single country.
- Various flags for operational needs, including
 - FC/JC data status: FCCompleted, JCCompleted, JCAppealed.
 - PM's comment related information: PMCommented, PMCommentPassed.
 - Other information: NewPMNeeded.
- Owner's remarks, e.g. why the PA isn't satisfied with the JC.

Note:

The geographic scope data is stored in the [FJSummary] table, but this should be treated as an extension of the country data for an evaluation, not as part of the FC data. Hence the editing rules for this for some DataStage are different from FC data: For an evaluation which already has FJSummary data, it can be edited if DataStage hasn't reached "FC complete", but can't be deleted, regardless of the FC data duplication flag value.

b) FC/JC questionnaire data:

This part includes several tables, containing pre-defined data with fixed structure as a representation of the FC/JC questionnaire. This data is not related to individual evaluation, and cannot be changed.

- [FJSection]: This table contains section details of the FC/JC questionnaire, including section number and name, and whether it's for FC or JC.

- [FJQuestion]: A set of pre-defined FC/JC questionnaire data is stored in a fixed 5-level structure in this table. Apart from the data for questionnaire, the table also has many flags, showing whether a question is conditional, in free text type, visible, searchable, PM commentable, publishable, etc.
- [FJCondition]: A number of questions in the FC/JC questionnaire are conditional, whether they should be made visible or not will depend on the answers to other questions. The relations between the conditional questions and their trigger questions are stored here.
- [FJTree]: This is a subset of the table [FJQuestion], containing all parent-child pairs in the 5-level structure of the questionnaire.

c) FC/JC detail data:

This part is the actual answers to the FC/JC questionnaire, related to individual evaluations via [FJSummary] table. The data is stored in several tables:

- [FJDetail]: This table stores the answers to FC/JC questions.
- [FJAdditionalCountry]: When an evaluation is for multiple countries, the selected countries will be stored in this table.
- [FJPMComment]: PM's comments on PM commentable questions in FC sections are stored here, if PM makes them. An evaluation can have no PM comments.
- [FJValidation]: Record whether a FC/JC questionnaire is answered in full on section level. It provides an easy indicator to show which FC or JC sections are / aren't completed for an evaluation. The validation rules used to check the completeness of each section are in "Appendix 5 – FC & JC validation rules".

d) Other related data:

FC/JC will also use data from other parts of the database:

- The pre-defined geographic related data, including country list and supranational body list, which are stored in tables [Country] and [SupranationalBody].
- Evaluation and its DataStage data, in [Evaluation] and [DataStage] tables.
- Researcher details, in [Researcher] table.
- Policy maker details, in [PolicyMaker] table.

9.4.3. FC summary page – Editable

This page is the starting point for FC editing pages, will be displayed when user click [Edit FC] button on evaluation detail page's FC/JC tab. It's only accessible for SU and PA as owner of an Ea, and when an evaluation's DataStage is in "New" and "FC in progress".

Additional data on geographic scope for an evaluation will be taken here. Note the geographic scope data should be treated as an extension of the country data for an evaluation, not really a part of the FC.

a) Data displayed:

- The evaluation's title, code, DataStage and PubType, read only.
- Owner name – Only visible for SU (for PA the owner should be him/herself), view only.
- Geographic scope – View only.
- Further information, depending on the geographic scope:
 - Single country:

A group of radio buttons will be presented for user to choose if the evaluation is at national or regional level. No default selection is offered. The result is saved in [FJSummary].

- Multiple countries:

Lists of available countries and selected countries will be displayed, with [Select] and [Remove] buttons in between. The result will be saved into table [FJAdditionalCountry] every time a country is selected or removed. The buttons will be enabled / disabled according to the number of countries already selected.

- Supranational body:

A list of supranational body (read from table [SupranationalBody]) will be displayed for user to choose from. The result is saved in [FJSummary]. An instruction will be presented too to let user contact SU if the suitable supranational body isn't available in the list, so SU can add it into the list.

b) Validation rules for [FJSummary] data:

- For single country:

National/regional level must be selected.

- For multiple countries:

2 to 10 countries must be selected.

- For supranational body:

A supranational body must be selected.

c) Actions available:

- [Save and proceed] button:

Validated data – national / regional level for single country, supranational body – will be saved in the table [FJSummary].

- [Proceed without saving] button:

Move to FJ Detail page without saving. The button will be disabled when data required hasn't been entered.

- [Select] / [Remove] button (for multiple countries only):

Multiple country selection will be updated in table [FJAdditionalCountry].

- [Cancel] button

Cancel the action and return to evaluation detail page without saving.

Mock page – FC summary, editable:

The screenshot shows a web browser window titled 'A Web Page' with the URL 'http://'. The page header includes a 'University Logo' and the text 'SiperPortalAdmin'. A navigation bar contains links: Home, Evaluation (selected), Policy measure, Support data, Researcher acct, Policy maker acct, and Report. A user link '(Researcher name) Logout' is in the top right.

The main content area is titled 'Factual characterisation for E_GB_0001'. Below the title is a subtitle '(Title for E_GB_0001)' and a note '(Current PubType)'. A yellow callout bubble points to the subtitle with the text 'Only visible when PubType isn't "NO"'. Below this is the 'Owner' field with a label '(Owner name)' and a yellow callout bubble pointing to it with the text 'Only need to show owner for SU'.

The 'Geographic scope' section has two options: 'Single country' and 'Multiple countries'. Below 'Single country' is a 'Selected country' field with a label '(Country name)'. Below 'Multiple countries' is a text input field for 'Supranational body' and a dropdown menu for 'Supranational body list'. A yellow callout bubble points to the dropdown with the text 'Possibility 3: If geographic scope = "Supranational body"'. Below the dropdown is a note 'Please contact *** if the supranational body you needed isn't available.'.

The 'Geographic level' section has two radio buttons: 'National level' and 'Regional level'. Below this is a section for 'Available country list' and 'Selected country list'. The 'Available country list' contains a scrollable list with 'Belgium', 'United Kingdom', 'China', and '.....'. The 'Selected country list' contains a scrollable list with 'Austria' and 'Germany'. Between these lists are 'Select' and 'Remove' buttons. A yellow callout bubble points to the 'Select' button with the text 'Possibility 2: If geographic scope = "Multiple countries"'. Below the country lists are 'Save and proceed', 'Proceed without saving', and 'Cancel' buttons. A yellow callout bubble points to the 'Proceed without saving' button with the text 'Button only enabled if required data is entered'. Below the buttons is a link 'Link back to current evaluation detail page' and a footer '(Standard footer here)'.

9.4.4. FC summary page – Read only

This page will be displayed when user click [View FC] button on evaluation detail page's FC/JC tab, i.e., it's the page for PA who's not the owner of current Ea, or PA as an owner but the Ea's DataStage is "FC complete" or beyond.

a) Data displayed:

- The evaluation's title, code, DataStage and PubType.
- Owner name.
- Geographic scope – Single country, multiple countries or supranational body.
- Further information, depending on the geographic scope:
 - Single country:

The selected country name and national / regional level, read from [FJSummary].

- Multiple countries:

Lists of selected countries, read from table [FJAdditionalCountry].

- Supranational body:

The selected supranational body name read from [SupranationalBody].

b) Actions available:

- [Proceed] button:

This will take user to the first FC detail page (for FC section 1).

- [Cancel] button

Cancel the action and return to evaluation detail page.

Mock page – FC summary, read only:

A Web Page

University Logo SiperPortalAdmin (Researcher name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Factual characterisation for E_GB_0001

(Title for E_GB_0001)
(Current PubType) Only visible when PubType isn't "NO"

Owner (Owner name)

Geographic scope Single country

Selected country (Country name)

Geographic level National

Geographic scope Multiple countries

Countries the evaluation was situated in:

Australia

Germany

Geographic scope Supranational body

Supranational body (Supranational body name)

Move to questionnaires Cancel

[Link back to current evaluation detail page](#)

(Standard footer here)

Possibility 1:
If geographic scope = "Single country"

Possibility 2:
If geographic scope = "Multiple countries"

Possibility 3:
If geographic scope = "Supranational body"

Data stage (Current DataStage)

9.4.5. FC detail pages

FC detail pages show the detailed FC questionnaire by section, and take / display the answers.

There will be 7 FC detail pages, each for a section in an evaluation's questionnaire.

a) Data displayed:

- The evaluation's title, code, DataStage and PubType, view only.
- Number and name of the current section in the FC questionnaire, view only.
- Owner name – Only visible for SU (for PA the owner should be him/herself), view only
- PM comment – Read only. PM's comment is for all the top-level FC questions in each section, the [PMCommentable] flag for these questions are set to true in [FJQuestion] table.
- Detailed questions in the current section. Due to complexity the full page-by-page details will not be included here.

b) Data accessibility:

| DataStage | SU | Owner PA | Non-owner PA |
|----------------------------|-----------------|----------|--------------|
| Pre-JC DataStages | | | |
| New, no PL and/or no owner | n/a | n/a | n/a |
| New, with PL and owner | Edit | Edit | n/a |
| FC in progress | Edit | Edit | View |
| FC complete, no PM | Edit | Edit | View |
| FC complete, with PM | View | View | View |
| In-JC DataStages | | | |
| JC in progress | View | View | View |
| Post-JC DataStages | | | |
| JC complete | View | View | View |
| SU consider FC | Edit, Re-submit | View | View |
| SU consider JC | View | View | View |
| JC approved | View | View | View |

c) Actions available in viewing mode, to SU, owner PA and non-owner PA:

- Display data:

Due to the complexity full page-by-page details will not be listed.

- [Section x] buttons, x = 1 to 7:
 - “x” represents the section number, for FC sections 1 to 7. They will take user to relevant section page, no saving or validation is involved for viewing mode.
 - Colour code will be used to display the buttons, as an easy indication to a section’s completeness.
 - The button for current section will be highlighted and won’t be clickable.
- [Cancel] button:

Cancel the action and return to evaluation detail page (FC/JC tab).

d) Actions available in editing mode, to SU and owner PA, for pre-JC DataStages only

- Input data:

The questions in each section are grouped by top-level questions. Conditional questions are hidden unless the condition is met.

Due to complexity the full page-by-page details are not listed here.

- [Save and proceed] button:

This button is for saving FC data in all the pre-JC DataStages, for both SU and owner-PA, and available for all FC sections.

When it’s clicked, the following will happen:

- Validate (refer to Appendix 5 for validation rules) and save the data entered for all the questions in current section into [FJDetail].
- Update the [Validated] flag in table [FJValidation] for current section based on the section validation result.
- Check to see if evaluation’s DataStage and PubType need to be updated:
 - If an evaluation’s DataStage in table [Evaluation] is “New”, it should be changed to “FC in progress”; PubType should remain to be “Data not complete”.
 - If the DataStage is already “FC complete” and a section’s data is changed back to incomplete, DataStage needs to be changed back to “FC in progress”, and PubType should be changed back from “Data ready” to “Data not complete”.
- If the current section is completed, move to next section, otherwise stay in current section and show validation error message.

- [Save and complete] button:

This button is the alternative of [Save and proceed] but for last section that hasn't been answered. When it's clicked, the following will happen:

- (Same as in [Save and proceed]) Validate (refer to Appendix 5 for validation rules) and save the data entered for all the questions in current section into [FJDetail];
- (Same as in [Save and proceed]) Update the [Validated] flag in table [FJValidation] for current section based on the section validation result;
- Update flags in [FJSummary]: If the last section is completed, it means all the FC sections are completed. In this case turn the [FCCompleted] flag in [FJSummary] to true;
- Update in [Evaluation] for DataStage and PubType when all FC sections are complete (i.e. [FCCompleted] flag in [FJSummary] is set to true):
 - DataStage should be changed to "FC complete";
 - PubType should be changed to "Data ready";
- If the FC is complete, go to evaluation detail page (FC/JC tab), otherwise stay in current section and show validation error message.

- [Section x] buttons, x = 1 to 7:

Same as in viewing mode.

- [Cancel] button:

Cancel the action and return to evaluation detail page (FC/JC tab) without saving.

Additional information:

- FC can be edited after it's completed, hence it's possible that an already completed FC can be changed to not-completed. So the validation rules must be applied to FC even if the evaluation is already in "FC complete" or beyond.
- For section 6 that contains scale items:
 - The scales have a default value of 50% (i.e. neutral in terms of agreeing or disagreeing), the validation rule is that user must move a slider. If 50% is the intended input, user must move a slider away and move back in order to pass the validation. The not-applicable checkboxes can overrule the scales if they are checked.
 - When a validated section 6 is re-visited and the scales contain 50% value, the section won't pass the validation unless the 50%-valued-slider(s) has been moved again (or the relevant not-applicable checkboxes are checked). This also means that if user re-visits an evaluation in "FC complete" which contains scale(s) with 50% value in section 6, and then click [Save and complete] button without moving the 50%-valued-slider(s) again, the section won't pass the validation, and the evaluation's DataStage will become "FC in progress".

e) Actions available in editing mode, to SU only, for DataStage "SU consider FC"

- Input data:

Same as in editing mode above.

SU can check PM's comment on each top level questions and modify FC if necessary.

- [Save] button:

This button is on all FC sections, and has similar functionality as the [Save and process/complete] buttons in pre-JC DataStages. When clicked for a section, the following will happen:

- Data will be validated and saved to [FJDetail], [Validated] flag in [FJValidation] will be updated accordingly (Note it's possible that the FC becomes incomplete in this process);

- The evaluation's DataStage will remain unchanged, i.e., it should stay as "SU consider FC". Note even when as the result of SU's data changing action a section becomes incomplete, the DataStage should still remain, in order to differentiate this type of evaluations with those that PA can work on;
- The evaluation's PubType should have been set to "Data not ready" in PM site when PM submitted the JC with FC comment. This should remain too.
- Similarly, the flag [FCCompleted] in [FJSummary] will be left as true;

- [Re-submit] button

This button will only be enabled when all the FC sections are completed. However FC data can be made incomplete as the result of SU's data-changing action, it's necessary to re-validate the current section and check if all sections are completed before re-submitting. If validation is failed SU will stay in current FC section view and [Re-submit] button will be disabled.

When FC is incomplete, in order to avoid PA accessing FC again the DataStage will not be changed back to "FC in progress". SU will need to re-submit FC as a fully answered set by clicking this button.

A reminding message will appear when the button is clicked, to remind SU that FC data should be saved and complete.

When the button is clicked the following will happen:

- In table [FJSummary]: The flag [PMCommentPassed] will be set to true, indicating the PM's comment on FC has been check and passed by SU, so the message can be displayed accordingly in FC box in evaluation details page's FC/JC tab.
- In table [Evaluation]: The DataStage will be turned to "JC complete", and PubType to "Data ready" again. This means the JC is ready to be approved, and the evaluation can be re-considered for publishing.
- If the evaluation is owned by someone else, an auto email will be sent to owner as an alert, so he/she can start checking JC. **Auto-email ID = PassToPAForCheckingJC, refer to Appendix 6 for email content.**
- SU will be taken to the evaluation details view (FC/JC tab).

- [Cancel] button:

If the FC data is complete, this button will cancel the action and return to evaluation detail page (FC/JC tab) without saving. If SU has made the FC data incomplete, a warning message will show as a reminder, and return to evaluation detail page if user confirms the action.

Additional information for section 6 and scale items applies to the "SU consider FC" too.

Mock page – FC detail, pre-JC DataStages, editable:

SiperPortalAdmin

[\(Researcher name\)](#)
[Logout](#)

[Home](#)
[Evaluation](#)
[Policy measure](#)
[Support data](#)
[Researcher acct](#)
[Policy maker acct](#)
[Report](#)

Factual characterisation for E_GB_0001

(Title for E_GB_0001) Only visible when PubType isn't "NO"

(Current PubType)

(FC section number and name)

Owner (Owner name)

Policy maker (PM name)

Initially contacted on (initial contact date)

Data stage (Current DataStage)

Questions...

x.y1 (Question text) (Please tick all options that apply)

PM comment Policy maker's comment on this section.
Only visible for "JC in progress" and beyond

☐ a. (Text for option a)
☐ b. (Text for option b)
☐ c. Other (Please specify)

☐ d. Don't know

x.y2 (Question text) (Please tick only one option)

PM comment Policy maker's comment on this section.
Only visible for "JC in progress" and beyond

☐ a. (Text for option a)
☐ b. (Text for option b)
☐ c. (Text for option c)

x.y3 (Question text)

PM comment No comment

| | a. Text for x.y3.z.a | b. Text for x.y3.z.b | c. Text for x.y3.z.c |
|--------------------------------------|-------------------------------------|-------------------------------------|--------------------------|
| x.y3.1 (Question text adfakdjf ladf) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| x.y3.2 (Question text adfakdjf ladf) | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| x.y3.3 (Question text adfakdjf ladf) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

x.y3.2.1 (Question text)

| | a. Text for x.y3.2.1.z.a | b. Text for x.y3.2.1.z.b | c. Text for x.y3.2.1.z.c |
|--|-------------------------------------|-------------------------------------|--------------------------|
| x.y3.2.1.1 (Question text adfakdjf ladf) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| x.y3.2.1.2 (Question text adfakdjf ladf) | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

x.y3.2.1.1.1 (Question text)

☐ a. (Text for option a)
☐ b. (Text for option b)
☐ c. (Text for option c)

x.y4 (Question text)

PM comment No comment

| | a. Text for x.y4.z.a | b. Scale for x.y4.z.b |
|--------------------------------------|----------------------------------|-----------------------------|
| x.y4.1 (Question text adfakdjf ladf) | <input type="radio"/> Don't know | 0 <input type="range"/> 100 |
| x.y4.2 (Question text adfakdjf ladf) | <input type="radio"/> Don't know | 0 <input type="range"/> 100 |

x.y5 (Question text)

PM comment Policy maker's comment on this section.
Only visible for "JC in progress" and beyond

(Comment)

Button will be "Save and complete" for last incomplete section

Current section is highlighted and not clickable

Save and proceed Cancel

Summary Section 1 Section 2 Section 3 Section 4 Section 5 Section 6 Section 7

Move between different sections without saving. Colour code can be used to indicate if a section is completed or not

[Link back to current evaluation detail page](#)

(Standard footer here)

Mock page – FC detail, SU consider FC, editable:

University Logo SiperPortalAdmin (Researcher name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Factual characterisation for E_GB_0001

(Title for E_GB_0001)

(FC section number and name)

Owner (Owner name)

Pre.Policy maker (Previous policy maker name who did the JC)

JC completed on (JC completion date)

Questions.....

(Data entering page is the same as in pre-JC stages)

FC should only be re-submitted when all the comments from PM are checked and necessary adjustments are done.

Save Cancel

Summary Section 1 Section 2 Section 3 Section 4 Section 5 Section 6 Section 7

Re-submit

Re-submit button only enabled when all sections are complete

[Link back to current evaluation detail page](#)

(Standard footer here)

9.4.6. JC detail pages

JC detail pages show the detailed JC questionnaire by section, and take / display the answers. Although JC data is entered by PM on a different site, these pages are necessary in the SiperPortalAdmin site because SU needs to be able to edit JC data, and owner PA needs to view JC data entered by PM in order to check and approve it.

There will be 4 JC detail pages, each for a section in the questionnaire.

a) Data displayed:

- The evaluation's English title, code, DataStage and PubType.
- Number and name of the current section in the JC questionnaire.
- Owner name.
- For "FC complete" with PM assigned or "JC in progress": PM name and initial contact date. For post-JC DataStages, previous PM name and assignment done date.
- Detailed questions in the current section.

Due to complexity the full page-by-page details are not included.

b) Data accessibility:

| DataStage | SU | Owner PA | Non-owner PA |
|-------------------|-----------------|----------|--------------|
| Pre-JC DataStages | n/a | n/a | n/a |
| JC in progress | View | View | View |
| JC complete | Edit, Re-submit | View | View |
| SU consider FC | View | View | View |
| SU consider JC | Edit, Re-submit | View | View |
| JC approved | View | View | View |

c) Actions in viewing mode, available to both SU and PA:

- [Section x] buttons, x = 8 to 11:
 - “x” represents the section number, can be 8 to 11. They will take user to relevant section page, no saving or validation is involved for viewing mode. **Note this behaviour is different from the similar buttons in the SiperPortalPM site.**
 - Colour code will be used to display the buttons, as an easy indication to a section’s completeness.
 - The button for current section will be highlighted and won’t be clickable.

- [Cancel] button:

This will take user back to evaluation detail page (FC/JC tab).

d) Additional actions in editing mode, available to SU only, in “JC complete” and SU consider JC” DataStages:

- [Save] button:

This button is in all JC sections so SU can update JC data directly in these two post-JC DataStages. When it’s clicked, the following will happen:

- Data will be validated and saved to [FJDetail]. [Validated] flag in [FJValidation] will be updated accordingly.
- The evaluation’s DataStage will remain unchanged, i.e., it should stay as “JC complete” or “SU consider JC”. Note even if as the result of SU’s data changing action a section becomes not validated, the DataStage should still remain, in order to differentiate this type of evaluations with those that PM can work on.
- Similarly, the flag [JCCompleted] in [FJSummary] will be left as true.

Additional information:

- It’s possible that the JC becomes incomplete in this process, if that happens the section will be marked as incomplete in [FJValidation].
- **For JC Sections 9 and 10 where there are scale items:**

The scales have a default value of 50% (i.e. neutral in terms of agreeing or disagreeing), the validation rule is that user must move a slider. If 50% is the intended input, user must move a slider away and move back in order to pass the validation. In section 9, the not-applicable checkboxes can overrule the scales if checked.

When section 9 or 10 is visited by SU it should have been completed. If the scales contain 50% value, the section won’t pass the validation unless the 50%-valued-slider(s) has been moved again (or in section 9’s case the not-applicable checkboxes are checked). This means the SU must move the 50%-valued-slider(s) to make the section complete.

- [Re-submit] button

This button will only be enabled if all the JC sections are completed. However JC data can be made incomplete as the result of SU’s data-changing action, it’s necessary to re-validate the current section and check if all sections are completed before re-submitting. And when JC is incomplete, in order to avoid PM accessing JC again the DataStage will not be changed back to “JC in progress”. SU will need to re-submit JC as a fully answered set by clicking this button, and should give relevant instructions if necessary.

A reminding message will appear when the button is clicked, to remind SU that JC data should be saved and complete.

If validation is failed SU will stay in current JC section view and [Re-submit] button will be disabled.

- For DataStage “JC complete”:

The evaluation isn’t passed from PA. Apart from saving the just entered the data and ensuring JC is complete, no other action is needed. This will mark the end of data entering from SU and the JC is ready to be approved. SU will be taken to the evaluation details view (FC/JC tab).

- For DataStage “SU consider JC”:

The evaluation is passed from PA. Same as in “JC complete” data just entered should be saved, CJ completeness should be checked, and reminding message will show when the button is clicked.

SU can choose to re-submit the JC in different ways, a radio button set will be visible in this case.

- If “JC satisfied” is ticked, the DataStage will be turned to “JC complete”. The owner-PA should get an auto email as an alert, so follow-up action (to approve JC by owner PA) can be taken. **Auto-email ID = PassToPAForJCPassed, refer to Appendix 6 for email content.**
- If need-new-PM is ticked, the DataStage will remain as “SU consider JC”, and flag [NewPMNeeded] in table [FJSummary] will be set to true. The owner-PA should get an auto email as an alert, so follow-up action (to assign a new PM by owner PA) can be taken. **Auto-email ID = PassToPAForNewPM, refer to Appendix 6 for email content.**
- If leave-it is ticked, DataStage will stay as “SU consider JC” and no other flags will be set. This means that SU will check the JC later.
- SU will be taken to the evaluation details view (FC/JC tab).

- [Cancel] button:

If the JC data is complete, this button will cancel the action and return to evaluation detail page (FC/JC tab) without saving. If SU has made the JC data incomplete, a warning message will show as a reminder, and return to evaluation detail page if user confirms the action.

Mock page – JC detail, viewing mode, for both SU and PA:

A Web Page

University Logo SiperPortalAdmin (Researcher name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Factual characterisation for E_GB_0001

(Title for E_GB_0001)
(Current PubType)
(JC section name)

Owner (Owner name)
Policy maker (PM name)
Initially contacted on (initial contact date)

Pre.Policy maker (Previous policy maker name who did the JC)
JC completed on (JC completion date)

Questions.....
(Question part is similar to FC)

Cancel

Section 8 Section 9 Section 10 Section 11

Link back to current evaluation detail page

(Standard footer here)

Annotations:

- Owner will be the previous one for "JC approved"
- For "JC in progress" DataStage
- For post-JC DataStages
- Current section is highlighted and not clickable
- Move between different sections without saving. Colour code can be used to indicate if a section is completed or not

Mock page – JC detail, editing mode, for SU and DataStage "JC complete":

A Web Page

University Logo SiperPortalAdmin (SU name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Factual characterisation for E_GB_0001

(Title for E_GB_0001)
(Current PubType)
(JC section name)

Owner (Owner name)
Pre.Policy maker (Previous policy maker name who did the JC)
JC completed on (JC completion date)

Questions.....
(Data entering page is the same as in pre-JC stages)

Save Cancel

Section 8 Section 9 Section 10 Section 11

Re-submit

Link back to current evaluation detail page

(Standard footer here)

Annotations:

- Move between different sections without saving. Colour code can be used to indicate if a section is completed or not
- Current section is highlighted and not clickable
- Re-submit button only enabled when all sections are complete

Mock page – JC detail, editing mode, for SU and DataStage “SU consider JC”:

A Web Page

University Logo SiperPortalAdmin [\(SU name\)](#) [Logout](#)

[Home](#) [Evaluation](#) [Policy measure](#) [Support data](#) [Researcher acct](#) [Policy maker acct](#) [Report](#)

Factual characterisation for E_GB_0001

Data stage **SU consider JC**

(Title for E_GB_0001)
(Current PubType)
(JC section name)

Owner (Owner name)
Pre.Policy maker (Previous policy maker name who did the JC)
JC completed on (JC completion date)

Questions.....
(Data entering page is the same as in pre-JC stages)

[Save](#) [Cancel](#)

[Section 8](#) [Section 9](#) [Section 10](#) [Section 11](#)

Re-submit JC when complete

☒ JC checked / amended and now satisfied
☐ JC not satisfied and new PM should be re-assigned to re-do JC
☐ Leave it as it is and check later

[Re-submit](#)

[Link back to current evaluation detail page](#)

(Standard footer here)

Move between different sections without saving. Colour code can be used to indicate if a section is completed or not.

Current section is highlighted and not clickable

Re-submit button only enabled when all sections are complete

9.5. Researcher account maintenance functionalities

Properties of a researcher account:

- A researcher is someone with a university account and will be authenticated by the central CAS to use this application. Researcher data is stored within the application in table [Researcher] except the login details which won't be kept in the application.
- A researcher must be in one of two roles, SU or PA. Role definition is in table [Role]; the authorised activities for each role are in Appendix 1.
- A researcher can be assigned to multiple evaluations, but only one researcher can be assigned to an evaluation at a time.
- If a researcher has left his/her account will still be kept in the database but marked as unavailable. Only available researchers can be assigned to evaluations.

Note: New requirements added in this section are highlighted as purple. The development work is subject to resource availability.

9.5.1. Researcher list page

Researcher list is the starting point for maintenance functionalities for researcher data. It's available for both SU and PA.

a) Data on the page:

The researcher data will be displayed in a list with searching / sorting / paging facilities. Details included are name, username, title, position, role, number of evaluations currently assigned statistics for a researcher's assignments, and availability flag. The data is from [Researcher] and [Role] tables in the database.

Statistics for a researcher's assignments includes

- Open assignments – These are the evaluations with DataStage value being “New” and “FC in progress”.
- FC completed assignments – Evaluations' DataStage value is “FC complete”.
- JC completed assignments – Evaluations' DataStage value is “JC complete”. Note “SU to consider” ones, although might have JC completed, will not be counted in.

b) Actions available for different roles:

| Action | SU | PA |
|-----------------------------------|----|----|
| Create new researcher | √ | |
| Go to View researcher detail page | | √ |
| Go to Edit researcher detail page | √ | |

c) Action description:

- Create new researcher:

The [Create researcher] button is available to SU only, pointing to the Edit researcher detail page (3.5.2). The page is used for both creating and editing researcher details.

- Go to View researcher detail page:

For PA only – If clicking the username in the researcher list PA will be taken to the View researcher detail page (3.5.3).

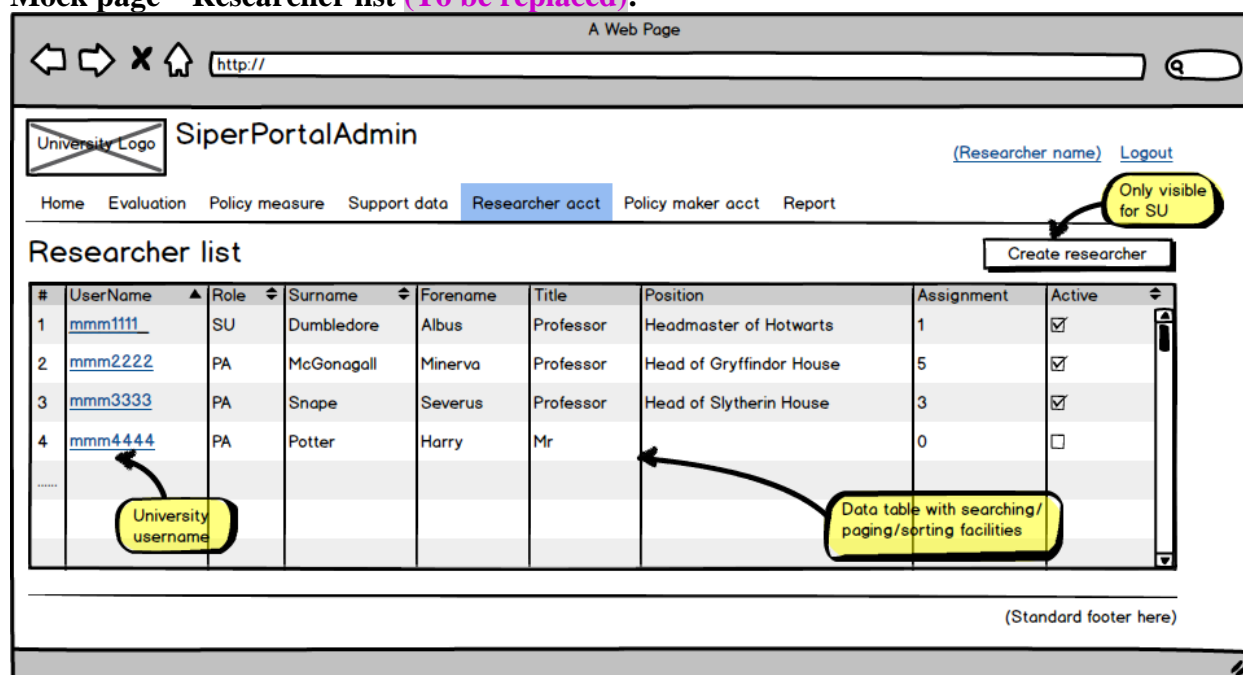
- Go to Edit researcher detail page:

For SU only – If clicking the username in the researcher list SU will be taken to the Edit researcher detail page (3.5.2).

- Searching / sorting / paging facilities:
 - The text entered in the search box will be used to filter the content in the list.

- Click the head of a column will get the list sorted by that column.
- Number of researchers per page can be selected from a dropdown list.
- Note: The mock page doesn't show the full details of these but they are available.

Mock page – Researcher list (To be replaced):



9.5.2. Edit researcher detail page – SU

This page is only available to SU, and can be used for two purposes and called in two ways:

- Clicking [Create new researcher] button on researcher list page, in order to create a new researcher account;
- Clicking a username in the researcher list, in order to edit/view existing researcher details.

a) Data on the page:

- Researcher data such as name, username, title, position, affiliation, contact details, etc. Note these are entered as free text; it's the SU's responsibility to ensure the accuracy of these details. The data is saved in [Researcher] table. More details about the table can be found in file "Appendix 7 - Data table details".
- Role – This should be either SU or PA. PA will be the default selection. The data is saved in [Researcher] table.
- Data only available to existing account:
 - Whether the researcher is active or not. Default is active, i.e., the flag [RAvailable] in [Researcher] table will be true. Only the active researchers will be included in the researcher list when assigning an owner to evaluations. SU can change the value of the [RAvailable] flag here to make a researcher being included or excluded in the available researcher list for evaluation assignment.
 - List of current assignment, i.e., the evaluation titles that the current researcher owns, and the total number of current assignments. Read only.
 - Assignment list for both current and completed ones, DataStage should cover "New", "FC in progress", "FC complete", "JC in progress" and "JC complete". Columns include evaluation's code, English title, country, published year, DataStage, PubType and creation date. Read only.

- Remarks.

b) Action description:

- [Create] button:

A new researcher account will be added into [Researcher] table, as an active one. Validation rules including surname/forename/username/email must be entered, and username must be unique. However, the application isn't able to check if a username is valid or not.

- [Save] button:

The selected researcher data will be updated. The validation rules are the same as in creating action.

- [Cancel] button:

Go back to researcher list page without saving or creating.

Mock page – Edit researcher detail, for SU (To be replaced):

University Logo SiperPortalAdmin (SU name) Logout

Home Evaluation Policy measure Support data **Researcher acct** Policy maker acct Report

Create / Edit researcher

Surname

Forename

Title

UserName

Role ☐ Super User ☒ Project Associate

Position

Affiliation

Email

Tel

Active ☒

Assignment

Number of working assignments: 3

Remarks

[Link back to researcher list page](#)

(Standard footer here)

Data fields will be empty when creating new researcher

Only visible when editing existing researcher

9.5.3. View researcher detail page – PA

This page is only available to PA, and will be called when PA clicks a username in the researcher list.

All details of the selected researcher are displayed, including name, title, position, username, contact details, role, assignment details, etc. It's a read-only page, no action is available.

Mock page – View researcher detail, for PA (To be replaced):

A Web Page

⏪

⏩

✖

🏠

http://

🔍

University Logo

SiperPortalAdmin

[\(PA name\)](#) [Logout](#)

Home

Evaluation

Policy measure

Support data

Researcher acct

Policy maker acct

Report

Researcher detail

Name

UserName

Role

Position

Affiliation

Email

Tel

Active

Assignment

Mr Harry Potter

(UserName)

☐ Super User

☒ Project Associate

Final year student

Hogwarts

h.potter@hogwarts.wiz

123456789

☒

List of evaluation title owned by the researcher

▼

Number of working assignments: 3

[Link back to researcher list page](#)

(Standard footer here)

9.6. Policy maker (PM) account maintenance functionalities

PM account and PM authentication:

A PM is an external user without university account and is authenticated to use the PM site, which is a sub-site under the SiperPortalPublic site. SiperPortalPublic is a separate but related application. PM's authentication will be done by SiperPortalPublic's own authentication system, the database used for this purpose is [HumSiperPMAuth]. Full details for application SiperPortalPublic are in the specification P00418d - SiperPortalPublic.docx.

Although PM's authentication isn't done in this application, the login details are set here. PM's email will be used as username, and the password is initially generated by this application when a PM gets an assignment for the first time. The PM assigning process is covered in evaluation detail page's FC/JC tab (3.2.3.5, 3.2.3.6).

Apart from the login details, the other details of a PM are stored in table [PolicyMaker] in the main database, and the assignment details are in table [PMAssignment].

“Appendix 8 – Flowchart for PM working process on PM site” shows the PM's working process on SiperPortalPublic site, but it involves this site too.

Note: New requirements added in this section are highlighted as purple. The development work is subject to resource availabilities.

9.6.1. PM list page

PM list is the starting point for maintenance functionalities for PM data. It's available to both SU and PA.

a) Data on the page:

The PM data will be displayed in a list with searching / sorting / paging facilities. Details include name, **title**, position, affiliation, PM availability flag, and information on his/her assignments: One flag to show if a PM has a current assignment, **and a number to show how many past assignments he/she has (i.e., those with [CurrentAssignment] flag value being false in table [PMAssignment]).**

b) Action description:

- Create new PM:

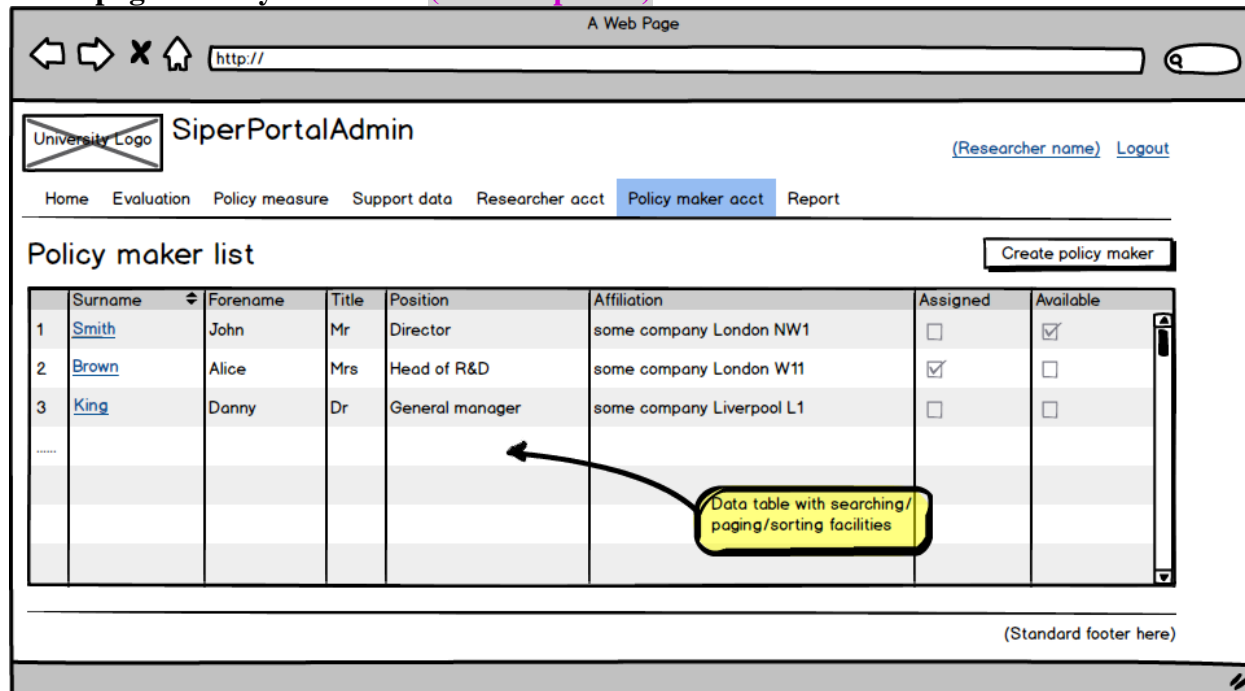
The [Create PM] button will take user to the Edit PM detail page (3.6.2), the page is used for both creating and editing PM details.

- Go to Edit PM detail page:

PM's surname is a link, pointing to the Edit PM detail page (3.6.2).

- Searching / sorting / paging facilities:
 - The text entered in the search box will be used to filter the content in the list.
 - Click the head of a column will get the list sorted by that column.
 - Number of researchers per page can be selected from a dropdown list.
 - Note: The mock page doesn't show the full details of these but they are available.

Mock page – Policy maker list (To be replaced):



9.6.2. Edit PM detail page

This page is available to both SU and PA, and can be used for two purposes and called in two ways:

- Clicking [Create PM] button on PM list page, in order to create a new PM account;
- Clicking a surname in the PM list, in order to edit/view existing PM details.

a) Data on the page:

- PM's type, i.e. if it's created by SU/PA, or if it's self-created by delegated PM on SiperPortalPublic site.

For self-created type of PM, once the data is saved into [PolicyMaker] table an auto email will be sent to the owner to inform this. The email should cover the details of the new and old PMs, as well as the Ea. **Auto-email ID = PMSelfCreate, refer to Appendix 6 for email content.**

Upon receiving the notification, the owner needs to check the new PM's data, and re-assign the Ea to this new PM, therefore a new password will be generated for the new PM, which will be sent out as an auto email to him/her. **Auto-email ID = EvAssignPM1, refer to Appendix 6 for email content.**

- PM's email. This is used as PM's username to login to the PM site. It's editable when creating a new PM, but only viewable once PM's account is created. If a PM needs to change email a new account should be created and the old one should be marked as unavailable.
- PM's details such as name, title, position, affiliation, etc. Note these are entered as free text, it's user's responsibility to ensure the accuracy of these details. The data is stored in [PolicyMaker] table. More details about the table can be found in file "Appendix 7 - Data table details".
- Data only available for existing PM:
 - Availability – This flag is stored as [PAvailable] in table [PolicyMaker], indicating whether the PM is available for being assigned to an evaluation. The default value is true. A PM can only be assigned to one evaluation at a time. Once an evaluation is assigned the PM will become unavailable, and will show as unavailable on this page. However a PM can be set as unavailable manually here even if no evaluation is assigned.

In summary, a PM's availability can be changed in the following ways:

| Before the action | Action | After the action |
|-------------------|---|------------------|
| Available | [Assign PM] button on Evaluation detail page: an evaluation is assigned to the PM. | Unavailable |
| Available | Tick available checkbox: No assignment, but the PM is manually marked as unavailable by SU or owner PA due to his/her inactiveness. | Unavailable |
| Unavailable | [Assign PM] button on Evaluation detail page (FC/JC tab): The evaluation is assigned to another PM. This case covers the PM delegation. | Available |
| Unavailable | [Release PM] button on Evaluation detail page, FC/JC tab: PM is released by SU/PA. | Available |
| Unavailable | [JC complete] button on SiperPortalPublic site: PM completed the JC and submitted it. | Available |
| N/A | [Create PM] button on SiperPortalPublic site: New PM (a delegated one by an existing assigned PM) enters own details and create a PM entry in [PolicyMaker] table. | Available |

Note:

Once a PM is marked as unavailable, the availability checkbox will be disabled, i.e. SU/PA cannot manually make an unavailable PM available.

- Current assignment – Evaluation code and title, the initial contact date, and PM's first login date. Read only.
- List of past assignments (if applicable). Read only.
- Remarks.

b) Actions available:

- [Create] button:

A new PM account will be added into [PolicyMaker] table, as an available one. Validation rules including surname/forename/email must be entered, and email must be unique as it will be used as the PM's username in PM authentication.

- [Save] button:

The selected PM's data will be updated in [PolicyMaker] table. The validation rules are the same as in creation action.

- [Cancel] button:

Go back to PM list page without saving or creating.

Mock page – Create / Edit policy maker detail:

A Web Page

University Logo SiperPortalAdmin (Researcher name) Logout

Home Evaluation Policy measure Support data Researcher acct Policy maker acct Report

Create / Edit policy maker

PM type Created by (Researcher name) / Self-created by the PM on PM site

Surname

Forename

Title

Position

Affiliation

Email

Re-type Email

Tel

Available ☒

Assignment (Evaluation code and title)

Initially contacted on (initial contact date)

First logged in on (first login date)

Past assignment

Remarks

(Standard footer here)

Data fields will be empty when creating new PM

The checkbox will be disabled if the PM is unavailable, i.e., researcher can make a PM unavailable with this checkbox, but can't make a PM available here

Only visible when editing existing PM

9.7. Support data maintenance functionalities

Support data includes the following:

- Country
- Supranational body
- Document category
- Document language

They are pre-defined, and can only be maintained by SU.

9.7.1. Maintain Country data page

TBA when time/resource permits. More information is needed.

9.7.2. Maintain Supranational body data page

Following functions are available:

a) Edit existing supranational body's detail

Only the code and name can be edited, and the validation rules are simple, so the inline editing is used in this case. User can double click a supranational body's code or name in the list, update the value, and click [Enter] key to save the data. Validation error message is provided in a pop-up box. Validation rules: For code and name, the length must be within the valid limit, and unique.

b) Add new supranational body

An [Add] button is available, once clicked an add-new-supranational-body-panel becomes visible for user to enter data. The same validation rules apply. Once added in the new item will appear in the list.

c) Delete unused supranational body

An [Delete] column is included in the supranational body list, showing a [Delete] link for unused ones, and "In use" text for used ones. A selected item will be deleted if clicking the [Delete] link.

9.7.3. Maintain Document category data page

The document category data is used in the SPPublic site as the search criteria, hence can't be deleted, and new items can't be added in without changing the SPPublic site. The only updatable detail is the category name. User can double click a category's name in the list to edit it, and click [Enter] button to save it. Validation rules are that a name's length must be within the valid limit, and unique. Error message is provided in a pop-up box.

Note: The text appearing on the SPPublic site won't be changed here. This needs more work.

9.7.4. Maintain Document language data page

Same as document category.

9.8. Report functionalities

TBA at later stage if time/resource permits

The following data can be exported to spreadsheet:
(Detailed requirement TBA)

10. Technical overview

10.1. General information

- The application is written with MVC4 / .Net 4.5, JavaScript / JQuery are also used.
- The application's databases are hosted on the server SQLDef.dbs.ds.man.ac.uk,6503 (SQL Server 2012).
 - Testing databases: [HumSiperPortalDev] and [HumSiperPMAuthDev]
 - Production databases: [HumSiperPortal] and [HumSiperPMAuth]

Note these servers are outside of the University's firewall.

- The data in SiperPortalBasic's database [HumSiperBasicDev] will be migrated into [HumSiperPortal] once this application is launched.
- The web application are hosted on the University servers.
 - Testing site:

[\\hum-devnet.humanities.manchester.ac.uk\SiperPortalAdmin](http://hum-devnet.humanities.manchester.ac.uk/SiperPortalAdmin)

URL: <http://webnet.humanities.manchester.ac.uk/SiperPortalAdmin/>

- Production site:

[\\publishwwf.ds.man.ac.uk\HUM\SiperPortalAdmin](http://publishwwf.ds.man.ac.uk/HUM/SiperPortalAdmin)

URL: <http://siper-admin.manchester.ac.uk/>

This is the site protected by the University's CAS.

- Depending on the publishable status, uploaded documents will be stored separately in two folders:

- Publishable ones are stored outside of the admin site so to ensure those documents are accessible by the SiperPortalPublic site. URL for publishable documents:

- Testing site:

[\\hum-devnet.humanities.manchester.ac.uk\SiperPortalUploads](http://hum-devnet.humanities.manchester.ac.uk/SiperPortalUploads)

- Production site:

[\\publishwwf.ds.man.ac.uk\HUM\SiperPortalUploads](http://publishwwf.ds.man.ac.uk/HUM/SiperPortalUploads)

- Non-publishable ones are stored within the admin site under App_Data/_Docs_NonPublishable folder
- The permission setting for these folders must be made to allow full access, so authenticated users can upload / rename / delete the documents and subfolders.

10.2. Data schema

The applications will use two databases:

- [HumSiperPortal]: This is the main database for all the applications.
- [HumSiperPMAuth]: This is for PM authentication on SiperPortalPM site.

The schema is in file "Appendix 4 – Data schema".

10.3. Table details

Please refer to file "Appendix 7 – Data table details".

10.4. Related documents

- For application SiperPortalPM see "P00418c – SiperPortalPM" for details.
- For application SiperPortalPublic see "P00418d – SiperPortalPublic" for details.

11. Assumptions and other notes

This section summarises the assumptions of the project:

- The design and style of the static pages of the applications:
 - SiperPortalPublic site:

This will be done by Marketing & Communication team. The University's style will be adopted.

- SiperPortalAdmin site:

As this is an internally used site, a very plain style will be used.

- SiperPortalPM site:

Styles similar to SiperPortalAdmin site will be adopted for this site.

- The domain registration:

This is dealt with centrally.

- Security certificate for SiperPortalPM site:

This is an authenticated site for external users hence a site security certificate needs to be applied and paid for. To be done via central IT.

- Many parts of this application will need to be integrated with other applications – SiperPortalPM / SiperPortalPublic. There may be alterations in this application due to the integration requirements at later stage.
- The FC/JC/PL questionnaires are fixed, in terms of structure, logic and accessibility by different roles. Due to the complexity of these questionnaires the full page-by-page design won't be covered in this document.
- The mock pages are only used as an illustrative tool to explain the design, and should only be viewed that way.

12. Glossary

12.1. User related

| Term | Meaning |
|------------------|--|
| SU | Super user, the project team leader, with University account |
| PA | Project associate, with University account |
| PM | Policy maker, external, no University account |
| Researcher | SU, PA |
| Evaluation owner | Researcher who has been assigned to the Evaluation |

12.2. Evaluation related

| Term | Meaning |
|------|-----------------------------------|
| En | Evaluation without an owner |
| Ea | Evaluation with an assigned owner |
| PL | Policy measure |
| FC | Factual characterisation |
| JC | Judgemental characterisation |

13. Contacts

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7.7 Annex 7: SIPER Portal PM Technical Specifications

(see next page)

P00418c

SiperPortalPM

Version 4.2Page Break

Revision History

| Version | Date | Change description |
|----------------|-------------|---|
| 1.0 | 17/06/2015 | Initialversion. |
| 1.1 | 01/07/2015 | <ul style="list-style-type: none">• UpdatedDataStagedetails to match the changes inSPAdmin.• Added details for introductory PDF file link, etc. |
| 2.0 | 22/07/2015 | <ul style="list-style-type: none">• UpdatedDataStage/PubTypedetails to match the changes inSPAdmin.• Added more details related to PM account, auto emails, etc. |
| 2.1 | 07/08/2015 | Added more details related to PM account maintenance section. |
| 2.2 | 27/10/2015 | <ul style="list-style-type: none">• Added details for auto-logout.• Added more details related to evaluation's documents. |
| 3.0 | 08/01/2016 | <ul style="list-style-type: none">• Updateddetails onsite hosting/security.• Updated details related to the core data schema change. |
| 3.1 | 22/01/2016 | <ul style="list-style-type: none">• Added details for recording login date/time. |
| 3.2 | 04/02/2016 | <ul style="list-style-type: none">• Updated the saving / moving logic on FC section pages.• Updated the detail related to theSiper'sgeneral email. |
| 4.0 | 07/03/2016 | <ul style="list-style-type: none">• Updated login page/ home page / |

| | | |
|-----|------------|---|
| | | <p>JC/FC section pages to meet the changed requirement.</p> <ul style="list-style-type: none"> • Added in evaluation dashboard page to meet the new requirement. • Removed functionalities related to past evaluations. |
| 4.1 | 18/03/2016 | <ul style="list-style-type: none"> • Amended details related to the SU's general email. • Added details related to the secured site for production site. |
| 4.2 | 17/05/2016 | <ul style="list-style-type: none"> • Updated details related to the button behaviours in JC data entering pages in order to meet the changed requirement. • Updated details related to the scale items. |

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1. Overview

SIPER stands for Science and Innovation Policy Evaluations Repository, which is a part of a larger scale multi-partner effort titled The Research Infrastructure for Science and Innovation Policy Studies (RISIS) project. SIPER's objective is "to identify, collect, characterise evaluation reports and present them to wider stakeholders, and to conduct academic research by analysing these evaluations."

The SIPER Portal project is required by the MBS's SIPER team. There will be four web applications for the project:

- Part A, SiperPortalBasic – The basic data gathering tool, for very few users in the Siper project team. It will offer the basic data gathering facilities for user to enter certain project data, full details can be seen in the specification for the tool – “P00418a – SiperPortalBasic”. This application will only be used as a temporary tool during phase 1, and will not be authenticated. The functionalities will be covered in the full version of the admin tool (Part B) at later stage.
- Part B, SiperPortalAdmin – The full version of the Siper Portal admin tool, an authenticated site for members of the Siper project team. It will be protected by the University’s CAS. The application offers facilities for researcher to administrate project data. Full details will be covered in the specification “P00418b – SiperPortalAdmin”.
- Part C, SiperPM – An authenticated site with the access restricted to the external stakeholders (Policy Makers, or PMs), for them to work on authorized part of the project data. This will be protected by the application’s own authentication system. Full details will be covered in the specification – “P00418c – SiperPortalPM” (this document).
- Part D, SiperPortalPublic – A public site with searching facilities, for public user to search the project data. Full details will be covered in the specification – “P00418d – SiperPortalPublic”.

The development work will be carried out in phases (subject to review):

| Phase | Description |
|-------|--|
| 1 | <ul style="list-style-type: none"> • Database forSiperPortalBasic • SiperPortalBasic |
| 2 | <ul style="list-style-type: none"> • Databases forSiperPortalAdminandSiperPortalPublic • Key functionalities ofSiperPortalAdminfor evaluation data • SiperPortalPublicsitestyles (static) • Authenticationrelated functionalitiesofSiperPortalPM |
| 3 | <ul style="list-style-type: none"> • Key functionalities ofSiperPortalPM • Integration betweenSiperPortalAdminandSiperPortalPM |
| 4 | <ul style="list-style-type: none"> • Key functionalities ofSiperPortalPublic • The rest of the functionalities for all applications |

Page Break

2. Authentication and authorisation

1. Authentication

This application is protected by the application’s built-in authentication system. Users – Policy makers, or PMs – are external, their user account and initial login details are set in SiperPortalAdmin, and emailed to individual PM when an evaluation is assigned to him/her.

Evaluation owners (users of SiperPortalAdmin) know the initial passwords generated by SiperPortalAdmin (auto notification email with PM's initial login details is copied to owner), but won't know the password if PM changes it. In case of PM forgetting his/her password owner can reset it with the password-resetting functionality in the SiperPortalAdmin site, the existing data the PM already entered (if the PM has a current assignment) will remain.

Once a PM is assigned an evaluation and gets login details set, he/she can always access the site, even after the assignment is completed, i.e. a PM's login details will not be expired. However the functionalities available depend on whether a PM has a current assignment or not. More details in relevant sections below.

More account related details are in section 3.6 "Account related pages".

More technical details are in section 4 "Technical overview".

2. Authorisation for PM

PM is the only type of user for this application and is authorised to access all the pages. However certain functionalities are only authorised for PM with a current assignment. See more details in relevant sections below.

Page Break

3. Functional overview

1. Outline

The purpose of the SiperPortalPM is to provide various facilities for PM to enter certain part of the required data for Siper project.

a. Status of evaluations:

Two types of status are used for an evaluation:

- **DataStage:**
A unique indicator for an evaluation's data entering status, showing which stage an evaluation is currently in in terms of setting up evaluation data during the whole working process. Certain actions can be taken for evaluations in certain stages.
- **PubType**
A unique indicator for an evaluation's publishing status.

Full DataStage details are stored in table [DataStage] and summarised below. DataStages not relevant to PM are greyed out:

| Code | Name | PrecedingDataStage | SucceedingDataStage | Change triggered by | Possible matching PubType code |
|------|----------------|--------------------|---------------------|---------------------|--------------------------------|
| 1 | New | None | 2 | SU/PA | NO |
| 2 | FC in progress | 1 | 3 | SU/PA | NO |
| 3 | FC complete | 2 | 4 | SU/PA | Any except NO /AB |
| 4 | JC in progress | 3 | 5, 6 | PM | Any except NO /AB |
| 5 | JC complete | 4, 6, 7 | 3, 8 | PM | Any except NO /AB |

| | | | | | |
|---|----------------|-------|-------|-------|-------------------|
| 6 | SU consider FC | 4 | 5 | PM | Any except AB |
| 7 | SU consider JC | 4 | 3, 5 | PA | Any except NO /AB |
| 8 | JC approved | 5 | - | SU/PA | Any except NO /AB |
| 9 | Abandoned | 1 ~ 8 | 1 ~ 8 | SU | NO |

Full PubType details are summarised below, for information only. Its value won't be changed in this application.

| Code | Name | Relevant to this application |
|------|---------------------|------------------------------|
| NO | Data not ready | No |
| RD | Data ready | Yes |
| FP | Published | No |
| PP | Partially published | No |
| ST | Stored | No |
| AB | Abandoned | No |

b. **Menu items**

The top level menu items include the following:

- Home – Starting and ending page for the application, containing various information.
- Dashboard – Containing data of the currently assigned evaluation and all data entering functionalities.
- Manage account – For PM to change password, and for delegated user to setup own PM account.

Page Break

2. **Login and home pages**

1. **Login page**

This is the first page of the site. There is brief introduction information about the project and the site. PM can input username and password to login.

PM should have received an email when an evaluation is assigned to him/her, with the information about the assignment and login details. Username is the PM's email; initial password is generated by SiperPortalAdmin (more details are in "P00418b – SiperPortalAdmin", section 3.2.3.5, FC/JC tab – SU).

Login details are stored in database [HumSiperPMAuth], password is encrypted.

PM must use initial password to do the first login.

Once logged in, PM can change the password. More details are in section 3.6 “Account related pages”.

This page uses a checkbox to take information from user on delegation:

a. Default option:

User isn't a delegate or doesn't want to create a new PM account.

In this case login button will take user to the home page and PM can start entering data.

b. Delegation option:

User is a delegate and wants to create a new PM account for him/herself.

In this case user can check the checkbox before clicking the login button and will be taken to the “Create new PM account” page for him/her to provide own details, so a new PM account will be set up in the database. More details are in section 3.6 “Account related pages”.

Note: Creating a new PM account for delegate is only available to PM who has a current assignment. However the application can't decide if a PM has a current assignment or not since user hasn't logged in yet at the stage, hence must leave the option available to all.

Siper research team's general contact email – siper@manchester.ac.uk – is offered on the page, for PM to contact the team and request a new password to be generated, should him/her forget it. The email is only accessible to the SUs of the SiperPortalAdmin site. The recipient list is as follows:

Abdullah Gokabdullah.gok@mbs.ac.uk

Yanchao Liyanchao.li@mbs.ac.uk

Note there is another general email – superuser.siper@manchester.ac.uk – which has the same recipient list but is used for different purpose: The application generated email alert will use this as the SU email. More details are in “Appendix 6 - Auto email list”.

User will be automatically logged out if there is no action for a certain period of time. The default number is 30 minute, set in the application's configuration file (web.config).Page Break

Mock page – Login:

2. Home page

Authenticated PM will be directed to the home page, which contains the following details:

- More detailed introduction about the project and the site. The content depends on whether the PM has a current assignment or not. Note a PM can still login and see this page even without any current assignment if he/she has past assignments.
- For PM that has a current assignment, a [Proceed to data entry] button is available, pointing to the dashboard page.
- There are other links, pointing to a user manual in PDF format with detailed instruction on how to use the site; and a video clip as a demonstration. Please provide the URLs for these links

The page is also used as a finishing page for PM, to show a thank you message after PM submitted the input, or a confirmation message after a delegate created own PM account.

Other functions this page has:

- Use PM's username to retrieve assignment details from [PMAssignment] table in main database and see if there is a current assignment for user to work on; Use session variable to keep/pass this information between pages.
- [FirstLoginDate] in [PolicyMaker] table should be updated accordingly if it's the PM's first login.
- [LastLoginDate] in [PolicyMaker] table should be updated too. The information isn't used for this site, but will be displayed in SiperAdmin site for researcher to check, in order to avoid PM reassigning / releasing at an inappropriate time.

Page Break

Mock page – Home page as starting and finishing page:

Page Break

3. **Dashboard page**

This page contains basic evaluation information, document list, contact details of the researcher, and action buttons for data entering.

There are two ways to access the page: Via the [Dashboard for data entry] item on menu bar, and via the [Proceed to data entry] button on home page. The page is only available to PM with a current assignment. When a PM without current assignment accesses the page a message is displayed to explain.

1. **Data displayed**

- **Basic evaluation data:**
Code, titles, geographical scope related information, author, year published. The title in English will be displayed as the headline of the page. Read-only.
- **Document:**
The evaluation's documents are displayed in a plain list with no searching / sorting / paging facilities. Columns include document name, category, language, copyright related information, and view content action.
In the view content column, for each publishable document a view icon is available for PM to view its content in a separate tab/window; for non-publishable documents the column is left empty.
- **Contact details:**
Details of the evaluation's owner are displayed in this box, including name, email and telephone.
- Links to user manual and demo video are also available, same as the Home page.

2. **Actions:**

The data entering actions are grouped in two tasks, for JC and comment on FC, and a [Submit] button is also on the page.

a. **Task 1:**

Task 1 is to enter JC and is compulsory. There is a brief explanation in the box about the task.

Data input buttons for JC sections 8~11 take user to each JC section page to input data. Texts used on the buttons are the section names as stored in the [FJSection] table in the database, i.e.:

- For Section 8: Part A Dissemination
- For Section 9: Part B Quality issues
- For Section 10: Part C Use of Evaluation
- For Section 11: Part D Further Comments

Data completion status for each section is indicated on buttons:

- Button for complete section is in green, additional text “Completed” is shown below the button.
- Button for incomplete section is in red, the additional text is “In progress”.

Note: For section 11, the status can be turned to complete by clicking the saving button on the section page, even if no content is entered.

b. Task 2:

Task 2 is to enter comment for FC and is optional. There is a brief explanation in the box about the task.

Data input buttons for FC sections 1~5 and 7 take user to each FC section page to view FC and make comments. Texts used on the buttons are the section names as stored in the [FJSection] table in the database, i.e.:

- For Section 1: Basic Information
- For Section 2: Topics Covered
- For Section 3: Evaluation Design
- For Section 4: Data collection Methods
- For Section 5: Data analysis Methods
- For Section 7: Researcher’s Comments

Commenting status for each section is indicated on buttons:

- If comments are made in a FC section, the button is in green, additional text “Commented” is shown below the button.
- If comments are not made in a FC section, the button is in yellow, the additional text is “Add comment”.

c. Submit:

[Submit your input] button is for user to submit the data. By default the button is disabled, will only be enabled when task 1 is complete. The button is larger and in orange. A message will be displayed above the button as a reminder for user to submit the data.

Clicking the submit button marks the end of the PM’s data entering process. When clicked, the following should happen:

- In [Evaluation] table: The evaluation’s DataStage is turned to “JC complete” if no comments are made to FC; or “SU consider FC” otherwise. If DataStage is changed to “SU consider FC” the PubType should be changed to “Data not ready” at the same time.
- In [PMAssignment] table: The assignment is marked as past (set [CurrentAssignment] to false), that means PM cannot edit data any more. The completion date is stored in [AssignmentDoneDate]. The session variables are updated too.
- In [FJSummary] table: The JC completed flag ([JCCompleted]) should be set to true, and the date is also recorded ([PMUpdatedDate]).
- In [PolicyMaker] table: Mark the PM as available (set [PAvailable] to true), so the PM can take new assignment again.

- User will be taken back to the home page with a thank you message.

Note once [Submit] button is clicked the assignment will become a past one, PM won't be able to edit it anymore. There is a pop up box showing the reminding message about this when user clicks the [Submit] button.

Page Break

Mock page – Dashboard for PM with current assignment:

Page Break

4. **JC details pages**

PM can edit JC data which is grouped in 4 pages, each for a JC section. The JC details pages have similar structure, and can be accessed by the data entering buttons in dashboard page's task 1 box.

These pages are only available to PM with a current assignment. When a PM without current assignment accesses the pages a message is displayed to explain.

a. **Data displayed:**

- General information:

This includes evaluation's code and title, from [Evaluation] table. Note only the current assignment is available.

The section number is replaced by Part A~D.

- Section specific data:

This is the detailed questions in current JC section. The section number in question numbers is removed to avoid confusion, e.g., Q8.2 is displayed as Q2 in section 8's page.

Note: The JC questionnaire is pre-defined data with fixed 5-level structure, not related to individual evaluation. The data is stored in 4 tables: [FJSection], [FJQuestion], [FJCondition], [FJTree]. This data cannot be changed.

b. **Action:**

- [Save and proceed] button:

This is available when there is at least one other incomplete JC section.

- Save data into [FJDetail] table in the database, and update [FJValidation] accordingly.
- If DataStage is still "FC complete", this should be changed to "JC in progress" now.
- If the validation and/or data saving action for current JC section are failed, the same section page remains, and a detailed validation failure message and/or an action error message will be displayed.
- If the validation is passed and the data is successfully saved, user will be taken to the first incomplete JC section page. Note an incomplete section can be before or after the current one, since user can start data entering from any section.

- [Save and return to Dashboard] button:

This is the button same as [Save and proceed], available when the current JC section is the last incomplete one.

- If the validation and/or data saving action for current JC section are failed, the same section page remains, and a detailed validation failure message and/or an action error message will be displayed.

- If the validation is passed and the data is successfully saved, user will be taken to the dashboard page. Note DataStage value won't be changed when this button is clicked (It will only be changed if PM clicks [Submit] button on the dashboard page).
 - **Section buttons:**
Section names are used as button names, retrieved from the [FJSection] table in the database, section numbers are replaced by "Part A~D". Colour code indicates if a section is complete (green) or not (red). Current section is highlighted in yellow and not clickable.
 - As long as the data is successfully saved, user will be taken to the selected JC section page, regardless of the data validation result for current section. Note user won't be able to see the validation failure message (if there is any) since he/she will be taken to another section, but will be able to notice the change of the section button colour.
 - If the data saving action is failed, the same section page remains, and an action error message will be displayed. Validation failure message will be shown as well if it exists.
 - Note this behaviour is different from the similar buttons in the SiperPortalAdmin site.
 - **[Cancel] button:**
New data entered is discarded. User is taken back to the dashboard page.
- c. **Additional information:**
- For question 8.1: A dropdown list of years is used for user to enter data. The list contains 25 years, starting from the current year.
 - **For JC Sections 9 and 10 where there are scale items:**
 - The scales have a default value of 50% and the validation rule is that user must move a slider. If 50% is the intended input, user must move a slider away and move back in order to pass the validation. In section 9, the not-applicable checkboxes can overrule the scales if checked.
 - When a validated section 9 or 10 is re-visited and the scales contain 50% value, the section won't pass the validation unless the 50%-valued-slider(s) has been moved again (or in section 9's case the not-applicable checkboxes are checked). This also means that if user re-visits a completed section 9 or 10 that contains scale(s) with 50% value, and then click another section's button without moving the 50%-valued-slider(s) again, the section will become incomplete.

Mock page – JC sections:

Page Break

5. **FC comment pages**

These pages provide facilities for PM to view evaluation's FC data by section, and make comments. There are 6 pages, each for a visible-to-PM FC section (i.e. section 1 to 5 and 7), with similar structure, and can be accessed by the data entering buttons in dashboard page's task 2 box.

These pages are only available to PM with a current assignment. When a PM without current assignment accesses the pages a message is displayed to explain.

- a. **Data displayed:**
- FC data in a section, read-only.

- Comments for PM-commentable questions.
- Section number won't be displayed in section's title.
- Section number won't be displayed in question numbers either, e.g. Q3.1 will be displayed as Q1 in section 3 page.

b. **Actions:**

- [Save] button:

Comments will be saved into [FJPMComment] table in the database. User will stay in the same JC section page.

A result message will be shown, which can be a successful message (when data is saved), or an action error message (when something is wrong and the saving failed).

If DataStage is still "FC complete", this should be changed to "JC in progress" now.

If [PMCommented] flag in [FJSummary] table hasn't been changed to true it should be changed now.

- Section buttons:

Section names are used as button names, as stored in the [FJSection] table in the database, section number won't be included. The function of these buttons is similar to [Save] button, but will take user to the selected FC section page after data is saved. Note there is no section button for current section.

- [Cancel] button:

New comment entered is discarded. User is taken back to the dashboard page.

Note:

- The FC questionnaire is pre-defined data with fixed 5-level structure, not related to individual evaluation. The data is stored in 4 tables: [FJSection], [FJQuestion], [FJCondition], [FJTree]. This data cannot be changed.
- [Section 6] is hidden to PM so won't be included here.
- Section 7 only contains one FC question. If this question has no value the comment will not be taken.
- For a particular evaluation, DataStage can be changed backwards, i.e., from "JC complete" or "SU consider JC" to "FC complete", by user of SiperPortalAdmin site.

Page Break

Mock page – FC sections for commenting:

Page Break

6. **Account related pages**

PM account details are stored in two databases:

a. [HumSiperPortal] – SiperPortal's main database

- Table [PolicyMaker]: PM account details

PM data is mainly entered by researchers (SU/PA) in SiperPortalAdmin.

In SiperPortalPM, a person delegated by a PM can also enter own data to setup a new PM account for him/herself, and wait for the evaluation's owner to change the assignment to him/her. In this case the flag [SelfCreated] flag will be set to true.

- Table [PMAssignment]: Assignment details

Assignment details are set in SiperPortalAdmin when an evaluation is assigned to a PM by a researcher. The [CurrentAssignment] flag will be initialised to true.
In SiperPortalPM, the [CurrentAssignment] flag will be reset to false when PM completes the JC data entering and clicks the [Submit] button on evaluation details page, and the [AssignmentDoneDate] will be set up too in this table.

- b. [HumSiperPMAuth] – Login details for PM authentication.
 - Table [UserProfile]:
It contains PM's username, created when an evaluation is assigned to a PM by a researcher in SiperPortalAdmin.
 - Table [webpages_Membership]:
This stores PM's encrypted password and related information, created when an evaluation is assigned to a PM by a researcher in SiperPortalAdmin, and can be changed by PM when changing password.

There are three pages in this section:

- Change password – the 1st item under [Manage your account] in menu bar.
- Maintain account details – the 2nd under [Manage your account] in menu bar.
- Create new PM – This doesn't appear in the dropdown menu.

1. **Change password page**

This page allows PM to change own password. Data is stored in table [webpages_Membership], database [HumSiperPMAuth].

PM can access this page to get password changed as long as he/she can login, this means that a PM can still change password even if there is no current assignment.

Users of SPAdmin site – SUs and PAs – won't get new password.

Page Break

Mock page – Change password:

2. **Maintain PM details page**

This page allows PM to update his/her details except the login details. It is available to PM as long as he/she has a valid login account, this means that a PM can still change his/her details even if there is no current assignment.

a. **Data editable:**

PM's details such as name, title, position, affiliation, etc. Note email can't be changed because it's used as the login username. PM's details are entered as free text, it's user's responsibility to ensure the accuracy of the details.

b. **Action:**

- [Save] button:
 - The updated details will be saved into [PolicyMaker] table.
 - An auto email will be sent out about the change and copied to the PM him/herself. The email should cover details of the PM, and if it's for a current assignment, evaluation's details will be included too.

- If a PM has a current assignment, the email will be sent to the owner. Auto-email ID = PMDetailChange1. Refer to Appendix 6 for email content. A copy will be sent to the general SU email too.
- If a PM has no current assignment, the email will be sent to the general SU email superuser.siper@manchester.ac.uk. Auto-email ID = PMDetailChange2. Refer to Appendix 6 for email content.
- [Cancel] button:
Discard data and go back to Home page.

Page Break

Mock page – Maintain PM details:

3. Create new PM account page

A PM with a current assignment can delegate his/her assignment to someone else. In this case the delegate can use the application in two ways:

- He/she can use the original PM's login details to enter data without informing the evaluation owner. The owner won't know if it's originally assigned PM or delegate who provided the JC data.
- He/she can choose to setup own account as a new PM, and inform the evaluation owner who can then re-assign the evaluation to him/her, so he/she will act as a proper PM. This page is to enable a delegate to do this.

This page doesn't appear as a secondary menu item in the [Manage your account]'s dropdown menu. It can only be accessed from the login page, when user logs in with original PM's credentials, and selects the delegation option to create own account.

The function for creating new PM account is only available to PM with a current assignment. If the logged-in user select the delegation option but has no current assignment this page only shows an explaining message.

a. Data required:

PM's details such as name, title, position, affiliation, email, etc. Email will be used as the new PM's username and will be validated by the application to ensure it's in a valid format and is unique. Other details are entered as free text, it's user's responsibility to ensure the accuracy of these details. The data is stored in [PolicyMaker] table.

b. Action:

- [Create] button:
 - A new PM account is added into [PolicyMaker] table, as an available one ([PAvailable] flag set to true), and self-created ([SelfCreated] flag set to true).
 - An auto email is sent to the owner to inform this and copied to the new PM him/herself. The email content should cover details of both original and new PMs, and evaluation's details as well. A copy will be sent to Siper's general SU email too (refer to Login page section for details of the Siper general email). Auto-email ID = PMSelfCreate. Refer to Appendix 6 for email content.
 - In SPAdmin:
Upon receiving the notification, the owner can check the new PM's data, and take the following action:

The owner should re-assign the Ea to the new PM, therefore a new password will be generated for him/her and added into the authentication database, which will be sent out as an auto email to him/her. **Auto-email ID = EvAssignPM1, refer to Appendix 6 for email content.** By doing so the original PM will be released from the assignment and become available again, and the new PM will get the assignment and become unavailable in [PolicyMaker] table; and the assignment details will be updated too. Full details on re-assigning PM are covered in SPAdmin's specification.

- [Cancel] button:
Discard data and go back to Home page.

Mock page – Create new PM account:

Page Break

4. Technical overview

1. General information

- The application is written with MVC4 / .Net 4.5, JavaScript / JQuery is also used. Data is stored in SQL databases.
- The application's databases is hosted on the server SQLDef.dbs.ds.man.ac.uk,6503 (SQL Server 2012).
 - Testing databases: [HumSiperPortalDev] and [HumSiperPMAuthDev]
 - Production databases: [HumSiperPortal] and [HumSiperPMAuth]
 Note these servers are outside of the University's firewall.
- The web application is hosted on the University's servers:
 - Testing site:
[\\hum-devnet.humanities.manchester.ac.uk\SiperPortalPM](http://hum-devnet.humanities.manchester.ac.uk/SiperPortalPM)
URL: <http://webnet.humanities.manchester.ac.uk/SiperPortalPM/>
 - Production site:
[\\publishwwf.ds.man.ac.uk\HUM\SiperPortalPM](http://publishwwf.ds.man.ac.uk/HUM/SiperPortalPM)
URL: <https://siper.manchester.ac.uk/>
- Publishable documents are stored outside of the admin site and are accessible to PM users URL for publishable documents:
 - Testing site:
[\\hum-devnet.humanities.manchester.ac.uk\SiperPortalUploads](http://hum-devnet.humanities.manchester.ac.uk/SiperPortalUploads)
 - Production site:
[\\publishwwf.ds.man.ac.uk\HUM\SiperPortalUploads](http://publishwwf.ds.man.ac.uk/HUM/SiperPortalUploads)
- The production site is protected by the application's own authentication system and has a dedicated IP address (instead of a shared one), in order for it to have its own security certificate (SSL certificate). The calls for the site will be automatically redirected to the secured server.

2. Data schema

The applications will use two databases:

- [HumSiperPortal]: This is the main database for all the SiperPortal applications.
- [HumSiperPMAuth]: This is for PM authentication on SiperPortalPM site.

The schema is in file "Appendix 4 – Data schema".

3. **Table details**

Please refer to file “Appendix 7 – Data table details”.

4. **Related documents**

For application SiperPortalAdmin see “P00418b – SiperPortalAdmin” for details.

Page Break

5. **Assumptions and other notes**

Same as in “P00418b – SiperPortalAdmin”.

6. **Glossary**

Same as in “P00418b – SiperPortalAdmin”.

7. **Contacts**

Same as in “P00418b – SiperPortalAdmin”.

7.8 Annex 8: SIPER Portal PublicTechnical Specifications

(see next page)

P00418d

SiperPortalPublic

Version 2.3

Revision History

| Version | Date | Change description |
|---------|------------|--|
| 1.0 | 16/11/2015 | Initial version. |
| 2.0 | 05/02/2016 | <ul style="list-style-type: none"> • Content amended/added in based on the latest core data change. • Detail updated in CS panel. • Detail added/updated for FC data displaying in evaluation detail page. • Detail added related to site integration. |
| 2.1 | 26/02/2016 | <ul style="list-style-type: none"> • Detail added/updated for PL and FC data displaying in evaluation detail page. |
| 2.2 | 04/05/2016 | <ul style="list-style-type: none"> • Search rules for FC related data (SC sections 3~6, in 3.2.4.3) rephrased to avoid ambiguity. • Search rules for Doc related data (SC sections 7, in 3.2.4.4) rephrased to avoid ambiguity. • Prime URL is added in. |
| 2.3 | 24/05/2016 | <ul style="list-style-type: none"> • Some details in CB panel are updated, including mouse-over message; country list (for both PL and evaluation); published year list; document related criteria. • Google Analytics account related detail is added in. |

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14. Overview

SIPER stands for Science and Innovation Policy Evaluations Repository, which is a part of a larger scale multi-partner effort titled The Research Infrastructure for Science and Innovation Policy Studies (RISIS) project. SIPER's objective is "to identify, collect, characterise evaluation reports and present them to wider stakeholders, and to conduct academic research by analysing these evaluations."

The SIPER Portal project is required by the MBS's SIPER team. There will be four web applications for the project:

- Part A, SiperPortalBasic – The basic data gathering tool, for very few users in the Siper project team. It will offer the basic data gathering facilities for user to enter certain project data, full details can be seen in the specification for the tool – "P00418a – SiperPortalBasic". This application will only be used as a temporary tool during phase 1, and will not be authenticated. The functionalities will be covered in the full version of the admin tool (Part B) at later stage.
- Part B, SiperPortalAdmin – The full version of the Siper Portal admin tool, an authenticated site for members of the Siper project team. It will be protected by the University's CAS. The application offers facilities for researcher to administrate project data. Full details will be covered in the specification "P00418b – SiperPortalAdmin".
- Part C, SiperPM – An authenticated site with the access restricted to the external stakeholders (Policy Makers, or PMs), for them to work on authorized part of the project data. This will be protected by the application's own authentication system.

Full details will be covered in the specification – "P00418c – SiperPortalPM".

- Part D, SiperPortalPublic – A public site with searching facilities, for public user to search the project data. Full details will be covered in the specification – "P00418d – SiperPortalPublic" (this document).

The development work will be carried out in phases.

The relationship of the four applications is illustrated in Appendix 14.

15. General information about SiperPortalPublic site

15.1. Data:

SiperPortalPublic will use the same database as SiperPortalAdmin, i.e. [HumSiperPortal].

15.2. Authentication and authorisation

The site will be publically available with no authentication. All the functionalities are accessible to all users.

15.3. Site structure

The site contains the following menu items:

| Menu item | Type | Content |
|---------------|---------|---|
| Home | Static | Introduction |
| Repository | Dynamic | Searchable Siper data retrieved from [HumSiperPortal] |
| About | Static | |
| Publications | Static | |
| News & events | Static | |
| Contact | Static | |

The University website's styles will be adopted and provided by the Marketing and Communication team. A Siper-specific copyright statement will replace the University's general one.

This document only covers details of the Repository section.

16. Functional overview

16.1. Outline of the repository

16.1.1. Evaluation's availability on public site

Evaluation's availability on this site is dictated by its [PubType] value in table [Evaluation], set in application [SiperPortalAdmin] by SU. Only the published evaluations, i.e. evaluations with [PubTypeCode] value set to "FP" (Fully Published) will be available on the site.

The possible DataStages (in table [DataStage], refer to specification "P00418b – SiperPortalAdmin" for more details) for published evaluations can be

- FC complete
- JC in progress
- JC complete
- SU consider JC
- JC approved

Available properties for published evaluations include

- Basic data – Titles, geographical area information, author, published year
- Selected PL(s) – Title, details
- Documents – Name, category, language of both publishable and non-publishable documents, and content of the publishable ones
- Publishable FC questions and answers

An available evaluation can become unavailable again and disappear from the searchable evaluations in three cases:

- SU abandons an evaluation on SiperPortalAdmin site, its PubType will be changed to "Abandoned".
- SU changes an evaluation's PubType from "Published" to "Stored" on SiperPortalAdmin site.
- An evaluation's PubType is changed from "Published" to "Data not ready" when a PM submits JC data on SiperPortalPM site with his/her comment on FC. The evaluation's DataStage will be turned to "SU consider FC" by this action so SU can review/edit FC data again, and re-publish the evaluation.

16.1.2. Search criteria structure and combination logic

Search criteria is organised in a hierarchy and grouped in 7 sections. This is a pre-defined data and won't be changed. Each section contains a fixed number of sub-sections which can be a searchable item itself or an unsearchable title only; each sub-section contains a fixed number of searchable child-items.

Search criteria data is stored in tables [SCSection] and [SCDetail]. See table structure details in [Appendix 7 – Data table details].

Search section summary:

| # | Section name | Sub-section type | Sub-section count |
|---|---|------------------|-------------------|
| 1 | Related policy measure characteristics | Unsearchable | 4 |
| 2 | Evaluation characteristics: Basic | Unsearchable | 6 |
| 3 | Evaluation characteristics: Topics covered | Searchable | 15 |
| 4 | Evaluation characteristics: Design | Searchable | 5 |
| 5 | Evaluation characteristics: Data collection methods | Searchable | 12 |
| 6 | Evaluation characteristics: Data analysis methods | Searchable | 9 |
| 7 | Document properties | Unsearchable | 2 |

Combination logic:

- Between sections: AND
- Between sub-sections within the same section:
 - Between unsearchable sub-sections: AND. This applies to section 1, 2, 7.
 - Between searchable sub-section: OR. This applies to section 3, 4, 5, 6.
- Between child-items within the same sub-section: OR
- Between searchable sub-section item and its child-item(s): Only use child-item(s) in the search criteria, searchable sub-section item's condition will be ignored. This applies to 11 searchable sub-sections which have children.

16.1.3. Search process:

A search process consists of the following steps:

- a) Build search criteria by selecting the searchable items in the **Search Criteria Builder panel (CB panel)** in the main search page. The panel displays full available search criteria.
- b) Check the selected search criteria in **Search Criteria Summary panel (CS panel)** in the main search page, and click [Search] button to start search.
- c) See a list of matching evaluations in the **Search Result panel (SR panel)** in the main search page as the search result.
- d) Click an evaluation title to see the details in the evaluation detail page.

More details are covered in relevant sections of this document.

16.2. Main search page

Main search page consists of the following parts:

- CB panel – Search criteria builder
- CS panel – Search criteria summary, and two buttons for user to start search or clear the selected search criteria
- SR panel – Search result

16.2.1. CB panel – Search criteria builder

CB panel uses an accordion to show available search conditions. The accordion has following features:

- By default no section is expanded. One section can be expanded at a time, for user to see the full detail of sub-sections and child-items under them, and do the selection. Clicking a section name will toggle its status between expanded and collapsed.
- All the searchable items, i.e., child-items in sub-sections and the searchable sub-section items, will have a checkbox attached for user to select/deselect.
- Searchable and unsearchable sub-section titles are highlighted in different colour to get them differentiated.
- Although most of the items will be matched into the relevant items in [PLQuestion] and [FJQuestion], the wording for these items is from [SCDetail] and is different from those in [PLQuestion] and [FJQuestion].
- An additional explanation message, if exists, will appear when user hovers mouse over an item's text, **and the text will be highlighted in bold**. This applies to sub-section title items and child-items, except the country names and publication year. The data for mouse-over-message is stored in table [SCDetail] (MouseOverMsg). **An information image will show at the end of the text for such items.**

An explanation text will be displayed on top of the CB panel to let user understand how to use the accordion.

A button is available for user to show or hide this panel.

16.2.1.1. Section 1: Related policy measure characteristics

Outline of the section:

- Content in the section: PL's geographical area data and items in three PL groups.
 - Sub-section item type: The sub-section items in this section are unsearchable, hence no checkbox are attached to them.
 - Combination logic between sub-sections: AND.
- a) PL's geographical area information
- Country list from [Country] table will be displayed for user to select. **No limit on number of countries selected as search criteria.**
 - **The country rank used in the SiperPortalAdmin site is ignored here, the country list will be sorted alphabetically.**
 - Multiple countries / supranational body will be included in the list as a single item and showed on top of the list. User can select these items together with other single country items.
 - Combination logic between countries is OR.

b) PL detail

- PL-related search criteria data will be retrieved from [SCDetail] table and displayed in 3 groups as 3 sub-sections.
- Combination logic between child-items within a sub-section is OR.

16.2.1.2. Section 2: Evaluation characteristics: Basic

Outline of the section:

- Content in the section: Evaluation's geographical area data, published period, and some items from FC related data.
- Sub-section item type: The sub-section items in this section are unsearchable.
- Combination logic between sub-sections: AND.

a) Evaluation's geographical area data

- Country list from [Country] table will be displayed for user to select. **No limit on number of countries selected as search criteria.**
- **The country rank used in the SiperPortalAdmin site is ignored here, the country list will be sorted alphabetically.**
- Multiple countries / supranational body will be included in the list as a single selectable item and showed on top of the list. User can select these items together with other single country items.
- Combination logic between countries is OR.

b) Published period

- Starting year and ending year can be selected from two dropdown lists.
- Both lists are initialised in a pre-defined way: Ending in the current year and the count of years in the list is stored in the application's configuration file (web.config), default to 25. **By default the current year is at the top of a list.**
- Once one value is selected from a list, another list will be adjusted accordingly to ensure a valid selection, i.e., the ending year is no earlier than the starting year.
- **Select the text at the beginning of these lists (i.e., "Starting year..." or "Ending year") will get the full list restored.**

c) Evaluation performer

- 3 Child-items in this sub-section, matching into questions Q1.1.a~c in table [FJQuestion].
- Combination logic between child-items is OR.

d) Timing of the evaluation

Similar to c) but for questions Q1.2.a~d in table [FJQuestion].

e) Purpose of the evaluation

Similar to c) but for questions Q1.3.a~c in table [FJQuestion].

f) Reference to programme logic

Similar to c) but for questions Q1.4.a~c in table [FJQuestion].

16.2.1.3. Section 3: Evaluation characteristics: Topics covered

Outline of the section:

- Content in the section: Items from FC related data.

- Sub-section item type: The sub-section items in this section are searchable, except the first one (Appropriateness).
 - Combination logic:
 - Between sub-sections: OR.
 - Between child-items in same sub-section: OR
 - Between a searchable sub-section item and its child-items: If any of the children are selected, the sub-section item's status should be ignored even if it's selected.
- a) Appropriateness
- Sub-section is unsearchable.
 - 3 child-items in this sub-section, matching into questions Q2.1.1.a / Q2.1.2.a / Q2.1.3.a in table [FJQuestion].
- b) Coherence/complementarity to other measures/programmes
- Sub-section is searchable, and matches into question Q2.1.4.a in table [FJQuestion].
 - No child under this sub-section.
- c) Goal attainment/effectiveness
- Sub-section is searchable, and matches into question Q2.1.5.a in table [FJQuestion].
 - No child under this sub-section.
- d) Outputs
- Sub-section is searchable, and matches into question Q2.1.6.a in table [FJQuestion].
 - 1 child-item in this sub-section, matching into questions Q2.1.6.1.a in table [FJQuestion].
 - Note the status of the sub-section should be ignored if its child-item is selected.
- e) Outcomes and impacts
- Sub-section is searchable, and matches into question Q2.1.7.a in table [FJQuestion].
 - 9 child-items in this sub-section, matching into questions Q2.1.7.2.a~c / Q2.1.7.3.a~e / Q2.1.7.4.a in table [FJQuestion].
 - Note the status of the sub-section should be ignored if any of its child-items is selected.
- f) Value for money/return on investment
- Sub-section is searchable, and matches into question Q2.1.8.a in table [FJQuestion].
 - No child under this sub-section.
- g) Programme implementation efficiency
- Sub-section is searchable, and matches into question Q2.1.9.a in table [FJQuestion].
 - No child under this sub-section.
- h) Additionality
- Sub-section is searchable, and matches into question Q2.1.10.a in table [FJQuestion].
 - 3 child-items in this sub-section, matching into questions Q2.1.10.1.a~c in table [FJQuestion].
 - Note the status of the sub-section should be ignored if any of its child-items is selected.
- i) Policy/strategy development
- Sub-section is searchable, and matches into question Q2.1.11.a in table [FJQuestion].
 - No child under this sub-section.

- j) Gender issues
 - Sub-section is searchable, and matches into question Q2.1.12.a in table [FJQuestion].
 - No child under this sub-section.
- k) Minority/inclusivity issues
 - Sub-section is searchable, and matches into question Q2.1.13.a in table [FJQuestion].
 - No child under this sub-section.
- l) Uptake of programme
 - Sub-section is searchable, and matches into question Q2.1.14.a in table [FJQuestion].
 - No child under this sub-section.
- m) Degree of stakeholder satisfaction
 - Sub-section is searchable, and matches into question Q2.1.15.a in table [FJQuestion].
 - No child under this sub-section.
- n) Collaborations/partnerships
 - Sub-section is searchable, and matches into question Q2.1.16.a in table [FJQuestion].
 - 8 child-items in this sub-section, matching into questions Q2.1.16.1.a~c / Q2.1.16.2.a~c / Q2.1.16.3.a~b in table [FJQuestion].
 - Note the status of the sub-section should be ignored if any of its child-items is selected.
- o) Scope of mobility
 - Sub-section is searchable, and matches into question Q2.1.17.a in table [FJQuestion].
 - 2 child-items in this sub-section, matching into questions Q2.1.17.1.a~b in table [FJQuestion].
 - Note the status of the sub-section should be ignored if any of its child-items is selected.

16.2.1.4. Section 4: Evaluation characteristics: Design

Outline of the section:

- Content in the section: Items from FC related data.
- Sub-section item type: The sub-section items in this section are searchable.
- Combination logic:
 - Between sub-sections: OR.
 - Between child-items in same sub-section: OR
 - Between a searchable sub-section item and its child-items: If any of the children are selected, the sub-section item's status should be ignored even if it's selected.
- a) Experimental
 - Sub-section is searchable, and matches into question Q3.1.a in table [FJQuestion].
 - No child under this sub-section.
- b) Quasi-experimental
 - Sub-section is searchable, and matches into question Q3.1.b in table [FJQuestion].
 - 3 child-items in this sub-section, matching into questions Q3.1.1.a~c in table [FJQuestion].
 - Note the status of the sub-section should be ignored if any of its child-items is selected.

- c) Non-Experimental
 - Sub-section is searchable, and matches into question Q3.1.c in table [FJQuestion].
 - No child under this sub-section.
- d) Included explicit comparison/benchmarking with similar measures
 - Sub-section is searchable, and matches into question Q3.2.a in table [FJQuestion].
 - No child under this sub-section.
- e) Benchmarked against previous phases/evaluations of programme/measure
 - Sub-section is searchable, and matches into question Q3.3.a in table [FJQuestion].
 - No child under this sub-section.

16.2.1.5. Section 5: Evaluation characteristics: Data collection methods

Outline of the section:

- Content in the section: Items from FC related data.
 - Sub-section item type: The sub-section items in this section are searchable.
 - Combination logic:
 - Between sub-sections: OR.
 - Between child-items in same sub-section: OR
 - Between a searchable sub-section item and its child-items: If any of the children are selected, the sub-section item's status should be ignored even if it's selected.
- a) Existing databases & monitoring data
 - Sub-section is searchable, and matches into question Q4.1.1.a in table [FJQuestion].
 - 2 child-items in this sub-section, matching into questions Q4.1.1.1.a~b in table [FJQuestion].
 - Note the status of the sub-section should be ignored if any of its child-items is selected.
 - b) Surveys
 - Sub-section is searchable, and matches into question Q4.1.2.a in table [FJQuestion].
 - 6 child-items in this sub-section, matching into questions Q4.1.2.1.a~f in table [FJQuestion].
 - Note the status of the sub-section should be ignored if any of its child-items is selected.
 - c) Interviews
 - Sub-section is searchable, and matches into question Q4.1.3.a in table [FJQuestion].
 - 6 child-items in this sub-section, matching into questions Q4.1.3.1.a~f in table [FJQuestion].
 - Note the status of the sub-section should be ignored if any of its child-items is selected.
 - d) Focus groups/workshops/meetings
 - Sub-section is searchable, and matches into question Q4.1.4.a in table [FJQuestion].
 - No child under this sub-section.
 - e) Peer reviews (inc. stakeholder reviews)
 - Sub-section is searchable, and matches into question Q4.1.5.a in table [FJQuestion].
 - No child under this sub-section.
 - f) Formalised data on IP (patents, etc.)
 - Sub-section is searchable, and matches into question Q4.1.6.a in table [FJQuestion].
 - No child under this sub-section.

- g) Publications data
 - Sub-section is searchable, and matches into question Q4.1.7.a in table [FJQuestion].
 - No child under this sub-section.
- h) Altmetrics data
 - Sub-section is searchable, and matches into question Q4.1.8.a in table [FJQuestion].
 - No child under this sub-section.
- i) CV data
 - Sub-section is searchable, and matches into question Q4.1.9.a in table [FJQuestion].
 - No child under this sub-section.
- j) Longitudinal tracking data
 - Sub-section is searchable, and matches into question Q4.1.10.a in table [FJQuestion].
 - No child under this sub-section.
- k) Site visits
 - Sub-section is searchable, and matches into question Q4.1.11.a in table [FJQuestion].
 - No child under this sub-section.
- l) Other
 - Sub-section is searchable, and matches into question Q4.1.12.a in table [FJQuestion].
 - No child under this sub-section.

16.2.1.6. Section 6: Evaluation characteristics: Data analysis methods

Outline of the section:

- Content in the section: Items from FC data.
- Sub-section item type: The sub-section items in this section are searchable.
- Combination logic:
 - Between sub-sections: OR.
 - Between child-items in same sub-section: OR
 - Between a searchable sub-section item and its child-items: If any of the children are selected, the sub-section's status should be ignored even if it's selected.
- a) Case study analysis
 - Sub-section is searchable, and matches into question Q5.1.1.a in table [FJQuestion].
 - No child under this sub-section.
- b) Network analysis
 - Sub-section is searchable, and matches into question Q5.1.2.a in table [FJQuestion].
 - No child under this sub-section.
- c) Econometric analysis
 - Sub-section is searchable, and matches into question Q5.1.3.a in table [FJQuestion].
 - No child under this sub-section.
- d) Descriptive statistics

- Sub-section is searchable, and matches into question Q5.1.4.a in table [FJQuestion].
 - No child under this sub-section.
- e) Input/output, cost/benefit, return-on-investment analysis
- Sub-section is searchable, and matches into question Q5.1.5.a in table [FJQuestion].
 - No child under this sub-section.
- f) Intellectual property (IP) data analysis
- Sub-section is searchable, and matches into question Q5.1.6.a in table [FJQuestion].
 - 2 child-items in this sub-section, matching into questions Q5.1.6.1.a~b in table [FJQuestion].
 - Note the status of the sub-section should be ignored if any of its child-items is selected.
- g) Publications data analysis
- Sub-section is searchable, and matches into question Q5.1.7.a in table [FJQuestion].
 - 2 child-items in this sub-section, matching into questions Q5.1.7.1.a~b in table [FJQuestion].
 - Note the status of the sub-section should be ignored if any of its child-items is selected.
- h) Altmetrics data analysis
- Sub-section is searchable, and matches into question Q5.1.8.a in table [FJQuestion].
 - No child under this sub-section.
- i) Qualitative/quantitative text analysis
- Sub-section is searchable, and matches into question Q5.1.9.a in table [FJQuestion].
 - No child under this sub-section.

16.2.1.7. Section 7: Evaluation characteristics: Document properties

Outline of the section:

- Content in the section: Document languages and categories.
- Sub-section item type: The sub-section items in this section are unsearchable.
- Combination logic:
 - Between sub-sections: AND.
 - Between child-items in same sub-section: OR.

a) Language

Document language list from [SCDetail] table will be displayed for user to select. Only 4 languages are listed as individual items, the 5th item (other languages) will cover all the rest of the languages in [DocLanguage] table.

b) Category

Document category list from [SCDetail] table will be displayed for user to select.

16.2.2. CS panel – Search criteria summary and actions

Summary of the selected search criteria will be displayed to reflect the selection in the CB panel. Two buttons are in the panel for user to take action.

16.2.2.1. Search criteria summary

Once a searchable item is selected in the CB panel, it will show in the CS panel; and it will be removed from the summary if it's deselected.

Items will be displayed in different colours to indicate their type/status:

- A searchable item, including a searchable sub-section item or a child-item, will be displayed as white text on blue background.
- Searchable but not-selected sub-section items and unsearchable sub-section items will need to be displayed if some of their child-items are selected. These sub-section items will be displayed as white text on grey background.

A button is available for user to show or hide the criteria selection summary in this panel.

16.2.2.2. Search button

[Search] button is available in this panel for user to start search with the criteria in the summary.

If the button is clicked with no search criteria selected, a full evaluation list will be returned.

The search criteria will be applied in order, starting with the simple ones and the ones in unsearchable sub-sections. More details in relevant sections below.

16.2.2.3. Clear criteria button

[Clear criteria] button is available in this panel for user to clear the already selected search criteria and start again.

16.2.3. SR panel – Search result

Search result will be presented as a list of matching evaluations, with sorting / paging functions. Columns include EvaluationTitle, Country and PublicationYear. By default the list will be sorted by country then title.

Evaluation title will be clickable, pointing to the evaluation detail page.

16.2.4. Search process and rules

16.2.4.1. Section 1: Related policy measure characteristics

The sub-section items in this section are unsearchable, searches are done for child-items only. Since the combination logic between sub-sections in this section is AND, the evaluations will be filtered through the selected search criteria by sub-section.

- a) PL's geographical area data
 - When a country is selected, search should be done in two ways: for PL's country in [PLSummary], and in PL's multiple country list if that's applicable (in [PLAdditionalCountry]). For example, if a PL is for multiple countries, and the selected country is contained in the multiple country list, this PL should be considered as a match, therefore searched for in evaluations.
 - When multiple countries or supranational body is selected it should be treated as a single country item.
 - Country items are combined by OR.
 - Matching evaluations will be identified via table [PLUsage].
- b) PL data
 - Selected PL items will be searched against in table [PLDetail], combined by OR between items in same sub-section.
 - Matching evaluations will be identified via tables [PLSummary] and [PLUsage].

16.2.4.2. Section 2: Evaluation characteristics: Basic

The sub-section items in this section are unsearchable, searches are done for child-items only in the evaluations that match the search criteria selected in Section 1.

Since the combination logic for sub-sections in this section is AND, the evaluations left will be filtered through the selected search criteria by sub-section.

- a) Evaluation's geographical area data
 - When a country item is selected, search should be done for evaluation's country (in [Evaluation]), and in its multiple country list if that's applicable (in [FJAdditionalCountry]). Evaluations will be identified via [FJSummary].
 - When multiple countries or supranational body is selected it should be treated as a single country item.
- b) Published period
 - Matching evaluations will be identified by PublishedYear in [Evaluation].
 - Search can be done for starting or ending year only.

c) Evaluation performer

For selected child-items, find the related FC questions by [MatchingQId] in [SCDetail] (in this case it will be questions Q1.1.a~c in table [FJQuestion]), search for these questions in table [FJDetail], and identify the matching evaluations via [FJSummary].

d) Timing of the evaluation

Similar to c), but the questions to be searched for in table [FJDetail] are Q1.2.a~d.

e) Purpose of the evaluation

Similar to c), but the questions to be searched for in table [FJDetail] are Q1.3.a~c.

f) Reference to programme logic

Similar to c), but the questions to be searched for in table [FJDetail] are Q1.4.a~c.

16.2.4.3. Section 3~6: Evaluation characteristics: Topics covered / Design / Data collection methods / Data analysis methods

The sub-section items in these sections are searchable (except the first one in Section 3 – Appropriateness).

Combination logic:

- Between sub-sections: OR.
- Between child-items in same sub-section: OR
- Between a searchable sub-section item and its child-items: If any of the children are selected, the sub-section item's status should be ignored even if it's selected.

Searching process:

For selected searchable sub-section item and/or child-item, find its related FC question by [MatchingQId] in table [SCDetail], search for the FC questions in table [FJDetail], and identify the matching evaluations via [FJSummary].

The same process should be applied to all 4 sections one by one.

16.2.4.4. Section 7: Evaluation characteristics: Document properties

The sub-section items in this section are unsearchable, searches are done for child-items only.

a) Language only

- Search will be done in [Document] table and matching evaluations will be identified accordingly.
- When individual languages are selected, search for it/them; When “Other languages” is selected, search will be done for any language except the not-selected individual languages.

b) Category only

- Search will be done in [Document] table for selected category, and matching evaluations will be identified accordingly.

c) Both Language and category

Search should be done for language-category pair, not individually, as indicated in the example below:

Search criteria: Language1 (L1), Language2(L2), Category1(C1), Category2(C2)

Matching documents should be L1+C1 or L1+C2 or L2+C1 or L2+C2

Note document's category and language names can be updated in the SiperPortalAdmin site by SU, the change won't affect the texts used here which need to be updated in the database.

“Appendix 11 – Searching rules” contains more technical details on searching rules.

Mock page – Main search page

A Web Page

Science and Innovation Policy Evaluation Repository (Siper)

Home
Repository
About
Publications
News & events
Contact

Search in Siper Repository

Select your search criteria

Please click on the search options panels below to show/hide details of search criteria.

1: Related policy measure characteristics

1 Geographical area

2 Target group

☐ Individuals

☐ Universities

.....

3 Modality

4 Objective

Search criteria builder (CB) panel:
 Only one section in the accordion is expanded at a time
 Non-selectable sub-sections highlighted in red, selectable ones green
 Checkboxes are attached to all selectable items

Additional explanation message
 will appear when user hovers
 mouse over an item's text

2: Evaluation characteristics: Basic

3: Evaluation characteristics: Topics covered

4: Evaluation characteristics: Design

5: Evaluation characteristics: Data collection methods

6: Evaluation characteristics: Data analysis methods

7: Document properties

Summary of your selected search criteria

Hide / show the search criteria summary
Hide

1: Related policy measure characteristics

1.2: Target group

1.3: Modality

Individuals Universities

Direct financial support: scholarships, fellowships, etc.

2: Evaluation characteristics: Basic

3: Evaluation characteristics: Topics covered

4: Evaluation characteristics: Design

5: Evaluation characteristics: Data collection methods

6: Evaluation characteristics: Data analysis methods

7: Document properties

7.1: Language

7.2: Category

English French

Appendices Executive summary Main report Multipurpose Other Terms of reference

Search criteria summary (CS) panel:
 Once an item is selected in CB panel it will be displayed here.
 Selected searchable items are highlighted.

Search

Clear criteria

Search result

| # | Title | Country | Year |
|-------|--|--------------------|------|
| 1 | Harry Potter and the Philosopher's Stone | United Kingdom | 2011 |
| 2 | Harry Potter and the Chamber of Secrets | USA | 2010 |
| 3 | Harry Potter and the Prisoner of Azkaban | Multiple countries | 2014 |
| 4 | Harry Potter and the Goblet of Fire | Supranational body | 2015 |
| | | | |

Search result (SR) panel:
 Matching evaluations are displayed
 in a list with paging/sorting facilities

(Site footer)

16.3. Evaluation detail page

The details of a selected evaluation from the search result list will be displayed in this page.

The selected evaluation's title is on top of the page, its details are displayed in 3 panels:

- Basic data and document
- PL
- FC

[Return to search] button is available on top of the page to take user back to the main search page. User can also go to main search page by clicking the menu item for "Repository".

A search criteria summary panel is always visible at the bottom of the page, for information purpose.

16.3.1. Basic data and document panel

Details available in this panel include the following:

a) Basic evaluation data

- Titles:
 - The English title
 - The one in native language if applicable
- Evaluation's geographical area related information, it can be one of the following:
 - A single country, with additional information on national or regional level
 - Multiple countries, with all the country names
 - A supranational body
- Author
- Published year

b) Documents

- List of uploaded documents (including both publishable and non-publishable ones), covering documents' name, category, language, and publishable flag.
- For publishable ones there will also be a button pointing to the full content of the PDF file (will be opened in a separate browser tab).

Data is retrieved from various tables in the database, including [Evaluation], [Document], [FJSummary], [FJAdditionalCountry], etc.

A button is available for user to show or hide this panel.

Mock page – Evaluation detail page, basic data and document panel:

A Web Page
http://

University Logo
Science and Innovation Policy Evaluation Repository (Siper)
RISIS Logo

Home
Repository
About
Publications
News & events
Contact

Harry Potter and the Philosopher's Stone
Return to search

Basic information
Hide

Title (English) Harry Potter and the Philosopher's Stone

Title (Native) 哈利·波特与魔法石

Country United Kingdom, national level
OR Multiple countries: France, Spain, United Kingdom
OR EUREKA

Author J K Rowling

Published year 1997

Document(s)

| # | Document name | Category | Language | Publishable | View/Download |
|---|--------------------|------------------|----------|-------------------------------------|---------------|
| 1 | E_GB_0001_MR_EN_01 | Main report | English | <input checked="" type="checkbox"/> | |
| 2 | E_GB_0001_ES_EN_01 | Excutive summary | English | <input type="checkbox"/> | |
| 3 | E_GB_0001_MP_ZH_01 | Multipurpose | Chinese | <input checked="" type="checkbox"/> | |

Publishable document's content can be viewed / downloaded in a separate tab

Policy measure related information
Show

Factual characterisation related information
Show

Summary of your selected search criteria

1: Related policy measure characteristics

12: Target group Individuals Universities

13: Modality Direct financial support: scholarships, fellowships, etc.

7: Document properties

7.1: Language English French

7.2: Category Appendices Executive summary Main report Multipurpose Other Terms of reference

Search condition summary (CS) panel:
Only the sections containing selected items will be displayed.

(Site footer)

16.3.2. PL panel

Details showing in this panel are PL related data.

a) PL lists used by the evaluation, including PL's title and country (or multiple countries, or supranational body).

b) Full PL details

Full details for PLs used in current evaluation will be displayed in the box, including

- PL's title
- Geographical area information:
 - For a single country: Country name, with additional information on national / regional level.
 - For multiple countries: All the country names.
 - For supranational body: The body name.
- PL items in 3 groups: Only the selected ones will be displayed in each group.

A button is available for user to show or hide the PL detail box.

Data is retrieved from tables [PLSummary], [PLQuestion], [PLDetail], [PLAdditionalCountry] etc.

A button is available for user to show or hide the PL panel. A show/hide button for PL detail part is also available within the PL panel. The default status for selected PL detail box is hidden.

Mock page – Evaluation detail page, PL panel, PL detail panel is hidden:

A Web Page

← → × ↶

http://

Q

University Logo

Science and Innovation Policy Evaluation Repository (Siper)

RISIS Logo

[Home](#) [Repository](#) [About](#) [Publications](#) [News & events](#) [Contact](#)

Harry Potter and the Philosopher's Stone

Return to search

Basic information

Show

Policy measure related information

Hide

Policy measures used by the evaluation

| # | Title | Country |
|-------|---------------------------------------|--------------------|
| 1 | PL_GB_0001 aaaaaaaaaaaaaaaaaaaaaaaaaa | United Kingdom |
| 2 | PL_Z1_0003 bbbbbbb bbbbb bbbb b | Multiple countries |
| 3 | PL_Z2_0001 cc cccc cccccccc ccc | Supranational body |
| | | |

Policy measure details

Hide / show the PL details

show

Factual characterisation related information

Show

Summary of your selected search criteria

1: Related policy measure characteristics

12: Target group

13: Modality

7: Document properties

7.1: Language

7.2: Category

Individuals Universities

Direct financial support: scholarships, fellowships, etc.

English French

Appendices Executive summary Main report Multipurpose Other Terms of reference

Search condition summary (CS) panel:
Only the sections containing selected items will be displayed.

(Site footer)

Mock page – Evaluation detail page, PL panel, PL detail panel is shown:

A Web Page

X

http://

University Logo

Science and Innovation Policy Evaluation Repository (Siper)

RISIS Logo

Home

Repository

About

Publications

News & events

Contact

Harry Potter and the Philosopher's Stone

Return to search

Basic information

Show

Policy measure related information

Hide

Policy measures used by the evaluation

| # | Title | Country |
|---|------------------------------------|--------------------|
| 1 | PL_GB_0001 aaaaaaaaaaaaaaaaaaaaaaa | United Kingdom |
| 2 | PL_Z1_0003 bbbbbbb bbbbb bbbb b | Multiple countries |
| 3 | PL_Z2_0001 cc cccc ccccccc ccc | Supranational body |

Policy measure details

Hide / show the PL details

Hide

PL_GB_0001 aaaaaaaaaaaaaaaaaaaaaaa

Geographic area:

United Kingdom, national level

Title in native language:

神奇动物在哪里

Targets (Recipient of the support):

* Universities
* Research Organisations
* Public organisations - non-R&D performing
* Firms (no size-specific focus)

Modalities (How support is provided):

* Indirect financial support: tax & fiscal incentives (e.g. R&D credits)
* Infrastructure support (e.g. access to & construction/upgrading of research infrastructure)
* Non-financial support (e.g. training ,coordination & advisory/information support/provision)

Policy objectives (Why the support is provided):

* Supporting broader (multiple) interactions (e.g. through clusters or networks)
* Supporting the protection of IP

PL_Z1_0003 bbbbbbb bbbbb bbbb b

Geographic area:

Multiple countries: France, Spain, United Kingdom

Title in native language will only be displayed if it exists

Targets (Recipient of the support):

* Universities

Modalities (How support is provided):

* Infrastructure/upgrading of research infrastructure

Policy objectives (Why the support is provided):

* Supporting broader (multiple) interactions (e.g. through clusters or networks)

PL_Z2_0001 cc cccc ccccccc ccc

Factual characterisation related information

Show

Summary of your selected search criteria

1. Related policy measure characteristics

12: Target group

Individuals Universities

13: Modality

Direct financial support: scholarships, fellowships, etc.

7. Document properties

7.1: Language

English French

7.2: Category

Appendices Executive summary Main report Multipurpose Other Terms of reference

Search condition summary (CS) panel:
Only the sections containing selected items will be displayed.

(Site footer)

16.3.3. FC panel

Details showing in this panel are the publishable FC questions (questions in FC section 1 to 5) and answers.

The data will be grouped by FC section. Only the selected items are displayed in each section.

The question texts used to display FC details are different from those used in SiperPortalAdmin site when FC data is entered. These texts are stored in field [QTextPubSite] in table [FJQuestion] and are only used for the pubic site. The answer data is from tables [FJSummary], [FJDetail], [FJAdditionalCountry], etc.

A button is available for user to show or hide the FC panel. Within the panel, a button is available for each FC section too, user can use the button to show or hide a section.

Mock page – Evaluation detail page, FC panel (no detailed mock pages for FC sections):

A Web Page

Science and Innovation Policy Evaluation Repository (Siper)

Home
Repository
About
Publications
News & events
Contact

Harry Potter and the Philosopher's Stone

[Return to search](#)

Basic information
Show

Policy measure related information
Hide

Factual characterisation related information
Show

Section 1: Basic Characteristics
Hide

1.1: Evaluation performer
 External to programme (within government, including court of auditors)
 External to programme and government ('independent')

1.2: Timing of the evaluation
 Ex ante (before the implementation of the measure/programme)

1.3: Purpose of the evaluation
 Summative (descriptive, judgemental)
 Formative (developmental, supporting)
 Other:

1.4: Reference to programme logic
 Partially included

FC panel in evaluation detail page:
 5 panels for 5 FC sections.
 In a FC section panel, only the details of
 selected items will be displayed.

FC question texts are different from those
 in admin and PM sites

Section 2: Topics Covered
Show

Section 3: Evaluation Design
Show

Section 4: Data Collection Methods
Show

Section 5: Data Analysis Methods
Show

Summary of your selected search criteria

1: Related policy measure characteristics

| | |
|------------------|---|
| 12: Target group | Individuals Universities |
| 13: Modality | Direct financial support: scholarships, fellowships, etc. |

7: Document properties

| | |
|---------------|--|
| 7.1: Language | English French |
| 7.2: Category | Appendices Executive summary Main report Multipurpose Other Terms of reference |

Search condition summary (CS) panel:
 Only the sections containing selected
 items will be displayed.

(Site footer)

17. Technical overview

17.1. General information

- The application will be written with MVC4 / .Net 4.5 / AngularJS, JQuery / Bootstrap will also be used. Data will be stored in MS SQL database.
- The application's databases will be hosted on server SQLDef.dbs.ds.man.ac.uk, 6503 (SQL Server 2012).
 - Testing database: [HumSiperPortalDev]
 - Production database: [HumSiperPortal]
- The website will have its own external domains:

si-per.eu / si-per.com / si-per.uk / si-per.net

- The web application will be hosted on the University's servers:
 - Testing site:

\\hum-devnet.humanities.manchester.ac.uk\SiperPortalPublic

URL: <http://webnet.humanities.manchester.ac.uk/SiperPortalPublic/>

- Production site:

\\publishwwf.ds.man.ac.uk\HUM\SiperPortalPublic

URLs: si-per.eu / si-per.com / si-per.uk / si-per.net

The URL si-per.eu will be the prime one.

- The publishable documents are uploaded by authenticated SiperPortalAdmin site, but stored outside of the admin site to ensure those documents are accessible by the SiperPortalPublic site. Folders for publishable documents:

- Testing site:

\\hum-devnet.humanities.manchester.ac.uk\SiperPortalUploads

- Production site:

\\publishwwf.ds.man.ac.uk\HUM\SiperPortalUploads

17.2. Data schema

The application uses the same database [HumSiperPortal]. The schema is in file "Appendix 4 – Data schema".

17.3. Table details

Please refer to file "Appendix 7 – Data table details".

17.4. Tracking the site's usage with Google Analytics

An Google account is set up in order to use the Google Analytics to track the site's usage. The account details are as follows:

Email: siper.team@gmail.com

Password: s!perteam

To check the usage of your site, go to www.google.com/analytics/ and sign in to the Google Analytics (top-right corner) with this account. Note the setting is done by the University's IT, the tracking URL used is the prime one, i.e. si-per.eu, and attached to the above Google account. Any change request should be raised to the IT Support Centre.

17.5. Related documents

For application SiperPortalAdmin see "P00418b – SiperPortalAdmin" for details.

18. Assumptions and other notes

Same as in “P00418b – SiperPortalAdmin”.

19. Glossary

Same as in “P00418b – SiperPortalAdmin”.

20. Contacts

Same as in “P00418b – SiperPortalAdmin”.