Performance-Based Research Fund

Quality Evaluation Guidelines 2012

May 2013

Clarifications to the PBRF Guidelines 2012

April 2011	The addition of information on the use of Accepted Manuscripts – Section 2C. Addition of a 'Source element' to the Nominated Research Output to identify where an item is published or made available – Section 2C. The 'Other Comments' element has been removed from the 'Other Research Output' and added to the overall Evidence Portfolio which is the same as in 2006 – Section 2C.
May 2011	A revised definition of 'staff' – Section 2B and Glossary. Additional information regarding a 'major role' – Section 2B. Revised wording to ensure that TEOs understand that employees and contractors that meet the staff eligibility criteria are assessed for PBRF eligibility – Section 2B. Clarification of staff to be included in the PBRF Census – Section 2B.
June 2011	Addition of the four Professional and Applied expert advisory group sub-groups – Section 2H.
November 2011	Significant amendments include: Key dates for the 2012 Quality Evaluation – Section 1C Additional information on Accepted Manuscripts – Section 2C Inclusion of Canterbury Earthquakes Special Circumstances information – Section 2 F Forms of Evidence, Media and Formats Required for Research Outputs – Chapter 7 Removal of the index in the online version of the Guidelines. Minor amendments include: Amending meaning of "principal" place for participation criteria for overseas-based staff – Section 2B Elaboration of wording in the New and Emerging criteria – Section 2B Clarification of transferring staff information in relation to the Census data to be submitted – Section 2B Clarification of information on staff concurrently employed by two or more TEOs – which TEOs submits the EP – Section 2B Addition of examples for the 0.2 FTE criteria – Section 2B Inclusion of reference to alternative assessment period for Canterbury Earthquakes special circumstances – Section 2C Clarification of advice regarding treatment of co-authors of NROs – Section 2C Information on determining referral to the Expert Advisory Groups – Section 2H Clarification of the roles of EAG Chairs and Sub-Chairs – Section 3A Update of the Panel Assessment Process to clarify the cross-referral scoring process – Section 3A Inclusion of EAG scoring system – Section 3A Moved "Additional rules" from Section 3C to the scoring section 3A Updated wording on the use of specialist advice by the EAG – Section

	3B The percentage of NROs to be examined increased to 25% – Section 3D Update of the process for requesting an NRO – Section 3D The Conflict of Interest Guidelines have been updated regarding conflict at institute and faculty level – Section 3G The date for the CEO's Declaration to be returned has been added – Section 6A Glossary – PBRF Census definition amended to reflect the requirement for all staff data to be submitted Glossary – added URI definition
February 2012	Revised Complaints Process – Chapter 5 Clarification of whether revised or modified versions of outputs submitted in previous Quality Evaluations can be included – Section 2C A small revision to one impact definition by removing the word 'universities' in order to not exclude other TEOs types that have been affected by the Canterbury Earthquakes - Section 2F Clarification that EPs can be referred to the Pacific Research Expert Advisory Group and one of the four Professional and Applied Research Expert Advisory Group if the EP meets the criteria for each group – Section 2H An additional section has been included on the process for staff members requesting their results from the 2012 Quality Evaluation – Section 4C
May 2012	The Declaration of CEOs for TEOs has been updated. Additional wording added to item c) – Chapter 6
September 2012	Corrected deadline for completion of preparatory scores by all panellists to 18 October 2012 (from 19 October 2012) – Section 1C
February 2013	Update to Key dates for the 2012 Quality Evaluation (Reporting of Final Quality Categories and complaints process timing updated) – Section 1C Updates to Section 4A – Reporting the PBRF Results to align with revised reporting framework, specifically changes made to how TEC will report Quality Evaluation data, including formulae and calculating information on AQS (N), AQS(E) and its subset of post-graduate EFTS and AQS(S); clarifying that 2003 and 2006 Quality Evaluation results will also be updated using the same formulae as being used for the 2012 Quality Evaluation so that comparisons and changes in research quality can be measured over time Updates to Section 4C – Clarified that staff should request their EPs from the TEO that submitted it to TEC; addition of attention/subject lines for requesting results; and clarification that TEC will not releaseinformation to individual researcher until the results have been received by TEOs.
April 2013	Additional operational details regarding the complaints process – Chapter 5
May 2013	Extended complaints deadline – Updates to Section 1C (key dates) and Chapter 5

The TEC supports and encourages the use of electronic file management; refer to www.tec.govt.nz for the most up to date version. Use the hyperlinks to navigate through sections of interest.

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Preface from the Chief Executive

The publication of the Guidelines for the 2012 PBRF Quality Evaluation is the culmination of a great deal of valuable work carried out by the tertiary education sector and TEC staff. I would particularly like to thank the Sector Reference Group for the major contribution they have made and for their hours of careful and insightful work. One of the key strengths of the PBRF as a funding mechanism is the fact that the sector has had an influence on its design. The Sector Reference Group continues to have an important role in ensuring this.

In these Guidelines we have taken into account the strong sector preference for minimal change in the operations of the Quality Evaluation and balanced this with the need to make improvements in a small number of areas. Overall, we have introduced little substantive change. Possibly the key change is the introduction of two expert advisory groups, one in the area of Professional and Applied Research and the other for Pacific Research.

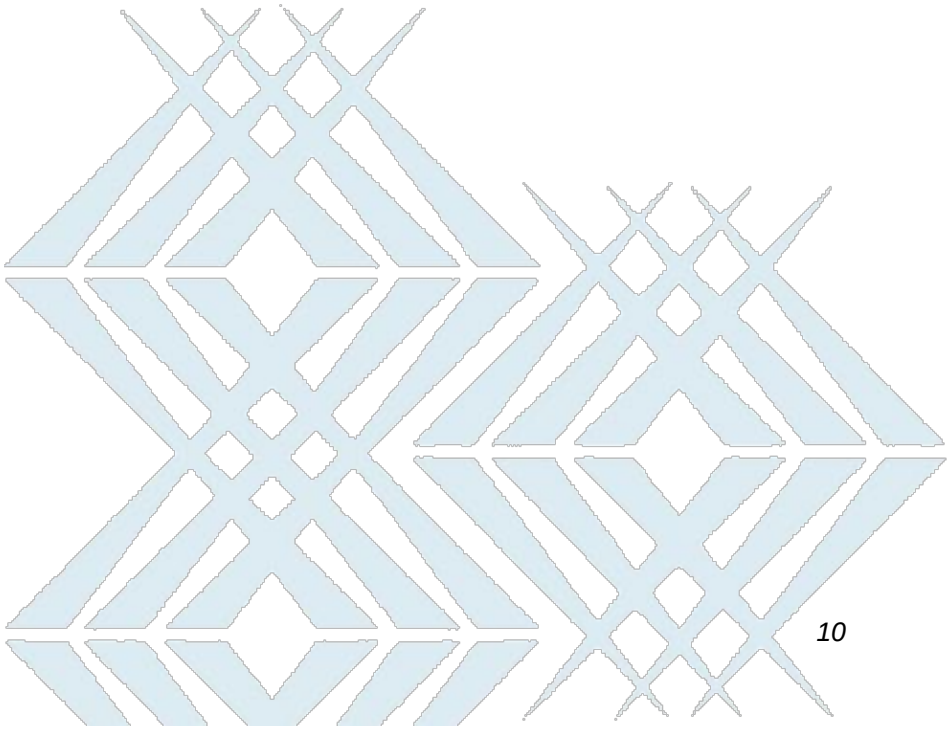
The Guidelines represent our combined best effort to make the Quality Evaluation policies and processes fully transparent and fit-for-purpose. The 2012 Quality Evaluation is two years away. The sector wished to have the Guidelines published earlier than previously and we are pleased to have achieved this. We intend to publish the panel-specific guidelines in the middle of 2011.

We know the Guidelines can not be expected to cover in detail all eventualities. However, we expect their intent to guide us all through the range of situations that will arise as researchers and institutions prepare for and participate in the 2012 Quality Evaluation.

The PBRF is widely recognised as being successful in achieving its objectives to date. It remains the most important policy development for tertiary education research in New Zealand. Importantly, though, if the PBRF is to continue to meet its objectives then all participating institutions must demonstrate a willingness to support it, both in spirit and in detail. This will ensure the integrity of the PBRF and therefore the confidence which is placed in it. We all need that for the future of research in New Zealand.

Dr Roy Sharp
Chief Executive (2010)
Tertiary Education Commission

CHAPTER 1
BACKGROUND & INTRODUCTION TO THE PERFORMANCE-BASED RESEARCH FUND



Overview of this Chapter

Chapter 1 of the Guidelines provides a general description of the background, concepts and processes involved in the Performance-Based Research Fund (PBRF).

It also details the major differences between the 2006 and the 2012 Quality Evaluations.

It is intended for participants in the PBRF during 2012, and for anyone else who is unfamiliar with the PBRF and needs to know why it was set up and what its key elements are.

It contains the following sections ……. on these pages:

Section A:
Using these Guidelines *10*

Section B:
Background and Aims of the Performance-Based Research Fund *14*

Section C:
Key Elements and Participants *19*

Section D:
What Counts as Research? *25*

Section E:
TEO Participation *27*

Section F:
Differences between the 2006 and 2012 Quality Evaluations *29*

Section A: Using these Guidelines

Introduction

These Guidelines have been prepared to assist participants in the PBRF 2012 Quality Evaluation.

Structure and audience

The Guidelines are divided into chapters. Chapters are subdivided into sections, and sections are further subdivided into topics. Chapters, sections and topics are listed in the table of contents.

Each chapter has a primary audience for which it is intended. The chapters and their primary audience are listed in the following table.

Chapter	Title	Primary Audience
1	Background & Introduction to the Performance-Based Research Fund (PBRF)	All users of these Guidelines
2	Quality Evaluation: Completion and Submission of Evidence Portfolios	Tertiary Education Organisations (TEOs)
3	Quality Evaluation: Assessing, Scoring and Assigning a Quality Category to Evidence Portfolios	• TEOs • Panel Chairs • Panel members • Members of expert advisory groups • Specialist advisers
4	Reporting the PBRF Results	TEOs
5	Complaints about Quality Categories Assigned to Evidence Portfolios	TEOs
6	Audits	All users of these Guidelines
7	Form of Evidence, Media and Formats Required for Research Outputs	All users of these Guidelines
	Glossary	All users of these Guidelines

Which chapters are relevant?

If you are a user of the Guidelines you will be most concerned with the chapter(s) specifically designed for you, but other chapters may also be useful. For example, if you are putting together an Evidence Portfolio (EP), you will benefit from considering the material in Chapter 3, which deals with how EPs are assessed and how they have a Quality Category assigned to them.

Navigating the online version

The online version of these Guidelines contains internal links to help you navigate the document. The links within the text are **shown in royal blue (as per this example).** Links can also be recognised by the fact that when the cursor passes over them, a text box appears saying **"CTRL + click to follow the link".** The links in the table of contents and the index are the default colour (black).

In general, you can find links in the following places:

- **The table of contents and the index**
- **The table of topics at the beginning of each chapter or section**
- **Within the text, where references are signalled by 'see …**'

Section B: Background and Aims of the Performance-Based Research Fund

Introduction

This section of the Guidelines provides a brief overview of the PBRF and its guiding principles.

It contains the following topics …… on these pages:

Background to the PBRF 14
Guiding Principles of the PBRF 17
Māori Research 17
Pacific Research 18

Background to the PBRF

Establishment of PBRF Working Group

The Tertiary Education Advisory Commission in its November 2001 report, *Shaping the Funding Framework*, recommended the introduction of a performance-based research fund for tertiary education providers. This led to the establishment, in July 2002, of the PBRF Working Group to advise the then Transition Tertiary Education Commission and the Ministry of Education on the detailed design and implementation of a performance-based system for funding research in New Zealand's degree-granting institutions.

PBRF Working Group Report

The report of the Working Group, *Investing in Excellence*, was delivered in late 2002, and Cabinet endorsed the report's recommendations in December 2002. These recommendations have subsequently formed the basis for the implementation of the PBRF as described in these Guidelines.

Previous Quality Evaluations

The 2003 Quality Evaluation was the first Quality Evaluation carried out as part of the PBRF. It was conducted during 2003 and the final report, *PBRF-Evaluating Research Excellence: the 2003 assessment*, was released early in 2004.

The 2006 Quality Evaluation was the second Quality Evaluation carried out as part of the PBRF. The 2006 Quality Evaluation was a partial round. It was conducted during 2006 and the final report, *PBRF-Evaluating Research Excellence: the 2006 assessment*, was released in 2007.

Evaluation strategy

The Government called for an evaluation strategy for the PBRF when the policy was first introduced. The evaluation strategy has three phases and operates for an approximate ten year period from mid 2004 to late 2014. Phase one focused upon the design and implementation of the 2003 Quality Evaluation, in particular:

- An evaluation of the implementation process (especially in relation to the 2003 Quality Evaluation)
- The short-term impacts of the PBRF on the tertiary education sector, including modelling the likely financial implications of the PBRF for TEOs during 2004-2007
- The results of the Quality Evaluation and what these reveal about the overall quality of research being conducted in the tertiary education sector, the main areas of research strength and weakness, and the relative research performance of the TEOs that have participated in the PBRF.

Phase two of the evaluation strategy was an independent strategic review of the positive effects and unintended consequences of the PBRF on the sector.

The Tertiary Education Commission (TEC) engaged an international expert, Dr Jonathan Adams of UK-based company Evidence Ltd, to conduct this review, which took place in 2008.

Dr. Adams' work involved:

- an extensive series of individual interviews
- focus groups
- group interviews
- reading written submissions from interested parties
- reviewing a series of quantitative studies prepared by researchers at the TEC and the Ministry of Education.

The Adams report can be accessed in full on the TEC website. http://www.tec.govt.nz/

Phase three, the longer-term phase, will focus on whether the PBRF has fulfilled its stated objectives and whether the overall benefits have exceeded the costs. Phase three will be undertaken after the 2012 Quality Evaluation.

Lessons from 2006 and preparations for 2012

The experience gained in the 2003 and 2006 Quality Evaluations was used to provide input into the redesign of the PBRF in preparation for the 2012 Quality Evaluation. Following consultation with the sector, a Sector Reference Group (SRG) was formed to consider the issues highlighted by the implementation of the 2006 Quality Evaluation, the Adams report, and the reports of the peer review panels.

The SRG's report, *Recommendations of the PBRF Sector Reference Group for the 2012 Quality Evaluation*, details the outcome of the SRG's deliberations and the extensive consultation with the sector. The recommendations of the SRG have been incorporated into this document.

Aims of the PBRF

The main aims of the PBRF, as agreed by government, are to:

- Increase the average quality of research
- Ensure that research continues to support degree and postgraduate teaching
- Ensure that funding is available for postgraduate students and new researchers
- Improve the quality of public information on research outputs
- Prevent undue concentration of funding that would undermine research support for all degrees or prevent access to the system by new researchers
- Underpin the existing research strength in the tertiary education sector.

Emphasis on excellence

In order to meet these aims, the prime focus of the PBRF is on rewarding and encouraging excellence. Excellence in this respect is not just about the production of high-quality research articles, books, exhibitions and other forms of research output. It also includes all of the following:

- The production and creation of leading-edge knowledge
- The application of that knowledge
- The dissemination of that knowledge to students and the wider community
- Supporting current and potential researchers (eg. postgraduate students) in the creation, application and dissemination of knowledge.

Guiding Principles of the PBRF

Guiding principles

The PBRF is guided by the following principles:

- *Comprehensiveness*: the PBRF should appropriately measure the quality of the full range of original investigative activity that occurs within the sector, regardless of its type, form, or place of output
- *Respect for academic traditions*: the PBRF should operate in a manner that is consistent with academic freedom and institutional autonomy
- *Consistency*: evaluations of quality made through the PBRF should be consistent across the different subject areas and in the calibration of quality ratings against international standards of excellence
- *Continuity*: changes to the PBRF process should only be made where they can bring demonstrable improvements that outweigh the cost of implementing them
- *Differentiation*: the PBRF should allow stakeholders and the government to differentiate between providers and their units on the basis of their relative quality
- *Credibility*: the methodology, format and processes employed in the PBRF must be credible to those being assessed
- *Efficiency*: administrative and compliance costs should be kept to the minimum, consistent with a robust and credible process
- *Transparency*: decisions and decision-making processes must be explained openly, except where there is a need to preserve confidentiality and privacy
- *Complementarity*: the PBRF should be integrated with new and existing policies, such as Investment Plans, and quality-assurance systems for degrees and degree providers
- *Cultural inclusiveness*: the PBRF should reflect the bicultural nature of New Zealand and the special role and status of the Treaty of Waitangi (te Tiriti o Waitangi), and should appropriately reflect and include the full diversity of New Zealand's population.

Māori Research

Māori research

An important aim of the PBRF is to give due emphasis to research by Māori researchers and to research into Māori matters. Such research may also acknowledge different approaches to the research process.

Mechanisms for including Māori research

As in the previous two Quality Evaluations, there will be a Māori Knowledge and Development (MKD) peer review panel in the 2012 Quality Evaluation. The SRG has also recommended that the following mechanisms be applied during the 2012 Quality Evaluation to acknowledge the special role and status of the Treaty of Waitangi and the principle of cultural inclusiveness in respect of Māori:

- In order to not disadvantage Evidence Portfolios (EPs) submitted to the MKD panel, the weightings of EPs assigned to the MKD panel will reflect the cost category of the underlying subject, as determined by the Moderators on advice from the MKD panel
- Where practical an appropriate number of Māori panel members will be appointed to panels that may be likely to be evaluating significant numbers of EPs from Māori researchers
- Individuals recognised nationally for their Māori knowledge will be approached to be panellists on the MKD panel and selection of MKD panellists will not be contingent on self-nomination or on prospective panellists having a PhD
- One or two international indigenous researchers will be appointed to the MKD panel
- All TEO requests for an EP to be cross-referred to the MKD panel will result in the EP being cross-referred
- Encouraging growth in Māori research capability through the retention of an equity weighting of 2 for research degree completions by Māori students included in the Postgraduate Research Degree Completions (RDC) measure.

The strategic weighting

From the 2012 Quality Evaluation onwards, there will be a strategic weighting of 4 applied to all Research Degree Completions in which the content of the thesis is entirely written in te reo Māori. This does not preclude an abstract being provided in English. The MKD panel will provide guidance in their panel-specific guidelines as to what it means for a thesis to be "entirely written in te reo Māori".

Pacific Research

Pacific research

Another important aim of the PBRF is to give due emphasis to both research by Pacific researchers and research into Pacific matters. Such research may also acknowledge different approaches to the research process.

The Pacific research expert advisory group

In addition to the peer review panels there will be a Pacific research expert advisory group nominated and named at the same time as the peer review panels. EPs will contain an indicator allowing researchers (through their TEO) to specify that their EP be assessed by the Pacific research expert advisory group. Further information on the expert advisory groups can be found in Chapter 2 Section H: Expert Advisory Groups.

Section C:
Key Elements and Participants

Introduction

This section of the Guidelines provides a brief overview of the major components of the PBRF and the key participants in the PBRF processes.

It contains the following topics …… on these pages:

Key Elements in the PBRF 19

PBRF Process Overview 20

Quality Evaluation Process 21

Key Participants in the PBRF 24

Key Elements in the PBRF

Three elements

The PBRF funding formula is based on three elements or 'measures':

- Quality Evaluation: the assessment of the research quality of TEO staff members, based on peer review
- A Postgraduate Research Degree Completions (RDC) measure: the number of postgraduate research-based degrees completed in the TEO
- An External Research Income (ERI) measure: the amount of income for research purposes received by the TEO from external sources.

Weightings

The weightings in the funding formula for the three measures are:

- Quality Evaluation (60%)
- RDC (25%)
- ERI (15%).

Evidence portfolio (EP)

The quality of an individual's research contribution is assessed through the external peer review of their research as presented in an EP.

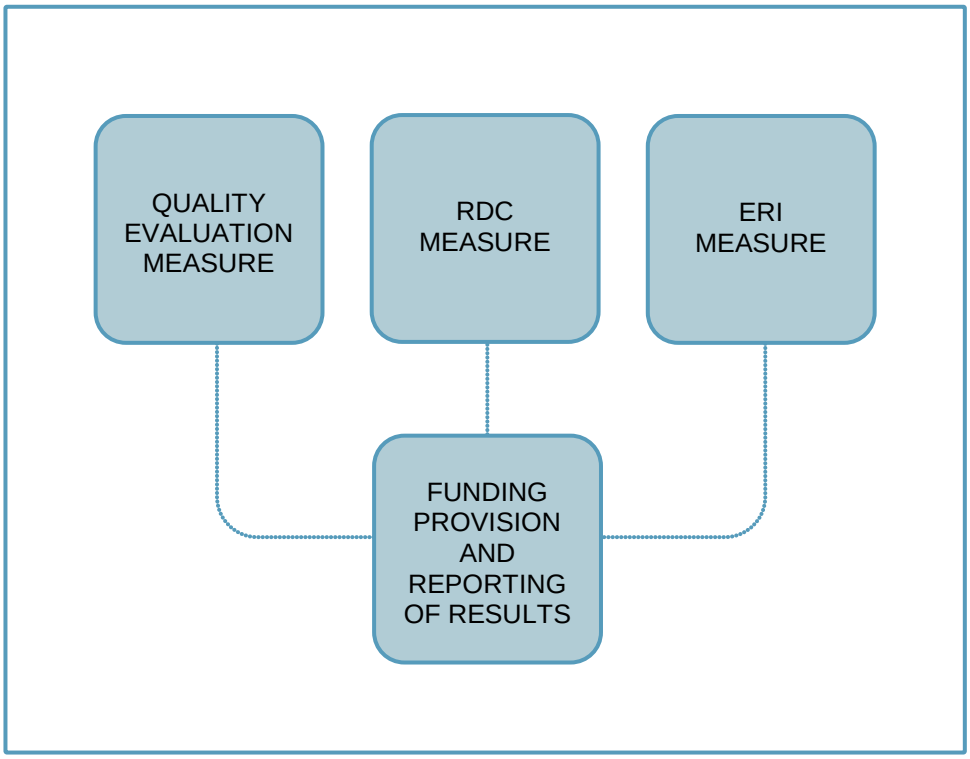
Further information

For further information on compiling an EP, see Chapter 2 Quality Evaluation: Completion and Submission of Evidence Portfolios.

For further information on the assessment processes for an EP, see Chapter 3 Quality Evaluation: Assessing, Scoring and Assigning a Quality Category to Evidence Portfolios.

PBRF Process Overview

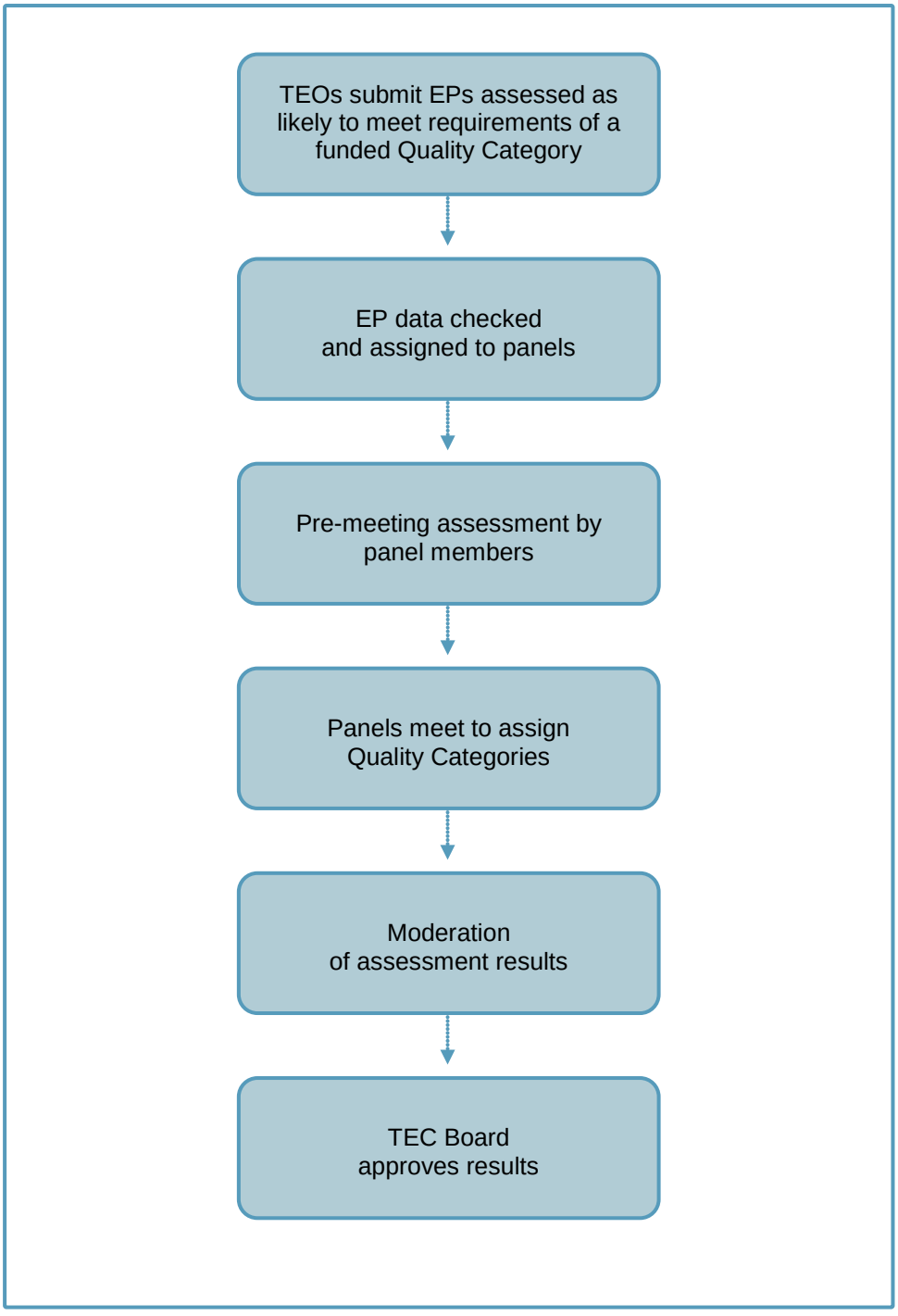
Diagram This diagram shows the various components in the overall PBRF process.



Further detail For a more detailed diagram of the Quality Evaluation process see the next topic.

Quality Evaluation Process

Phases This diagram shows the key phases in the Quality Evaluation process.



Dates

Key dates for the 2012 Quality Evaluation are:

Phase	Deadline/Activity	Date
Eligibility Periods	End of alternate assessment period for EPs impacted by the Canterbury Earthquakes	31 December 2010
	End of assessment period for ROs and PE/CRE examples.	31 December 2011
EP and Census data submission	PBRF Census Date	14 June 2012
	Submission date for Census and EP data	6 July 2012
	Period for final review and correction of Census and EP data	7 July 2012 to 20 July 2012
	Close-off date for re-submission of Census and EP data	4 pm 20 July 2012
	Deadline for CEO's Declaration to confirm accuracy of data and process of assessment within the TEO	21 July 2012
Notices of notices of Conflicts of Interest	Deadline for TEOs submitting notices of conflicts of interest in relation to panellists	31 July 2012
Audits	Staff eligibility audit	23 July 2012 to 17 August 2012
	NRO and ORO audit	23 July 2012 to 12 October 2012
Assignment	Assignment of EPs for assessment	21 July 2012 to 26 August 2012
Pre-meeting assessment	Pre-meeting panellist assessment of EPs	27 August 2012 to 2 November 2012
	Initial Moderation Panel meeting	November 2012
	Deadlines for panellist requests for additional specialist advice and cross-referrals	21 September 2012
	Deadline for completion of preparatory scores by all panellists including specialist advisers	18 October 2012
	Deadline for completion of preliminary scores	2 November 2012

Phase	Deadline/Activity	Date
Panel meetings	Panel Meetings	26 November 2012 to 7 December 2012
	Second Moderation Panel Meeting	December 2012
Final Quality Categories and complaints	Final Quality Categories reported to TEOs	mid-April 2013
	35-day period for TEOs to lodge complaints	Mid-April 2013 to late May 2013
	60-day period for TEC to investigate complaints	May 2013 to July 2013

Key Participants in the PBRF

Key participants

The operation of the PBRF involves five major participants:

- TEOs
- Peer review panels, expert advisory groups and specialist advisors
- The TEC Secretariat
- A Moderation Panel
- The TEC Board.

The roles of these participants are briefly described below.

TEO functions

Under the PBRF, a participating TEO's function is to provide complete and accurate data on:

- Census data to determine which staff members will be eligible for participation in the 2012 Quality Evaluation
- Individual staff members' research activities and contributions during the assessment period in the form of EPs (as part of the Quality Evaluation)
- Numbers of postgraduate research degree completions (as part of the RDC measure)
- External research income (as part of the ERI measure).

Peer review panels

The role of the peer review panels and expert advisory groups established by the TEC (and of the specialist advisors if and when they are called upon) is to evaluate the quality of the EPs submitted by the participating TEOs and to assign each of them a Quality Category.

The TEC Secretariat

The role of the TEC Secretariat is to provide technical, policy and administrative support to the PBRF process and peer review panels and expert advisory groups; in particular, the Chairs of those panels and groups.

Moderation Panel

The role of the Moderation Panel is to:

- Generate consistency across the peer review panels, while, at the same time, not reducing the panel judgements to a mechanistic application of the assessment criteria
- Provide an opportunity for independent review of the standards and processes being applied by the panels
- Establish mechanisms and processes by which material differences or apparent inconsistencies in standards and processes can be addressed by the panels
- Advise the TEC Board on any issues regarding consistency of standards across panels.

The TEC Board

The TEC Board considers and approves the findings of the Quality Evaluation for funding and reporting purposes.

Section D:
What Counts as Research?

Introduction

This section of the Guidelines provides the Definition of Research that underpins the operation of the PBRF.

Definition

For the purposes of the PBRF, research is original investigation undertaken in order to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement.

It typically involves enquiry of an experimental or critical nature driven by hypotheses or intellectual positions capable of rigorous assessment by experts in a given discipline.

It is an independent*, creative, cumulative and often long-term activity conducted by people with specialist knowledge about the theories, methods and information concerning their field of enquiry. Its findings must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation.

In some disciplines, the investigation and its results may be embodied in the form of artistic works, designs or performances.

Research includes contribution to the intellectual infrastructure of subjects and disciplines (eg. dictionaries and scholarly editions). It also includes the experimental development of design or construction solutions, as well as investigation that leads to new or substantially improved materials, devices, products or processes.

* The term 'independent' here should not be construed to exclude collaborative work.

Excluded activities

The following activities are excluded from the Definition of Research except where they are used primarily for the support, or as part, of research and experimental development activities:

- Preparation for teaching
- The provision of advice or opinion, except where it is consistent with the PBRF's Definition of Research
- Scientific and technical information services
- General purpose or routine data-collection
- Standardisation and routine testing (but not including standards development)
- Feasibility studies (except into research and experimental development projects)
- Specialised routine medical care
- The commercial, legal and administrative aspects of patenting, copyrighting or licensing activities

- Routine computer programming, systems work or software maintenance (but **note** that research into and experimental development of, for example, applications software, new programming languages and new operating systems **is** included)
- Any other routine professional practice (eg. in arts, law, architecture or business) that does not comply with the Definition.**

** Clinical trials, evaluations and similar activities will be included, where they are consistent with the Definition of Research.

Professional and Applied Research

The definition of research given above is specifically intended to be a broad characterisation that includes original investigation of a professional and applied nature.

The PBRF Quality Evaluation explicitly recognises that high-quality research is not restricted to theoretical inquiry alone but occurs across the full spectrum of original investigative activity.

With this in mind, the 2012 Quality Evaluation will introduce a Professional and Applied Research expert advisory group to be consulted by peer review panels for assistance in the assessment of EPs containing Research Outputs (ROs) of a professional and/or applied nature. For further information see Chapter 2 Section H: Expert Advisory Groups.

In addition, the panel specific guidelines for each peer review panel will contain information to assist the Evidence Portfolio preparation of researchers working in applied fields.

Section E: TEO Participation

Introduction

This section of the Guidelines provides information on the eligibility of TEOs to participate in the three measures of the PBRF (ie. the Quality Evaluation, the RDC, and the ERI).

It contains the following topics …… on these pages:

How to Determine a TEO's Eligibility to Participate in the PBRF 27

TEO Participation Criteria 27

How to Determine a TEO's Eligibility to Participate in the PBRF

Key principles underpinning TEO participation

The three key principles underpinning the participation of a TEO are:

- The TEO has the authority to grant individual approved degrees

  AND

- Participation in the PBRF is voluntary

  AND

- Those TEOs that choose to participate must do so in all three measures.

Note: The authority to grant individual approved degrees is authority to award degrees or related qualifications including Bachelors, Graduate Certificates, Graduate Diplomas, Postgraduate Certificates, Postgraduate Diplomas, Bachelors with Honours, Masters and Doctoral degrees.

Other principles

Other principles underpinning the TEO participation criteria include:

- TEOs choosing to participate in the PBRF will be required to participate in all three measures of the PBRF, even if their funding entitlement in one or more of these measures is zero or likely to be zero
- A PBRF-eligible TEO that chooses not to participate in the 2012 Quality Evaluation will be ineligible to make claims for funding through the ERI and RDC measures until the next Quality Evaluation
- TEOs cannot claim funding through the RDC and ERI measures unless they have participated in a Quality Evaluation.

TEO Participation Criteria

TEO participation criteria: Quality Evaluation

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

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

TEO participation criteria: RDC and ERI measures

To be able to participate in the PBRF's RDC and ERI measures for the years from 2013 to 2018, TEOs must have participated in the 2012 Quality Evaluation.

For example, a TEO that did not participate in the 2012 Quality Evaluation may not make a claim for funding through the RDC and ERI measures for the 2013 funding year (or subsequent years).

Further information on the RDC and ERI elements of PBRF can be found in the PBRF User Manual published on the TEC website.

Section F: Major Differences between the 2006 and 2012 Quality Evaluations

Introduction

This section of the Guidelines provides a brief overview of the major differences between the 2006 and the 2012 Quality Evaluations.

It contains the following topics …… on these pages:

What will stay the same 29
What will change 29

What will stay the same

The 2012 Quality Evaluation will not differ greatly from the 2006 Quality Evaluation

Following the recommendations of the PBRF Sector Reference Group (SRG), in most respects the 2012 Quality Evaluation will operate in the same way as the 2006 Quality Evaluation. This was in response to a clear sector preference for minimal change expressed throughout the two-year consultation process held by the SRG.

The two main reasons expressed by the sector for making minimal changes are, firstly, that the Quality Evaluation is not substantially flawed. While there are some areas for improvement, the basic principles and structure of the Quality Evaluation were, as a whole, endorsed by the sector.

Secondly, both TEOs and individual researchers had gained familiarity with the Quality Evaluation during the previous two rounds and in some cases preparations for 2012 have begun based on the assumption that no major changes to the Quality Evaluation would occur in 2012. To introduce major changes now would create significant compliance costs.

However, there will be some differences between the 2006 and the 2012 Quality Evaluations, as noted below.

What will change

2012 is a full round

In 2006 the Quality Evaluation was a partial round. In 2012 the Quality Evaluation will be a full round. This means that all PBRF-eligible staff members will be required to prepare and present to their TEO an Evidence Portfolio covering the assessment period. However, as in 2006, TEOs are only required to submit to the TEC those Evidence Portfolios the TEO believes are likely to achieve a fundable category.

These Guidelines are available two years prior to the 2012 Quality Evaluation

The PBRF Guidelines 2006 were available in July 2005, around one year before the 2006 Quality Evaluation. One of the most widely expressed suggestions after the 2006 Quality Evaluation was for the PBRF Guidelines to be available earlier than one year prior to the 2012 Quality Evaluation. These Guidelines have been published around two years before the 2012 Quality Evaluation.

A major implication of this earlier publication date is that the peer review panels for the 2012 Quality Evaluation have not yet been appointed as these Guidelines are being prepared. The panel appointment process will commence in January 2011 and panels will be appointed around April 2011. The panel appointment schedule follows that of the 2006 Quality Evaluation, the panels for which were appointed in January 2005. Because the peer review panels prepare the panel-specific guidelines, these Guidelines do not contain the panel-specific guidelines. The panel-specific guidelines for the 2012 Quality Evaluation will be published in mid-2011.

Another implication of the earlier publication date of these Guidelines is that some of the details given in these Guidelines may have to be amended due to developing circumstances in the lead-up to the 2012 Quality Evaluation. If such amendment should be necessary it will be clearly communicated to the sector.

Professional and Applied Research and Pacific Research will be treated differently

In addition to the twelve peer review panels there will be two expert advisory groups (EAGs). These will be the Professional and Applied Research EAG and the Pacific Research EAG. The purpose of these two groups is to ensure that these two types of research, which may differ from conventional types of academic research, receive appropriate assessment.

The EAGs are different from the peer review panels in two ways:

- They cannot be selected as the primary panel for an EP. The EAGs can only be cross-referred. If a TEO wants an EP to be assessed by one of the EAGs, a primary peer review panel for that EP must still be selected, and the desired EAG must be indicated as the cross-referral panel.
- Unlike other types of cross-referral (with the exception of cross-referral to the MKD panel), a cross-referral to an EAG will always take place if a TEO requests it.

Provision of Nominated Research Outputs will be primarily electronic

Nominated Research Outputs (NROs) are the researcher's (up to) four best pieces of research and they are made available to panel members to assist in assessment. In the 2012 Quality Evaluation NROs will be made available by TEOs to the TEC primarily in electronic format. NROs will be accessed either as links to an existing repository or a copy can be uploaded to the TEC in electronic format. This marks a significant shift in the availability of NROs. Rather than being requested as physical items from TEOs, which is what occurred in 2006, as far as possible all NROs will be electronically accessible by the TEC from 20 July 2012.

Requests for physical NROs may still occur in exceptional circumstances, but it is not unreasonable to expect that by 2012 nearly all NROs produced across the spectrum of research disciplines will be capable of being electronically captured in a form suitable for assessment. TEOs should therefore consider how best to electronically capture the (up to) four NROs of their PBRF-eligible staff. For most researchers this will involve the TEO creating a PDF version of a journal article, book chapter, book or other piece of text. For some researchers this will involve the TEO creating digital photographs, sound recordings or videos. For researchers who have one or more of their NROs published on a website, the TEO should document, for each NRO, a Uniform Resource Identifier (URI) (or equivalent, such as DOI) link leading directly to the NRO.

These Guidelines concentrate solely on the Quality Evaluation

The PBRF Guidelines 2006 contained a chapter each on the RDC and ERI elements of the PBRF. In 2009 the TEC published a PBRF User Manual containing detailed information on the annual processes associated with these two elements of the fund. This publication is available on the TEC website and should be consulted for detailed information on RDC and ERI.

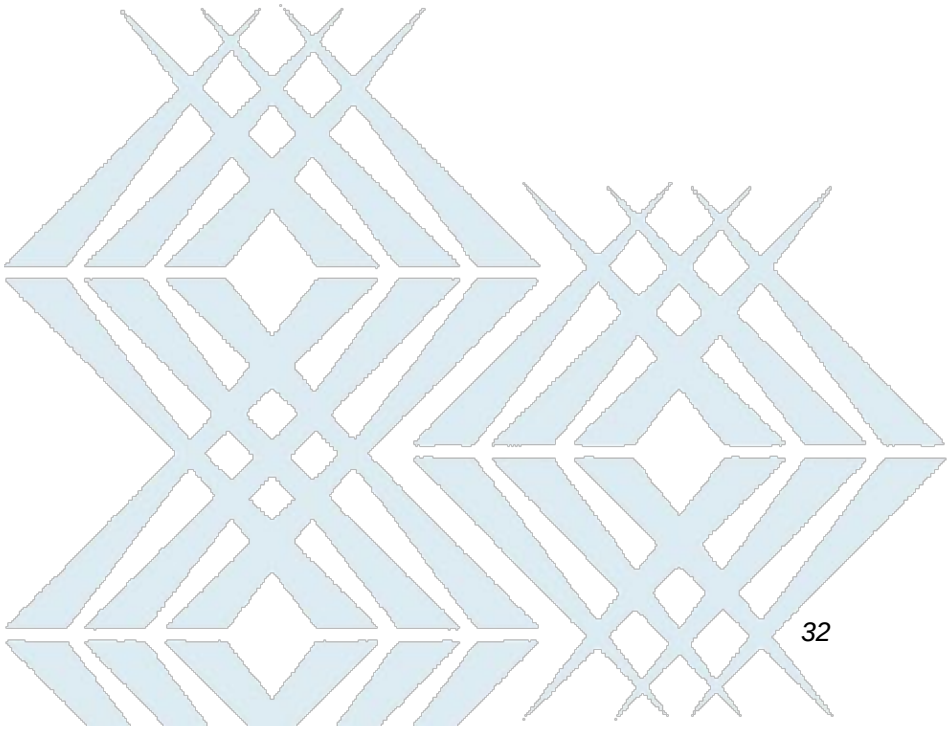
Sector Reference Group protocol supplied on TEO use of individual Quality Categories

The PBRF Sector Reference Group, in examining the design of the 2012 Quality Evaluation, conducted extensive consultation in 2009 with the sector on the reporting of individuals' PBRF Quality Categories.

After considering the sector responses to this consultation, the SRG has developed a recommended protocol to be followed by TEOs in dealing with individual PBRF Quality Categories.

This protocol can be found in Chapter 4 Section B: Protocol for treatment of PBRF Quality Categories. The TEC advises that TEOs work within this protocol to ensure that personal information is managed appropriately.

CHAPTER 2
QUALITY EVALUATION: COMPLETION AND SUBMISSION OF EVIDENCE PORTFOLIOS



Overview of this Chapter

Chapter 2 of the Guidelines provides policy and guidelines by which TEOs should complete Evidence Portfolios (EPs) and submit them to the TEC.

It is intended to be used by TEO staff members who are responsible for completing and submitting EPs, or by any other stakeholders or participants in the PBRF process who need to know about issues such as completion and submission, eligibility, and EP contents.

It contains the following topics …… on these pages:

Section A:
An Introduction to Evidence Portfolios *34*

Section B:
Eligibility to Participate in the Quality Evaluation Process *36*

Section C:
Guidelines for Completing the Research Output Component *51*

Section D:
Guidelines for Completing the Peer Esteem Component *69*

Section E:
Guidelines for Completing the Contribution to the Research Environment Component *73*

Section F:
Dealing with Special Circumstances *77*

Section G:
General Guidelines for Completing an EP and Selecting a Panel and Subject Area *81*

Section H:
The Expert Advisory Groups *90*

Section A:
An Introduction to Evidence Portfolios

Introduction

This section of the Guidelines provides an overview of the process of completing and submitting EPs in a TEO.

It is intended to be read by staff members in TEOs but may also be useful to panel members, TEC staff, and other stakeholders in the PBRF.

It contains the following topics …… on these pages:

What is an Evidence Portfolio? 34

Quality Evaluation – TEO Process 35

What is an Evidence Portfolio?

Key element in PBRF process

An evidence portfolio (EP) is a key component of the PBRF. It forms the basis of the Quality Evaluation measure.

Three components

The EP has three key components:

- **Research Outputs (RO):** the outputs of a staff member's research
- **Peer Esteem (PE):** an indication of the quality of the research of the staff member, as recognised by their peers
- **Contribution to the Research Environment (CRE):** the staff member's contribution to a vital high-quality research environment, both within the TEO and beyond it.

One EP per PBRF-eligible staff member

Each eligible staff member has one EP for each PBRF Quality Evaluation round.

Portfolio Information

Information required within an EP is detailed in the EP template available on the TEC website.

EP data and NRO files

TEOs can choose to submit EPs by either of two methods provided by the TEC:

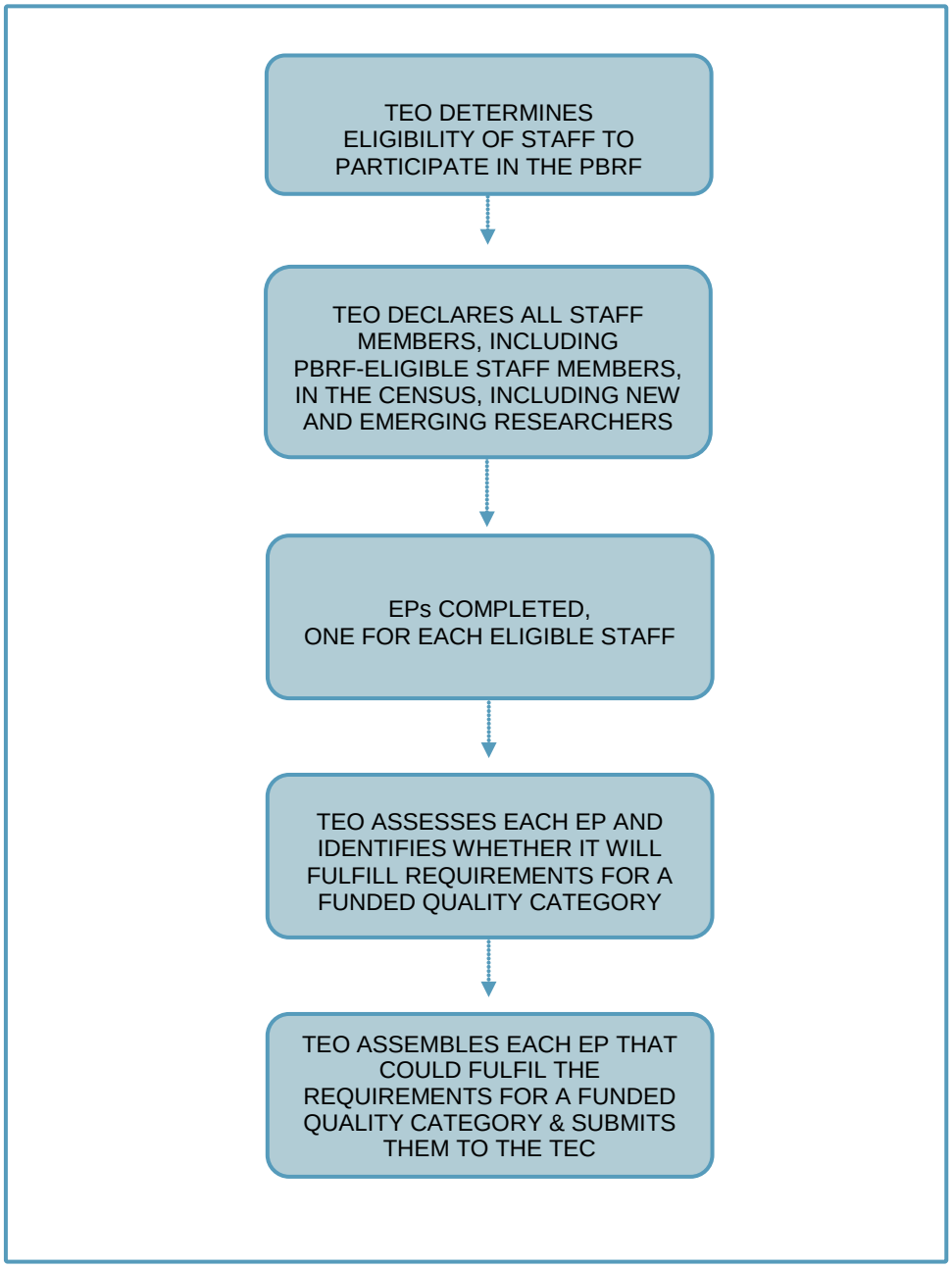
1. A file of EPs and associated NRO files can be uploaded to the TEC.

TEOs have been provided with the Evidence Portfolio Schema Document required for the bulk submission of EP data.

2. A TEO can submit an EP online and upload the associated electronic NRO files.

Quality Evaluation – TEO Process

Diagram This diagram shows the stages in which the TEO completes and submits the EPs during the Quality Evaluation process.



Section B:
Eligibility to Participate in the Quality Evaluation Process

Introduction

This section of the Guidelines sets outs the principles and criteria for determining which staff members from a TEO are eligible to participate in the 2012 Quality Evaluation.

It contains the following topics …… on these pages:

Who is Eligible to Participate in the Quality Evaluation Process? 37
Substantiveness Test 41
'Strengthened' Substantiveness Test 43
Staff-Participation Criteria – Overseas-Based Staff 44
Staff-Participation Criteria – Non-TEO Staff 45
New and Emerging Researchers 45
Eligibility and the PBRF Census 46
Eligibility of Staff on Leave 47
Eligibility of Transferring Staff 47
Eligibility of Staff Concurrently Employed by Two or More TEOs 48
Eligibility of Staff who Change their Employment Status During the Year 49
Who Should Prepare and Submit an Evidence Portfolio? 50

Who is Eligible to Participate in the Quality Evaluation Process?

Key principles underpinning eligibility to participate

The objective of the 2012 Quality Evaluation is to assess the quality of research at TEOs, and to that purpose it is important that all persons who are substantially involved in teaching and/or research at participating TEOs are evaluated. On this basis all persons employed or otherwise contracted by a TEO in a substantive teaching or research role ("staff") and who satisfy the eligibility principles for the PBRF must be included in the quality evaluation process.

There are two key principles underpinning the eligibility of a TEO's staff member to participate in the 2012 Quality Evaluation:

- The individual is expected to contribute to the learning environment at the degree level

  AND/OR

- The individual is expected to make a sufficiently substantive contribution to research activity.

The details around eligibility criteria that follow are based on the premise that ALL academic and research staff who are substantially involved in teaching and/or research should be included in the PBRF research quality assessment (except in very specific and clearly identified circumstances), and that there will be a high level of consistency in the decisions around staff exclusions across the sector.

Accordingly, TEOs will be required to justify any exclusion of staff on the basis of the substantiveness test and/or strictly supervised teacher status. The audit will look to ensure consistency and fairness, and conformity with the principle that the Quality Evaluation should be inclusive of all those contributing to degree-level teaching and/or research.

Other elements

Other elements underpinning the staff-participation criteria include:

- The staff member has an explicit requirement to teach and/or undertake research as one of their employment or service contract functions, as at the date of the PBRF Census (Staffing Return) – hereafter referred to as the PBRF Census
- A sufficiently substantive contribution is determined by applying the substantiveness test
- The Full Time Equivalent (FTE) counted in the Quality Evaluation for each PBRF-eligible staff member is generally that contained in their employment agreement (which may be a collective employment contract) or contract for service
- Employment/contracting history in the 12-month period prior to the PBRF Census date is to be apportioned on a FTE basis to ensure fair representation of staff time
- Staff employed or otherwise contracted in wholly owned subsidiaries such as commercialisation companies and in fully controlled trusts of the TEO are PBRF-eligible (if they satisfy the other eligibility criteria), since these bodies operate under the control of the participating TEO
- Provision has been made to allow staff based overseas, and staff contracted to TEOs by non-TEOs, to be PBRF-eligible under certain conditions.

Note: To receive a Quality Category, a person must be PBRF-eligible and employed or otherwise contracted by a participating TEO **on** 14 June 2012. The PBRF Census will be used to identify staff who are employed or otherwise contracted concurrently by more than one TEO, and those who have transferred between participating TEOs during the period from 15 June 2011 to 14 June 2012.

For further information on the PBRF Census, see Eligibility and the PBRF Census on page 46.

Staff eligibility criteria

The staff-eligibility criteria are used to identify which staff employed or contracted by a TEO are PBRF-eligible. Where TEO internal assessment determines that the EPs of staff members who are PBRF-eligible and employed on the Census date are likely to receive a Quality Category higher than R or R (NE), these EPs can be put forward for assessment by the peer review panels. If a PBRF-eligible staff member leaves within the year prior to the Census date, the TEO may be able to benefit from this period of service. Eligibility of transferring staff is set out later in this section.

Please **note** that all staff, including PBRF-eligible staff, are required to be included in the PBRF Census.

To be PBRF-eligible, staff must fulfil **all** of the staff-eligibility criteria set out below:

- They were employed or otherwise contracted (under a contract for service) at any time between 15 June 2011 and 14 June 2012

  AND

- **EITHER** They were employed or otherwise contracted under an agreement or concurrent agreements of paid employment or service with a duration of at least one year

  OR They were employed or otherwise contracted under one or more agreement(s) of paid employment or service for at least one year on a continuous basis

  AND

- They were employed or otherwise contracted for a minimum of one day a week on average, or 0.2 FTE, calculated over the period of the entire year

  AND

- Their employment or service contract functions include research and/or degree-level teaching

  AND

- Their contribution to research and/or degree-level teaching meets the requirements of the substantiveness test

  AND

- If their principal place of research or degree-level teaching is overseas, they must fulfil the staff-participation criteria for overseas-based staff set out on page 44

  AND

- If they are contracted to a TEO by a non-TEO, they must fulfil the staff-participation criteria for non-TEO staff set out on page 45.

Note: The 0.2 FTE rule should apply to the total employment over the year, even if it is made up of employment from two or more contracts.

If there are two contracts of 0.15 FTE each, and both are for at least a year, then they should be taken together and treated as 0.30 FTE.

If a staff member's FTE status changes throughout the year i.e. they worked in a PBRF eligible role for six months at 0.7 FTE and six months at 0.1 FTE then these should be averaged and treated as 0.4 FTE in the census.

Degree-level teaching

Degree-level teaching contributes to courses that lead to degrees or related qualifications. Degree-level courses include those at level 5 or above on the NZQA framework that predominantly contribute to degrees or related qualifications that may be wholly subsumed within a degree. Degrees or related qualifications include Bachelors, Graduate Certificates, Graduate Diplomas, Postgraduate Certificates, Postgraduate Diplomas, Bachelors with Honours, Masters and Doctoral degrees. For the avoidance of doubt, courses taken towards qualifications such as Certificates or Diplomas that can form one or more years of study towards a degree are included as degree-level courses.

Employment agreement requirements

There are requirements relating to the employment agreements or contracts for service of PBRF-eligible staff members:

- The staff member must have an employment agreement or contract for service with a participating TEO, and be paid for this employment or service at a level consistent with the time commitment, responsibilities and seniority of the position
- The duration of one year or more specified in the employment agreement or contract for service does not need to have been served at the PBRF Census date.

Note: Different requirements apply to staff based overseas and to staff contracted to a TEO by a non-TEO.

Employment on a continuous basis

Employment or service contract on a continuous basis implies that the staff member had no gaps in their service except for:

- Days the organisation is closed
- Days when the staff member is on leave taken within the terms of their employment agreement(s)
- A gap of up to, but not exceeding, one month between employment agreements or contracts for service.

Employment functions

Employment functions are the tasks, goals and accountabilities that a staff member is required to undertake during the 12 month (or longer) position reported at the PBRF Census date. These may be contained in a job description, role profile, performance agreement, contract for services, or agreement of annual goals and accountabilities.

FTE status

The full-time-equivalent (FTE) status for part-time staff is the percentage (to two decimal places) of full-time employment or service contract. For example, for a salaried staff member it would be the actual salary paid divided by the salary that would be paid if the position were full-time, averaged over the 12 months overlapping the Census date. The calculation for contracted staff may be based on the percentage of hours required for a typical FTE position.

This is the same definition as the one that will be used in the PBRF 2012 Census requirements.

Substantiveness Test

Substantiveness test

In applying the criteria for staff eligibility in the 2012 Quality Evaluation, there is a need to be clear about whether or not certain staff members are making a sufficiently substantive contribution to degree-level teaching and/or research to warrant their inclusion.

This is particularly the case with respect to administrative staff, teaching-support staff and research-support staff. The substantiveness test, as set out below, is designed to clarify which staff are PBRF-eligible.

To meet the requirements of the substantiveness test, staff must:

EITHER fulfil a 'major role' in the teaching and assessment of at least one degree-level course or equivalent

OR undertake the design of research activity and/or the preparation of research outputs (eg. as a co-author/co-producer), and thus be likely to be named as an author (or co-author/co-producer) of research outputs, and/or contribute to the supervision of graduate research students.

Note: Any research considered under this test must conform to the PBRF Definition of Research. Also **note** the exclusion that applies if the staff member is supervised (see "Supervised exclusions" below).

Meaning of 'major role'

A 'major role' in the teaching and assessment of at least one degree-level course or equivalent means an individual contributes at least 25% of the delivery of the course and corresponding working time to the design of the course and/or the design of the assessment process.

If the staff member's contribution of at least 25% is for one or more streams of a multi-stream course, or is split into components of less than 25% across more than one course, the staff member will still be eligible, provided they satisfy the other eligibility criteria. Staff below this level might be excluded from being PBRF eligible.

When assessing staff contribution to a course, TEOs must consider all aspects of teaching, design of the course and/or the design of the assessment process that the individual is involved in regardless of the component of the course being delivered (i.e. lectures, workshops, tutorials).

Supervised exclusions

Eligibility is determined principally by the substantiveness tests for teaching and research.

Junior researchers such as research assistants and technical staff who are working under the close guidance of a lead researcher, and who are not engaged in any independent research, and who do not meet the substantiveness test for teaching, may be designated as PBRF-ineligible.

Staff members who are working under the strict supervision of another staff member while teaching, and who do not meet the substantiveness test for research, may be designated as PBRF-ineligible. The job descriptions and duties for such staff will be explicit about the nature of their supervised work and will be subject to audit.

Delivery of a course, or part of a course, that potentially contributes to a degree implies that the teaching is research-led or research-informed and that the person delivering the course brings to his/her teaching the appropriate level of scholarship and experience in order to work without close supervision. When testing the "strict supervision" criterion, these factors are more significant than the job title given to a supervised (or potentially supervised) staff member, such as assistant lecturer, tutor, teaching fellow, technician, laboratory demonstrator, research assistant, or assistant research fellow. Designation of a staff member under one of these or other similar job titles will not be sufficient to make them PBRF-ineligible.

Examples of non-research active staff members who meet the staff eligibility criteria, but are PBRF-ineligible due to being strictly supervised, may include:

- Postgraduate students teaching part of a course under supervision of their Masters or PhD research supervisor or another staff member
- Technical staff or non-university guest staff brought in to teach a part of a course
- Staff members whose highest qualification is a non-degree qualification.
- Junior staff members whose highest degree is at Bachelor level (eg. those currently studying for a higher degree under supervision of a more senior staff member).

Staff members with position titles of lecturer or above, or position titles of research fellow or senior tutor or equivalent, or staff who undertake the responsibilities normally associated with staff who hold such job designations, are expected to be reported as eligible under the strict supervision provisions (ie. assuming they meet the other relevant eligibility criteria, such as 0.2 FTE, etc). This would include research inactive staff who are making a substantive contribution to teaching though their senior-level professional expertise in areas such as architecture, engineering, or medicine. Exceptions to this would be expected to be rare and would need to be justified in terms of the substantiveness tests for teaching or for research.

‘Strengthened’ Substantiveness Test

Strengthened substantiveness test

The ‘strengthened’ substantiveness test applies to the following groups of staff members:

- Those whose principal place of research or degree-level teaching is overseas
- Those who are contracted to a TEO by a non-TEO.

To meet the requirements of the ‘strengthened’ substantiveness test, staff must:

BOTH fulfil a major role in the teaching and assessment of at least one degree-level course or equivalent during each year in New Zealand for the five years preceding the PBRF Census date

AND undertake the design or conduct of research activity and/or the supervision of graduate research students and/or the preparation of research outputs (eg. as a co-author/co-producer), and thus be likely to be named as an author (or co-author) of research outputs.

Note: Any research considered under this test must conform to the PBRF Definition of Research (see Chapter 1 Section D: What Counts as Research? on page 25 of these Guidelines). Also note the exclusion that applies if the staff member is supervised (see “Supervised exclusions” above).

Staff-Participation Criteria – Overseas-Based Staff

Staff-participation criteria: overseas-based staff members

This subset of the staff-participation criteria is used to determine whether staff whose 'principal' place of research or degree-level teaching is overseas are PBRF-eligible. Please **note** that these staff are required to be included in the PBRF Census.

To be PBRF-eligible, staff who are overseas-based must fulfil the staff eligibility criteria and the additional criteria set out below:

- They were employed or otherwise contracted in New Zealand for a minimum of one day a week on average, or 0.2 FTE over the period of the entire year

  AND

- They were continuously employed or otherwise contracted for a minimum of one day a week on average, or 0.2 FTE on average, over the period of five years preceding the PBRF Census date (ie. between 15 June 2007 and 14 June 2012)

  AND

- They meet the requirements of the 'strengthened' substantiveness test.

Note: To receive a Quality Category, a person must be PBRF-eligible and employed or otherwise contracted by a participating TEO **on** 14 June 2012. The PBRF Census will be used to identify staff who are employed or otherwise contracted concurrently by more than one TEO, and those who have transferred between participating TEOs during the period from 15 June 2011 to 14 June 2012.

Meaning of 'principal' place

The meaning of 'principal' in this context means over a reasonable period of time (i.e. more than a year), and for more than 50% of their time spent on research and/or degree-level teaching each year.

Staff-Participation Criteria – Non-TEO Staff

Staff-participation criteria: non-TEO staff members

This subset of the staff-participation criteria is used to determine whether staff who are contracted to a TEO by a non-TEO are PBRF-eligible. Please **note** that these staff are required to be included in the PBRF Census.

To be PBRF-eligible, staff who are contracted to a TEO by a non-TEO must fulfil the staff eligibility criteria and the additional criteria set out below:

- They were continuously employed or otherwise contracted for a minimum of one day a week on average, or 0.2 FTE on average, over the period of five years preceding the PBRF Census date (ie. between 15 June 2007 and 14 June 2012)

  AND

- They meet the requirements of the 'strengthened' substantiveness test.

Note: To receive a Quality Category, a person must be PBRF-eligible and employed or otherwise contracted by a participating TEO **on** 14 June 2012. The PBRF Census will be used to identify staff who are employed or otherwise contracted concurrently by more than one TEO, and those who have transferred between participating TEOs during the period from 15 June 2011 to 14 June 2012.

TEOs may be required to provide evidence that the employing/contracting TEO had paid the non-TEO staff member.

New and Emerging Researchers

New and emerging researchers: how PBRF-eligible staff members are identified

Once TEOs have established who is PBRF-eligible, they must then assess who within that group is eligible to be considered for the 'new and emerging' researcher Quality Categories ("C(NE)" or "R(NE)"). The criteria to be applied are as follows:

- The staff member meets the requirements of the staff-participation criteria

  AND

- **EITHER** They were first appointed to a PBRF-eligible or equivalent position (whether in New Zealand or overseas, and whether in a TEO or non-TEO) on or after 1 January 2006 **OR** Their conditions of employment changed on, or after, 1 January 2006 to include a requirement to undertake either research or degree-level teaching where the staff member has not undertaken either in their previous conditions of employment (ie. for the first time in their career).

PBRF-eligible or equivalent position

A PBRF-eligible position would include a first appointment as, for example, a lecturer or a postdoctoral fellow, but would not include a short-term position or positions (ie. of less than 12 months) as, for instance, a research assistant or tutor.

An equivalent position might also include appointment to a role at a non-TEO with employment functions that include research, eg. a Crown Research Institute, or it could include a period of at least 12 months at 0.2 FTE or greater as a postdoctoral fellow at an overseas university.

Further information

The assessment criteria for new and emerging researchers, and the Quality Categories available to them, are set out in Chapter 3 Section E: Assessing New and Emerging Researchers on page 133.

Eligibility and the PBRF Census

PBRF Census: how PBRF-eligible staff members are identified

TEOs participating in the PBRF will be required to undertake a detailed Census of their staff members. All staff including transferring staff and those who were employed or contracted for services by the TEO at any time between 15 June 2011 and 14 June 2012 are to be included in the PBRF Census.

The PBRF Census will be used to identify staff members who are employed concurrently by more than one TEO, and those who have transferred between participating TEOs. The PBRF Census will also be used to collect information relevant to the assessment of 'new' and 'emerging' researchers.

PBRF Census date

The PBRF Census date for the 2012 Quality Evaluation round is Thursday 14 June 2012.

Treatment of merged entities

TEOs will be required to report, as part of the PBRF Census, the staff members employed by the constituent entities at the date of merger.

Merged TEOs will be reported as one entity.

Importance of PBRF Census data

Census data on all staff members who meet the participation criteria, regardless of individual Final Quality Categories, are used to calculate quality scores – for TEOs, panels, subject areas, and nominated academic units.

Eligibility of Staff on Leave

Staff on short-term leave

A staff member will be eligible for inclusion in the PBRF if, on the PBRF Census date, they are on any of the following types of leave:

- Annual leave
- Study leave
- Sabbatical leave
- Sick leave
- Bereavement or tangihanga leave
- Paid parental leave
- Other forms of paid short-term leave.

Staff on long-term leave

Staff who are on long-term leave on the PBRF Census date will be considered PBRF-eligible if:

- Their employment agreement requires them to return to their normal duties within one year from the start of their period of absence

  AND

- The staff recruited specifically to cover their duties in the organisation are not evaluated through the PBRF.

Long-term leave in the context of the PBRF means:

- Unpaid leave of absence
- Secondment
- Unpaid parental leave.

Eligibility of Transferring Staff

Basis of eligibility

PBRF-eligible staff members who transfer between participating TEOs during the 12 months prior to the PBRF Census date should be recorded in the Census data submitted by both their former and current organisations.

Note: Only one EP is submitted for that staff member. The EP must be submitted by the TEO that employs the staff member at the Census date.

Basis of calculation

In the PBRF funding calculation, transferring staff members are counted according to the relevant proportion of their contribution on a FTE basis for each TEO.

Details of calculation

The following table indicates the FTE proportion applying to staff members leaving or arriving at a TEO in the 12 months before the PBRF Census date.

Month	Staff leaving in this month count for:	Staff arriving in this month count for:
July 2011	0.08 FTE	0.92 FTE
August 2011	0.17 FTE	0.83 FTE

September 2011	0.25 FTE	0.75 FTE
October 2011	0.33 FTE	0.67 FTE
November 2011	0.42 FTE	0.58 FTE
December 2011	0.50 FTE	0.50 FTE
January 2012	0.58 FTE	0.42 FTE
February 2012	0.67 FTE	0.33 FTE
March 2012	0.75 FTE	0.25 FTE
April 2012	0.83 FTE	0.17 FTE
May 2012	0.92 FTE	0.08 FTE
June 2012	1.00 FTE	0.00 FTE

Working example

For example, if a full-time staff member left Organisation A on 27 May 2012 to go to Organisation B, the staff member would count for 0.92 FTE (11/12 FTE rounded to two decimal places) in Organisation A and 0.08 FTE (1/12 FTE rounded to two decimal places) in Organisation B.

Transfer from non-participating TEO

Staff members who transfer to a TEO from an organisation that is not a participating TEO do not need to have their time apportioned.

Transfer to a non-participating TEO

Staff members who were employed by a participating TEO in the 12 months preceding the PBRF Census date but on that date are employed by a non-participating TEO are ineligible to participate in the PBRF.

Transfer between TEOs with a break in service

Staff members who have a break in service between positions will have their time apportioned according to the month in which they leave one organisation and commence in the other (ie. they will count for less than 1.0 FTE).

Eligibility of Staff Concurrently Employed by Two or More TEOs

Submission by all employing TEOs

If a staff member is employed by two or more participating TEOs, then they may be included in the PBRF Census return for each of those TEOs – provided that all other eligibility criteria are met.

For example, a staff member who is employed by two participating TEOs and who is PBRF-eligible in each may be counted by both.

However, a staff member employed by two TEOs who is PBRF-eligible in only one of them may only be counted by the one for which they are PBRF-eligible.

Basis of calculation	Where two or more participating TEOs employ a staff member, then the proportion counted by each is to be calculated on a FTE basis – provided that proportion is collectively higher than the 0.2 FTE threshold.
Which TEO submits the EP?	If a staff member is concurrently employed by two or more participating TEOs, staff members should submit their EP through the organisation where they spend the highest proportion of their time. If they spend the same time in two or more organisations, the staff member should choose the organisation through which they submit their EP.
Working example	For example, if on the PBRF Census date a staff member is employed by Organisation A for 0.4 FTE and by Organisation B for 0.2 FTE and for Organisation C for 0.1 FTE, then the staff member would count for 0.4 FTE in Organisation A and 0.2 FTE for Organisation B. The staff member would not count for Organisation C since they do not meet the 0.2 FTE threshold.

Eligibility of Staff who Change their Employment Status During the Year

Basis of calculation	Staff who change their employment status from full- to part-time or vice versa during the year should be treated in a similar manner to those who transfer between TEOs. An average FTE for the 12 months prior to 14 June 2012 should be calculated.
Working example	For example, if a staff member changes from full-time employment on 31 November 2011 to take on a 0.5 FTE role, then they would count as follows: 1.0 FTE x 5/12 + 0.5 FTE x 7/12 = 0.71 FTE
If employment ceases prior to Census date	Staff who are not employed in a TEO on the PBRF Census date (even if they have been employed in the 12 months prior to that date) will not count unless they are employed by another participating TEO.

Who Should Prepare and Submit an Evidence Portfolio?

Who should submit an EP to the TEC?

The TEO will need to submit to the TEC only those EPs of staff members who are assessed by the TEO as likely to meet the standards required for the assignment of a funded Quality Category. EPs do not need to be submitted for staff members assessed by TEOs as likely to be in Category "R" or "R(NE)".

The TEC will nominate to Category "R" or "R(NE)" any staff members who are PBRF-eligible but whose EP is not submitted by the TEO. TEOs will be required to submit to the TEC a full list of all staff members assessed by the TEO as likely to be in category "R" or "R(NE)" and the subject areas and correct nominated academic unit of these staff members on or before the final date for submission of EPs.

Section C:
Guidelines for Completing the Research Output Component

Introduction

This section of the Guidelines provides procedures and guidance for completing the Research Output (RO) component of an Evidence Portfolio (EP).

It is intended to help those who are responsible for completing an EP (both PBRF-eligible staff members and other TEO staff). It may also be of interest to panel members, TEC staff, and other stakeholders in the PBRF.

This section contains the following topics …… on these pages:

General Guidelines for the RO Component 51

Types of Research Output 54

Confidential Research Outputs 56

The Meaning of the Assessment Period 57

Quality-Assured and Non-Quality-Assured Research Outputs 60

Research Output Information Required for the Evidence Portfolio 61

Where NROs are Fewer than Four 66

Outputs involving Joint Research 66

Further information

Anyone completing an EP should also read Chapter 3 Quality Evaluation: Assessing, Scoring and Assigning a Quality Category to EPs, which begins on page 93 – and especially Chapter 3 Section C: Assessing and Scoring the Three Components of an EP, which begins on page 116.

General Guidelines for the RO Component

Importance

The RO is the most important of the three assessment components of an EP (see "Three components" on page 34). This component measures the quality of research through focusing on an assessment of research outputs.

Definition of research output

For a research output to be eligible for inclusion in an EP, it must be:

- An output of research as defined for the purposes of the PBRF – see Chapter 1 Section D: What Counts as Research? on page 25 of these Guidelines

  AND

- Produced (ie. published, publicly disseminated, presented, performed or exhibited) within the relevant assessment period – see The Meaning of the Assessment Period on page 57 of these Guidelines

  AND

- Able to be made available to, and assessable by, a peer review panel.

The only exception to the public dissemination of research outputs during the assessment period is for confidential research outputs (see Confidential Research Outputs on page 56 of these Guidelines).

Nominated research outputs (NROs)

Each EP contains (up to) four nominated research outputs (NROs). An NRO is an output nominated by the PBRF-eligible staff member as one of their best research outputs.

Judgement on merit

Research outputs will be assessed primarily on their quality:

- All research activity, whether basic, fundamental, strategic, artistic or applied, will be assessed against the same broad indicators of quality
- All types of research outputs will be considered on their merits. No particular research output will be considered to be of higher quality than any other simply because of their type
- Although formal processes of academic peer review or other forms of quality assurance may provide the peer review panel with some assurance about quality, the absence of such review or other formal mechanisms of quality assurance will not in itself be taken to imply lower quality.

Number of research outputs to be included

Staff members should select their best research outputs produced during the assessment period for inclusion as their (up to) four NROs. (See also Where NROs are Fewer than Four on page 66.)

(Up to) 30 'other' research outputs that meet the criteria for inclusion can also be included in the EP.

The (up to) four NROs and (up to) 30 'other' research outputs give a maximum of 34 research outputs for each EP. Where a staff member has produced more than 34 research outputs during the assessment period, they should select their better outputs for inclusion in the EP.

Ordering of research outputs

NROs may be ordered in the EP as the researcher wishes and this order will be retained when the panel member views the EP. Similarly, the "other" research outputs may be ordered as desired, and this order will be retained when the panel member views the EP.

Quality-assured and non-quality-assured outputs

Both quality-assured and non-quality-assured research outputs may be included as NROs or as 'other' research outputs. See Quality-Assured and Non-Quality-Assured Research Outputs on page 60 for further discussion on the meaning of 'quality-assured'.

Outputs with similar content

Some research outputs contain much material of a broadly similar, if not identical, nature to others. For example:

- A journal article may be a slightly revised version of an earlier refereed (or non-refereed) conference paper
- A book may draw heavily on material previously published by the author(s) in articles, chapters of other books or a thesis
- Exactly the same output may be published separately in two or more languages.

When selecting their NROs, staff members should not include outputs that are identical, or virtually identical, in nature and content to other NROs assessed in their PBRF evidence portfolios. This includes revised or modified versions of outputs that were submitted in previous Quality Evaluations and republished in the current assessment period.

Staff members may include outputs to which there have been minor changes in their list of 'other' research outputs, although the general criterion of selecting their best work still applies. If such an output is selected for inclusion, the Description field of the output should note that it is a modified version of another output.

Access by panel to research outputs

All of the NROs cited in an EP must be available for review by a panel. The preferred format for NRO availability is a link to an electronic version in a publicly available repository. If a link to an external repository is provided it must take the user directly to the text of the NRO.

If a link is not possible an electronic version of the NRO must be supplied by the TEO to the TEC. This electronic version will be stored in a temporary repository from which panel members may access it during the period of assessment. The links to or electronic versions of NROs must be supplied by the TEO to the TEC at the time the EP is supplied.

Up to five links or files can be provided for each NRO.

Where the panel requests a copy of the NRO and the actual provision of the NRO is unduly difficult or impossible – eg. where the research output is a large piece of art held in private ownership – alternative evidence of the output (eg. a digital photograph) should be presented instead.

Types of Research Output

Research outputs to be classified under their type

Research outputs include:

- Published academic work (such as books, journal articles, conference proceedings, and Masters or Doctoral theses)
- Work presented in non-print media (such as films, videos and recordings)
- Other types of outputs (such as intellectual property, materials, products, performances and exhibitions).

Research outputs are classified according to a number of types, as listed immediately below. Each research output included in an EP must be classified under one of these types.

If the panels consider it necessary for the purposes of assessing outputs in their discipline, further information about research output types will be supplied in the panel specific guidelines.

List of research output types

Research outputs may be one of the following types:

- Artefact/Object/Craftwork
- Authored Book
- Awarded Doctoral Thesis
- Awarded Research Masters Thesis
- Chapter in a Book
- Commissioned Report for External Body
- Composition
- Conference Contribution
  - abstract
  - full conference paper
  - conference paper in published proceedings
  - poster presentation
  - oral presentation
  - other
- Confidential Report for External Body
- Discussion Paper
- Design Output
- Edited Book
- Exhibition
- Film/Video
- Intellectual Property (eg. patent, trademark)
- Journal Article
- Literary translations, where these contain significant editorial work in the nature of research
- Monograph
- Oral Presentation
- Performance
- Scholarly Edition
- Software
- Technical Report
- Working Paper
- Other Form of Assessable Output (including but not limited to book reviews, magazine articles, new materials, structures, devices, images, products, buildings, food products and processes, published geological and/or geomorphological maps, and explanatory texts).

Selecting the research output type

The staff member should indicate the research output type that best matches each one of their (up to) 34 outputs. Where the research output has been reproduced in another medium (eg. performance that has been recorded, an exhibit has been filmed), the staff member should classify the research output in terms of its original form. For example, a performance may be recorded on a video but the research output type would be Performance (and not Video).

Confidential Research Outputs

Introduction

Some research outputs may be confidential for a variety of reasons. This topic provides guidance on how such research is to be handled.

Inclusion of confidential research outputs

Confidential research outputs (ie. outputs not in the public domain) may be listed in an Evidence Portfolio (EP) if the employing TEO can arrange all necessary permissions and make any other arrangements for members of peer review panels to access those research outputs if required.

Confidential Nominated Research Outputs (NROs) should not be emailed. The preferred means of providing them for assessment is for the TEO to put them into CD or DVD format and courier them to the TEC.

If confidential outputs are included in the list of 'other' research outputs, they will not be called for examination by the panel – but sufficient information has to be provided in the EP to enable the TEC to independently verify the existence of each output (which may include sighting the report).

It will not be adequate, for example, to include a confidential research output with a title of 'confidential report' and/or with no location details. The onus is on the staff member to provide an EP that can be assessed and verified, including any confidential NROs in the EP.

Examples of confidential research outputs

Confidential research outputs may include, but are not limited to:

- Commercially sensitive research reports
- Research and evaluations for government agencies that have not been released to the public
- Research for iwi, hapu or whanau that includes material relating to confidential and culturally significant knowledge.

Research output type

Confidential outputs must be listed in the EP under the research output type Confidential Report for External Body.

The Meaning of the Assessment Period

Policy

A research output **cannot** be included in the Research Output field of an EP (either as an NRO or as an 'other' research output) unless it was produced (ie. published, publicly disseminated, presented, performed or exhibited) during the assessment period (ie. 1 January 2006 – 31 December 2011). This means that research outputs produced prior to 1 January 2006 or after 31 December 2011 cannot be included for the 2012 Quality Evaluation round.

Staff members affected by the Canterbury Earthquakes are able to select an alternative assessment period of 1 January 2005 – 31 December 2010.

Eligibility for inclusion

The basic principle governing the inclusion or exclusion of a research output concerns the date when it was produced, and readily available in the public domain.

To be eligible for inclusion, a confidential research output must have been completed and made available to those who commissioned the research within the assessment period.

Date of imprint outside the assessment period

For written publications (such as books, journal articles and conference proceedings), the date of production will generally be that indicated by its date of imprint.

However, where the date of imprint differs from the date of actual publication and the imprint date falls outside the assessment period but the actual publication date was inside the period (eg. in the case of journal volumes relating to a particular year in a sequence but actually published in a different year), staff members should explain this variance for the relevant output in the Description field of the NRO referenced in the EP. Please **note** that such an explanation is required only for NROs. It is not required for any of the 'other' research outputs.

Where the actual publication date differs from the date of imprint, TEOs may be asked to provide evidence of the actual date of publication for audit purposes.

Accepted Manuscripts

If the final version of a Nominated Research Output is not available, a staff member will be able to submit an Accepted Manuscript (defined by NISO standard RP-8-2008) as a Nominated Research Output. An 'Accepted Manuscript' is to be understood as the author's final manuscript as accepted for publication at the completion of the peer review process. The publication date of the final version must be within the assessment period, except in the following case.

Where a staff member has been affected by the Canterbury Earthquakes, they will be able to submit Accepted Manuscripts as Nominated Research Outputs if the manuscript has been accepted for publication within the assessment period (1 January 2006 – 31 December 2011) but the publication date of the final version has been delayed beyond 31 December 2011. In this case the staff member will need to include details of the expected publication date in the Description field for the NRO.

If a staff member affected by the Canterbury Earthquakes selects the alternative assessment period (1 January 2005 – 31 December 2010) then this provision will not apply.

It is also recommended that for any Accepted Manuscript, the EP should include a link to the part of the journal's website that describes its review process.

Quality-assurance process not sufficient for eligibility

Where a research output has successfully completed the relevant quality-assurance processes but has not been produced (published, publicly disseminated, presented, performed, or exhibited) within the assessment period, it is **not** eligible for inclusion in the EP. For the definition of quality assurance, see Quality-Assured and Non-Quality-Assured Research Outputs on page 60.

For example, where the manuscript of a book successfully completed a quality-assurance process by 31 December 2011 but the book itself was not published before that date, it is not eligible as either a quality-assured research output or a non-quality-assured research output.

By contrast, a paper that has successfully completed the relevant quality-assurance processes and was published prior to 31 December 2011 (or appeared in a publication with an imprint date within the assessment period) may be included as a quality-assured research output.

Employer during assessment period

Staff members may include any research output produced during the assessment period regardless of where they were employed during the period in question.

Reprints

A book originally published prior to 1 January 2006 but reprinted during the assessment period is not eligible for inclusion. However, a second (or subsequent) edition of a book originally published prior to 1 January 2006 will be eligible if the new edition includes significant new research material. Please **note** that repeated reprints and new editions of a book may be evidence of research-related peer esteem, and thus a matter worth mentioning under the Peer Esteem (PE) component.

Research output eligibility

Example 1

A staff member prepared a paper (which meets the PBRF Definition of Research) in December 2011 for a conference held early in 2012.

Such a paper is **not** eligible for inclusion as a research output unless the staff member can provide reliable evidence that it was in fact produced within the assessment period (ie. completed in its final form and publicly disseminated and thus was readily available within the public domain).

A draft of such a paper or a related discussion paper that was distributed to just one or two colleagues for comment prior to 31 December 2011 is **not** eligible for inclusion as a research output.

Example 2

A research output was completed but not published, publicly disseminated, presented, performed, or exhibited during the assessment period.

Such an output is **not** eligible for inclusion as a research output.

Example 3

A research output has an imprint date of 2012 but was publicly disseminated (ie. produced) and available in 2011.

Such an output **is** eligible for inclusion as a research output.

For example, an article is published on the website of a journal during the assessment period and then published in hard copy in that journal after the assessment period. Such an article **is** eligible as a research output.

Note: For NROs, staff members should explain this variance for the relevant NRO in the Description field of the EP.

Example 4

A research output is completed and produced in 2006 but has an imprint date of 2005.

Such an output **is** eligible for inclusion as a research output.

Example 5

An exhibition has a finishing date of 1 January 2006, or a starting date of 31 December 2011.

Such an exhibition **is** eligible for inclusion as a research output.

Quality-Assured and Non-Quality-Assured Research Outputs

Quality-assured research outputs defined

A **quality-assured research output** is defined as any research output that, prior to its publication (public dissemination, presentation, performance, or exhibition), has successfully completed a formal quality-assurance process.

Successful completion of a formal quality-assurance process means the output must have been subject to formal, independent scrutiny by those with the necessary expertise and/or skills to assess its quality (including, where relevant, its rigour, logic, clarity, originality, intellectual significance, impact, applications, artistic merit, etc).

Each research output that is included in an EP must be classified as quality-assured or non-quality-assured. Staff members should use the definition above to guide them in classifying each of their research outputs included in the EP.

Formal quality-assurance processes

Formal quality-assurance processes vary between different disciplinary areas. They include, but are not limited to:

- Peer-review or refereeing processes undertaken by journals and book publishers
- Other review processes employed by editors, editorial committees or publishers
- The refereeing of conference papers
- Review processes undertaken by major galleries, museums and broadcasters
- Review processes employed by users of commissioned or funded research.

Quality-assured v. reviewed

Quality-assurance processes are different from review processes as used in the PE component. A research output may have been reviewed in the public arena **after** its publication or public dissemination. Such reviews do **not** meet the definition of a quality-assured research output. These reviews, however, may be included in the Evidence Portfolio under the Peer Esteem component.

Non-quality-assured research outputs

A non-quality-assured research output is one that:

- Has not been subject to a quality-assurance process

  OR

- Is currently in the process of being quality-assured

  OR

- Has been unsuccessful in completing a formal quality-assurance process (ie. it has been peer-reviewed and rejected, possibly two or more times).

A non-quality-assured output that has been included as an NRO is more likely to be requested for scrutiny by the panel than a quality-assured NRO is.

Absence of quality assurance

Where a research output has been produced (ie. published, publicly disseminated, presented, performed, or exhibited) in the assessment period but has not been subject to a quality-assurance process in that period, then it is eligible for inclusion as a non-quality-assured research output. It must not be claimed as a quality-assured research output.

For example, a working paper or non-refereed conference paper produced in 2010 may be included as a non-quality-assured research output.

Production in the assessment period necessary

As long as the non-quality-assured research output has been produced (ie. published, publicly disseminated, presented, performed, or exhibited) within the assessment period, it will be eligible for inclusion in the EP.

Research Output Information Required for the Evidence Portfolio

Information required

The tables below show the information required about research outputs included in an EP. All outputs included in an EP must meet the PBRF Definition of Research (see Chapter 1 Section D: What Counts as Research? on page 25 of these Guidelines).

Nominated Research Outputs (NROs)

Requirements for Nominated Research Outputs (NROs) are as follows:

- NROs must be the (up to) four best research outputs produced during the assessment period
- An EP must contain at least one NRO or it will not be accepted
- NROs may relate to one or a number of different research activities/projects – staff members may nominate research outputs that relate to different aspects and/or development of the research activity.

Note: Staff members will not be penalised for including fewer than four NROs (provided there is at least one NRO in an EP), but if there are fewer than four NROs in an EP there should not be any 'other' research outputs included. Also **note** that if the reason for having fewer than four NROs falls within the criteria for Special Circumstances, the staff member will need to provide an explanation for this in the Special Circumstances sections of the EP.

Digital availability of NROs

TEOs are strongly encouraged to make NROs digitally available whenever appropriate. This includes digital versions of text, photographs, videos or whatever other digital forms are suitable to allow assessment of the NRO. The preferred means is by providing a Uniform Resource Identifier (URI) link to the NRO source. This source could be a website, a file store maintained by the TEC, a filestore maintained by the TEO or an external filestore.

All links provided must take the user directly to the text of the NRO.

The EP information now includes field(s) for specifying the URIs associated with an NRO. Provision has been allowed for up to 5 digital files per NRO.

If a digital version of the NRO cannot be supplied the TEO must provide a description of the physical location at which the NRO can be accessed for assessment.

NROs: information required in EP fields

There is additional information required in the EP for each of the NROs.

This is set out in the following table:

Field	Information Required
Research Output Type	Selected from approved list of types.
Order of Assessment	A number from 1 to 4 to specify the order in which the NROs will be presented for assessment.
Quality-assured	An indicator that defines if the research output has been through a process that meets the definition of 'quality-assured' for the PBRF (see Quality-Assured and Non-Quality-Assured Research Outputs on page 60 of these Guidelines).
Title	The title of the research output as it appears on the output.
Authors	Listed in the order and as they appear on the output, up to a maximum of four. Where there are more than four authors, the number of other authors should be recorded.
Year Available	The year that the output was produced (2006 – 2011 inclusive or 2005 – 2010 inclusive).
Source	Information that can be used to identify where an item is published or made available. It can contain the following: parent document, volume, issue, article/chapter/session number, pagination, publisher, place, year.
My Contribution	Where the research output has more than one author, provide details on the staff member's overall contribution to the output including the nature of that contribution.
Description	A comprehensive description of the nature and significance of the output. Why the output has been selected as one of the best four produced during the assessment period. If necessary, how the output embodies research, as defined in the PBRF Definition of Research (see Chapter 1 Section D: What Counts as Research? on page 25 of these Guidelines). The nature of the quality-assurance process (for quality-assured outputs, where this may not be standard within the discipline for this type of output). A description of the research content, where this is not evident from the output itself (eg. where a textbook has been included). Any other information specific to the research output type.

Location Details	A description of how or where the NRO can be physically located or retrieved if it is not accessible using a URI
URI	The URI location of an electronic NRO. There can be more than 1 URI for a single NRO (but no more than 5). For example, a file of pictures and a video file. The following URI formats are acceptable: • file://[NRO Location and Name] o This will indicate that the NRO content was uploaded to TEC FTP file store prior to assessment closing date • http:// [NRO Location and Name] o This will indicate a non-secure publicly available web location where the NRO content can be located. No authentication should be required to access this location • https:// [NRO Location and Name] o This will indicate a secure publicly available web location where the NRO content can be located. No authentication should be required to access this location • ftp:// [NRO Location and Name] o This will indicate a publicly available FTP location where the NRO content can be located. No authentication should be required to access this location. TEOs must take all reasonable steps to ensure that any URI supplied that links to a website or an external file store, will remain a usable link to the NRO through the period of assessment.

'Other' research outputs

Requirements for the 'other' research outputs are as follows:

- There may be up to 30 'other' research outputs, all produced during the assessment period
- Where a staff member has more than 30 'other' research outputs that are eligible for inclusion, the best 30 should be selected
- Where a staff member has fewer than 30 other outputs that are eligible for inclusion, they should include them all – this will provide the panel with a complete picture of the staff member's research output during the assessment period
- Where a staff member has fewer than four NROs, there should be no 'other' research outputs included
- 'Other' research outputs will not need to be supplied to peer review panels, but they will be subject to the TEC's data checking and verification processes.

'Other' research outputs: information required in EP fields

There is additional information required in the EP for each of the (up to) 30 'other' research outputs.

This is set out in the following table.

Field	Information Required
Research output type	Selected from a drop-down list in the EP.
Quality-assured	An indicator that defines if the research output has been through a process that meets the definition of 'quality-assured' for the PBRF (see Quality-Assured and Non-Quality-Assured Research Outputs on page 60 of these Guidelines).
Description	Entered in a recognised bibliographic format. This must include the title or name of the output, author, and sufficient location details to enable the TEC to independently verify its production (eg. publication, publisher, publication year, and place of publication or equivalent details).

Where NROs are Fewer than Four

Fewer than four nominated outputs

Staff members may include fewer than four NROs provided that:

- The EP contains at least one NRO (this is a minimum requirement before an EP can be submitted to the TEC)
- The reason for there being fewer than four is given in the Other Comments or Special Circumstances field of the EP. Comments should only be included in the Special Circumstances field where the staff member meets the criteria for special circumstances (see this chapter Section F: Dealing with Special Circumstances on page 77).

Where a panel concludes there is insufficient reason for fewer than four NROs, this may be reflected in the Final Quality Category assigned to the EP.

Factors influencing quantity

The number of research outputs that a full-time staff member can produce may be influenced by a variety of factors such as:

- Special circumstances
- The subject area or sub-area
- The type of research outputs produced
- The extent to which outputs are sole or multi-authored
- The career stage of the staff member (eg. new and emerging researcher)
- Whether the staff member has been research active over the entire assessment period.

Outputs involving Joint Research

Can be included in EP

A research output arising from research to which two or more researchers have contributed can be included as a research output in an EP.

What is joint research?

Joint research is research resulting from the joint efforts of two or more researchers.

Two types

Within the context of the PBRF, there are two types of joint research depending on the nature of the research output involved. These are:

- Co-authorship
- Co-production.

Each of these is defined below.

Co-authorship

Co-authorship describes a situation in which a research output has more than one author.

The term ‘co-authorship’ applies to written outputs such as journal articles, books and conference papers.

Co-production

Co-production describes a situation where more than one person produces a research output.

The term 'co-production' applies generally to outputs that reflect creative and artistic works (such as a performance, composition, design, exhibition, film, buildings, etc).

General principles applying to joint research

The principles guiding the PBRF approach to joint research are:

- The PBRF Quality Evaluation process assesses the work of individual academics, regardless of whether or not they are the sole authors/producers
- Only those joint research outputs for which there is assigned authorship (or equivalent) will be considered in the Quality Evaluation process
- Joint research outputs will not be counted pro-rata (ie. five authors will not be taken to imply that each person has contributed 20%)
- Similarly, the contribution to a joint research output will **not** be assessed on the basis of the order in which co-authors or co-producers are listed. Order may be an indication of the importance of a contribution, but this is not necessarily the case.
- Panels will assess joint research on a qualitative basis. To enable this, the staff member should include information on their contribution (relative to other co-authors or equivalent) in the My Contribution field for any of their NROs that have been co-authored
- The PBRF is not concerned with where the other co-authors/producers are based. It is solely concerned with the quality of the output and the relative contribution of the staff member.

Inclusion in more than one EP

Two or more co-authors or co-producers of a research output can submit the same research output in their own EP. The quality of the research output is evaluated in each case on the basis of each co-author's or co-producer's stated contribution.

Co-authors or co-producers do not need to be aware of one another's submissions of the same research output, however in cases where co-authors include the same NRO in their EPs, staff members are encouraged to confer about the details of their contributions, to ensure that there is no conflict in the information provided.

Basis of judging contribution to joint research

The Quality Evaluation process will judge a staff member's contribution to a research output based on information about co-authorship or co-production entered in the My Contribution field in the EP.

Relevance to NROs

In nominating their NROs, staff members must be aware that only their relative contribution to co-authored or co-produced outputs will be considered. Staff members must decide the value of a co-authored or co-produced work relative to a sole-authored/produced work, when deciding on their NROs.

Panels will recognise that in some disciplines co-authorship (or its equivalent) is the norm.

Details of co-authorship/ co-production

The details of co-authorship/co-production required are:

- The names of the first four authors or producers as listed in the research output

  AND

- A record of the number of other authors, where there are more than four co-authors or co-producers.

Information required in the My Contribution field for NROs

The following information relating to the staff member's contribution to an NRO should be entered in the My Contribution field of the EP:

- Brief comments on the significance of the staff member's contribution to the output: for example, whether they took a leadership role or contributed in a major or less significant way. Comments may include a statement about the status of co-authors (eg. where a co-author is a postgraduate student)
- The nature of the contribution, where this may help support the extent of the contribution made: for example, it might be helpful to include information about whether the contribution was by way of the conceptualisation and design of the research, the field work undertaken, the production of the article/output, or the supervision of other authors.

Joint research contribution statements: examples

Here are some examples of contribution statements relating to a joint research output:

- 'Lead researcher in a multi-country study. Key input into the design of the study and application for funding assistance'
- 'Played a major, but not lead, role in the research-design and field work of the project'
- 'Had a minor role; contributed to the conceptualisation of the research, and assisted with analysis of results'.

Section D:
Guidelines for Completing the Peer Esteem Component

Introduction

This section provides guidelines for completing the Peer Esteem (PE) component of the EP.

It is intended to help those who are responsible for completing EPs (both PBRF-eligible staff members and other TEO staff). It may also be of interest to panel members, TEC staff, and other stakeholders in the PBRF.

This section contains the following topics …… on these pages:

What is Peer Esteem? 69

Peer Esteem Types 70

Information on Peer Esteem Required in the EP 72

What is Peer Esteem?

Peer esteem as indicator of quality

In the PBRF, peer esteem is used as an indicator of the quality of the staff member's research. It is concerned with the recognition of the staff member's research by their peers (rather than esteem for the staff member's other activities within the TEO, their subject area, or the academic community).

Peer-esteem indicators

Indicators of peer esteem include:

- Research-related fellowships, prizes, awards, invitations to share research knowledge at academic and end-user conferences and events
- The staff member's ability to attract graduate students or to sponsor students into higher-level research qualifications, positions or opportunities because of their research reputation
- Research-related citations and favourable review. In considering the former, please **note** that the number of citations is not necessarily an indication of high esteem. Some research work may be cited frequently because it is considered to be an example of poor research. Emphasis should be given to evidence of positive review and citation. If panels consider it necessary, the panel-specific guidelines will provide further advice regarding citation rates
- Participation in editorial boards.

Peer Esteem Types

Nine types

Evidence of peer esteem can be included in the EP under the following peer esteem types:

- Research-related fellowships, prizes and awards
- Fellows and/or restricted or elected membership of learned societies or academies
- Participation in editorial boards and/or refereeing (eg. for journals)
- Invitations to provide conference addresses or similar
- Favourable reviews and/or commendations
- Appointments to key discipline-based, research, industry, professional, community, or government bodies
- Esteem factors associated with students
- Research-related favourable citations
- Other evidence of peer esteem.

These types are discussed in more detail below.

Prizes and awards

Prizes and awards include any prize or award attached to a specific research output, activity or finding. It may also include a prize or award that reflects on the overall quality and productivity of a staff member rather than one attached to a specific research output, activity or finding.

The research fellowships under this type are those associated with research institutions. The research institution may be within New Zealand or elsewhere.

Fellows/ memberships

Fellowships/memberships may be of professional or learned societies or academies, in New Zealand or elsewhere, with restricted or elected admission. The expectation is that the esteem with which the staff member's research activities is held would be a key component of the appointment to a fellowship or restricted/elected membership of the cited societies, academies or professional organisations.

Editorial/ refereeing

Editorial/refereeing includes editorship or membership of editorial panels of journals within New Zealand or elsewhere, and reviewing and/or refereeing journal submissions and book proposals.

Conference addresses

Conference addresses include invitations as a speaker to conferences/ events in New Zealand or internationally. Conferences and events may be discipline-based or academic, or they may focus on a substantive area of applied knowledge.

Favourable reviews

Favourable reviews may include review articles or professional comments, letters of commendation, etc.

Appointments

Appointments may include appointment, either in New Zealand or internationally, to advisory bodies to industry or to professional, community or government bodies or invited membership of company boards of directors. They may also include appointment to research-selection and funding bodies or committees, selection to iwi boards, associations, and preparation of claims to the Waitangi Tribunal. Appointment to statutory or non-statutory boards may also be relevant.

Student factors

Student factors may include examples of the staff member's ability to attract graduate and/or overseas students or to mentor students into higher-level research qualifications, positions or opportunities.

Indicators may include students whom the staff member has been able to sponsor into Doctoral scholarships or postdoctoral fellowships because of the staff member's research reputation. This may not be relevant for all subject areas.

Favourable citations

Favourable citations include descriptions and bibliographic references for citations of particular research outputs or bodies of research work that demonstrate the esteem within which the staff member's work is held by other researchers. Such citations do not need to show agreement with the research findings, but should show that the research is regarded as credible and significant.

Staff members should provide an interpretation of any citation data.

Other evidence of peer esteem

Other evidence of peer esteem may include other examples which are not included in the above types but which demonstrate esteem, recognition or acknowledgement of the staff member's research by peers and end users in the staff member's own TEO (within New Zealand and/or internationally).

Such evidence might include: an ability to attract esteemed researchers or decision makers to the staff member's TEO or New Zealand and/or host their visit; invitations to mentor; invitations to peer review; gaining competitive access to major national or international facilities and/or invitations to work in overseas institutions; acting in a quality-assurance role in relation to other research activities, processes or policies.

Where a staff member meets the criteria for a new and emerging researcher, the offer of a staff position can be included as an example of peer esteem.

Information on Peer Esteem Required in the EP

Up to 30 examples

Staff members are limited to providing 30 examples of peer esteem during the assessment period for their EP (but also see "Major prizes outside assessment period" below), classified under the types listed above. The examples do not need to fall across all the different types of peer esteem but could be concentrated in one or a few of the types.

Peer esteem examples may be ordered as the researcher wishes, and this order will be retained when the panel member views the EP.

Where a staff member has more than 30 examples of peer esteem, they should concentrate on providing the most significant examples and also those that best reflect the research-related esteem of their peers.

Description of peer esteem examples

For every example of peer esteem included in the EP, the staff member should provide a description that includes the following information:

- Details of the esteem example (eg. prize, award, favourable review, appointment) and the nature of the expertise involved
- Date(s), where relevant
- Organisation(s) involved.

Major prizes outside assessment period

Staff members may include major prizes and awards from outside the assessment period where these are research related, but the panel will give primary weight to those peer esteem examples that have been gained within the assessment period.

Where the award or fellowship is ongoing (eg. fellowship of learned society), these can be included in the EP even though the appointment was outside the assessment period. For example, appointment as a Fellow of the Royal Society in 2000 can be included as a peer esteem example for the 2012 Quality Evaluation if the fellowship was held during the assessment period.

New and emerging researchers

Evidence of peer esteem is **not** required for a new and emerging researcher's EP to be assigned a "C(NE)" Quality Category. However, new and emerging researchers who have completed a PhD and two quality-assured research outputs (ie. are eligible for the award of the "C(NE)" Quality Category) will not be disadvantaged if they include evidence of peer esteem in their EPs. In fact, they are encouraged to complete the PE component of their EP, as this may allow the EP to be assigned a higher Quality Category. For the criteria for new and emerging researchers see New and Emerging Researchers on page 45.

Section E: Guidelines for Completing the Contribution to the Research Environment Component

Introduction

This section provides guidelines for completing the Contribution to Research Environment (CRE) component of the EP.

It is intended to help those who are responsible for completing EPs (both PBRF-eligible staff members and other TEO staff). It may also be of interest to panel members, TEC staff, and other stakeholders in the PBRF.

This section contains the following topics …….…… on these pages:

What is Contribution to the Research Environment? 73

Types of Contribution to the Research Environment 74

Information on Contribution to the Research Environment Required in the EP 75

What is Contribution to the Research Environment?

The CRE component

The CRE component is concerned with the staff member's contribution to a vital, high-quality research environment. Active research environments are a key outcome sought from the PBRF, and EPs provide an opportunity for staff members to indicate their role and contributions in this respect.

Includes but not limited to

The CRE component has a number of aspects including, but not limited to:

- Research and disciplinary leadership
- Contribution through students and emerging researchers
- Contribution to institutional vitality
- Contribution to research context and connectivity.

Types of Contribution to the Research Environment

Nine types

Evidence of contribution to the research environment can be included in the EP under the following types:

- Membership of research collaborations and consortia
- Contributions to the research discipline
- Facilitating discipline-based and research networks
- Contributions to the research environment within and outside the TEO
- Generation of externally funded research
- Contribution to researcher development
- Supervision of student research
- Assisting student publishing, exhibiting or performance
- Other evidence of contribution to the research environment.

There is a particular emphasis on the contribution to and development of Māori and/or Pacific research capability.

These types are discussed in more detail below.

Consortia membership

Consortia membership may include leadership or membership of research collaborations/consortia within the staff member's TEO (within New Zealand or internationally).

Research discipline

Contribution to research discipline may be within the staff member's TEO (within New Zealand or internationally) or a contribution to the profession, business or sector (eg. manufacturing).

Facilitating networks

Examples of facilitating networks include: organising and/or hosting or chairing conferences, panels, seminars, workshops, journal clubs, or similar events; developing working relationships amongst researchers within and across institutions and subject areas; developing and maintaining strong links with end users of research, including active engagement with relevant communities and stakeholders, and dissemination of research outputs; the ability to engage profession, business or industry with the academic sector.

Research environment

The research environment type includes the development of research infrastructure (facilities and otherwise) within the TEO and elsewhere in New Zealand.

External research funding

The external research funding type includes the staff member's ability to contribute to a vital research environment and demonstrate a record of quality research through the attraction of funding external to the TEO. In exceptional cases, the research may not be funded but generated from external sources. The amount of funding received is not required as this is assessed for each participating TEO under the External Research Income (ERI) measure.

Researcher development	Researcher development includes activities that contribute to the development of new researchers (such as those who have completed their degrees and are starting a research career) and to research capability.
Student supervision	Student supervision includes the supervision of Masters or Doctoral-level students, including assistance to Māori students and Pacific students. Indicators may include students whom the staff member has supervised.
Student assistance	Examples of contribution to student assistance include where the staff member has assisted a student under their supervision to publish, exhibit, participate in competitions (within New Zealand and overseas) or produce a research output, possibly in conjunction with academic staff.
Other evidence of contribution to the research environment	Other evidence of contribution to the research environment may include examples which are not included in the above types but which demonstrate the staff member's contribution to research vitality in their own TEO (within New Zealand and/or internationally).

Information on Contribution to the Research Environment Required in the EP

Up to 30 examples

Staff members are limited to providing 30 examples of contribution to the research environment during the assessment period for their EP (see also "Relation to assessment period" below), classified under the types listed above. The examples do not need to fall across all the different types but could be concentrated in one or a few of the types.

Contribution to the research environment examples may be ordered as the researcher wishes, and this order will be retained when the panel member views the EP.

Where a staff member has more than 30 examples of contribution to the research environment, they should concentrate on providing the most significant examples.

Descriptions required for examples of contribution to the research environment

For every example of contribution to the research environment included in the EP, the staff member should provide a description that includes the following information:

- Details of the activity
- Date(s), where relevant
- Organisation(s) involved
- Student numbers and the degree level (eg. Masters, Doctoral), where relevant.

Relation to assessment period

Evidence of contribution to the research environment should relate to the assessment period.

However, a staff member may include examples of contribution to the research environment from outside the assessment period if such contributions are outstanding or of particular significance.

New and emerging researchers

Evidence of contribution to the research environment is **not** required for a new and emerging researcher's EP to be assigned a "C(NE)" Quality Category. However, new and emerging researchers who have completed a PhD and two quality-assured research outputs (ie. are eligible for the award of the "C(NE)" Quality Category) will not be disadvantaged if they include evidence of contribution to the research environment in their EPs. In fact, new and emerging researchers are encouraged to complete the Contribution to Research Environment component of their EP, as this may allow the EP to be assigned a higher Quality Category. For the criteria for new and emerging researchers see New and Emerging Researchers on page 45.

Section F:
Dealing with Special Circumstances

Canterbury Earthquakes Special Circumstances

Introduction

The Canterbury Earthquakes Special Circumstances relate to the impact experienced by a staff member as a result of the series of earthquakes in Canterbury from September 2010 which may have affected the development of research outputs AND the staff member's Peer Esteem (PE) or Contribution to Research Environment (CRE) components.

Canterbury Earthquakes Special circumstances

Canterbury Earthquakes Special Circumstances can be claimed by a staff member and considered by the peer review panel only in relation to the quantity of research outputs and other aspects of research activity produced during the assessment period.

Special circumstances are NOT relevant to the assessment of the quality of research outputs and activities.

Most attention will be given to special circumstances for EPs where a researcher is on the cusp of a Quality Category.

Special Advisor – Canterbury Earthquakes

A Special Advisor has been appointed to advise panellists on consideration of Canterbury Earthquakes special circumstances, and review the results of the Quality Evaluation process in relation to providing assurance that these special circumstances have been appropriately considered.

Information Required

Researchers claiming Canterbury Earthquakes Special Circumstances can identify the impacts by selecting from a set of impact codes.

An optional commentary may provide additional detail such as dates of all relevant time periods, and further description of how the Canterbury Earthquakes have negatively impacted on the quantity of the claimant's research.

A researcher claiming Canterbury Earthquakes Special Circumstances may also choose an alternate assessment period of 1 January 2005 to 31 December 2010. This assessment period will also apply to the PE and CRE components of the EP.

Types of impacts of the Canterbury Earthquake

The following six areas of impact may be selected by staff members to communicate the specific impact caused by the series of the Canterbury Earthquakes. Staff members can claim none, any or all of the six areas of impact:

- Personal trauma
- Loss or damage to home and/or contents
- Inability to access facilities and resources
- Increased responsibilities
- Impediments to undertaking research activity that equates to PE and/or CRE activities
- Other impacts

Staff members will also be able to provide commentary in relation to this special circumstance. The commentary needs to include sufficient information for the panel to make a judgement and this would include information on how the specific area(s) of impact(s) has had an affect on the quantity of research.

Examples of impacts

The following provides some instances of impacts:

- *Personal trauma* includes death or injury to family member, friend or close colleague; injury to self; personal psychological impact
- *Loss or damage to home and/or contents*
- *Inability to access facilities and resources* (includes office, laboratory, library space, venue space; field work; equipment, IT resources)
- *Increased responsibilities* (family/community responsibilities; teaching or organisational/management responsibilities at work)
- *Impediments to undertaking research activity that equates to PE and/or CRE activities* (PhD students discontinued; conferences cancelled; invitations to meetings declined)
- *Other impacts*

Other Special Circumstances

Introduction

Other Special Circumstances relate to some other impairment or impediment that has affected the development of research outputs AND the staff member's Peer Esteem (PE) or Contribution to Research Environment (CRE) components.

The Moderation process will include a review to provide assurance that these special circumstances have been appropriately considered.

Special circumstances

Special circumstances can be claimed by a staff member and considered by the peer review panel only in relation to the **quantity** of research outputs and other aspects of research activity produced during the assessment period.

Special circumstances are **NOT** relevant to the assessment of the quality of research outputs and activities.

Most attention will be given to special circumstances for EPs where a researcher is on the cusp of a Quality Category.

It will be unusual for special circumstances to influence the final Quality Category unless there is evidence that the circumstances have been sustained over at least one half (1/2) of the assessment period.

Researchers claiming special circumstances may be subject to random auditing during which appropriate evidence of the claimed special circumstances may be requested from the TEO.

Types of special circumstances

The following six "other" special circumstance types may be claimed by researchers. Researchers can claim any or all of the six special circumstance types in addition to the Canterbury Earthquakes special circumstances:

- Extended leave
- Significant community responsibilities
- Leadership positions involving extended or above the usual time commitment
- Long term disability
- Part-time employment
- Other circumstances.

Researchers may order their claimed special circumstance types as they wish and this order will be retained when viewed by the panel member.

Description of special circumstances

In each case where special circumstances are claimed, the circumstances must be described by the researcher in sufficient detail that a judgement can be made about them. This detail must include dates of all relevant time periods, and a description of how the circumstance in question has negatively impacted on the **quantity** of the claimant's research.

Examples of special circumstances

The following provides some instances of special circumstances:

- *Extended Leave* such as sick leave, parental leave etc that prevents research activity from occurring. Note, sabbatical leave that allows for a continuation of research activity should not result in lowered expectations of the quantity of research output and will therefore *not* be considered for this purpose
- *Significant community responsibilities* such as to iwi and Pacific communities
- *Leadership positions involving extended or above the usual time commitment* such as Dean or Pro-Vice-Chancellor positions. Less extensive roles such as Head of Department will not usually result in lowered expectations of the quantity of research output to the extent that they would be considered under this criterion
- *Long term disability* of a nature that would reduce the quantity of research output
- *Part-time employment* for some or all of the assessment period, or becoming research active for the first time during the assessment period
- *Other circumstances* that are seen to be relevant, at the discretion of the panel Chair, such as staff teaching at both degree and sub-degree level, or confidentiality requirements that restrict the publication of further outputs based on the confidential research output.

Section G: General Guidelines for Completing an EP and Selecting a Panel and Subject Area

Introduction

This section of the Guidelines provides general guidance on completing an Evidence Portfolio (EP) – and, in particular, on selecting a subject area and panel.

It is intended to help those who are responsible for completing EPs (both PBRF-eligible staff members and other TEO staff). It may also be of interest to panel members, TEC staff, and other stakeholders in the PBRF.

It contains the following topics …… on these pages:

General Guidelines for Completing an EP 81

Guidelines for Selecting a Peer Review Panel 82

Peer Review Panels and Subject Areas 83

Subjects that Cross Subject-Area Boundaries 85

Further information

Anyone completing an EP should also read Chapter 3 Quality Evaluation: Assessing, Scoring and Assigning a Quality Category to Evidence Portfolios, which begins on page 93 and especially Section C: Assessing and Scoring the Three Components of an EP which begins on page on page 116.

General Guidelines for Completing an EP

Quality not quantity

The PBRF is primarily concerned with quality. The EP should provide an overview of a staff member's outputs and contributions during the assessment period. Where a staff member has more material than can be included in the EP, they should select their best research outputs and their most significant examples of peer esteem and contribution to research environment from the assessment period. Further guidance on this is contained in the following sections.

Which field to use?

Information on some activities (eg. appointment to a key body within a discipline) may indicate both peer esteem and contribution to the research environment. Please **note** that there is no 'right' field for such information. Peer review panels are instructed to take a holistic approach to assessment and to consider this kind of information in whichever field it appears.

Don't duplicate

Avoid duplication of information in the Peer Esteem and Contribution to the Research Environment fields. The panel will only consider such information once.

Use of te reo Māori

Te reo Māori may be used for any or all of the material entered in the staff member's EP.

Guidelines for Selecting a Peer Review Panel

TEOs will nominate a peer review panel

TEOs must nominate a subject area and a peer review panel for each EP. This nomination will either be confirmed or amended by the TEC where necessary, in consultation with panel Chairs, prior to assigning EPs to panel members.

TEOs are also responsible for making sure that the EP states a 'primary field of research' for each EP (see "Primary field of research" below).

Note: For more information on the process used by the TEC for assigning EPs to panels, the safeguards in place in the event of panel transfers, and the process for notifying TEOs, see Chapter 3 Section B: Allocating EPs to Panel Members and Obtaining Additional Input on page 110.

Which panel to nominate?

The nominated peer review panel should be the panel that covers the discipline or subject area best representing the staff member's overall EP.

42 subject areas have been identified across the panels, and staff members will be required to select the subject area for their EP that best matches their primary subject area of research. This may not always be the same as the subject area represented by the staff member's academic department.

The subject area selected for the EP will be the subject area that the quality score will be reported under on a nationally standardised basis.

Research outputs as guide

Typically, the nominated peer review panel should be the one that best matches the research outputs of an EP and, in particular, that EP's Nominated Research Outputs (NROs).

Primary field of research

Staff members will be required to enter a 'primary field of research' in a free-text field in their EP. This is likely to be described at the level of a discipline or sub-discipline (eg. educational psychology, molecular biology).

This primary field of research should reflect **both** the research field of the EP's NROs **and** the balance of the staff member's research activity during the assessment period.

This information will be used to help guide the allocation of an EP for assessment. It will not be used for reporting.

Interdisciplinary research

Interdisciplinary research is any research undertaken by a staff member, or a group of staff members, that spans two or more disciplines or subject areas. It includes any part of the EP, although typically it will be represented in the Research Output component.

Where the research outputs in an EP involve interdisciplinary research that is covered by more than one panel, the TEO should nominate the panel with the subject area that best matches the majority of the research outputs – in particular, the subject area that best matches the NROs selected.

Note: Only one panel may be nominated. However, a staff member (through their TEO) may ask for their EP to be cross-referred to another panel that covers a subject area relevant to their research.

The final decision on whether an EP will or will not be cross-referred lies with the Chair of the nominated peer review panel. All TEO requests for cross-referral will be considered, but a request for cross-referral is not in itself sufficient to guarantee that the cross-referral occurs.

Requests for cross-referral to the Māori Knowledge and Development Panel are an exception to the above, and all such requests will be actioned.

Requests for cross-referral to an expert advisory group are also an exception to the above, and all such requests will be actioned.

Further information

The following topic Peer Review Panels and Subject Areas contains information on the subject areas covered by each of the twelve panels. This should be helpful in selecting the right panel for an EP.

Peer Review Panels and Subject Areas

Panels and subject areas

The twelve panels and their subject areas are set out in the following table.

Panel	Subject Areas
Biological Sciences	Agriculture and other applied biological sciences Ecology, evolution and behaviour Molecular, cellular and whole organism biology
Business and Economics	Accounting and finance Economics Management, human resources, industrial relations, international business and other business Marketing and tourism
Creative and Performing Arts	Design Music, literary arts and other arts Theatre and dance, film and television and multimedia Visual arts and crafts
Education	Education

Engineering, Technology and Architecture	Architecture, design, planning, surveying Engineering and technology
Health	Dentistry Nursing Other health studies (including rehabilitation therapies) Pharmacy Sport and exercise science Veterinary studies and large animal science
Humanities and Law	English language and literature Foreign languages and linguistics History, history of art, classics and curatorial studies Law Philosophy Religious studies and theology
Māori Knowledge and Development	Māori knowledge and development
Mathematical and Information Sciences and Technology	Computer science, information technology, information sciences Pure and applied mathematics Statistics
Medicine and Public Health	Biomedical Clinical medicine Public health
Physical Sciences	Chemistry Earth sciences Physics
Social Sciences and Other Cultural/Social Sciences	Anthropology and archaeology Communications, journalism and media studies Human geography Political science, international relations and public policy Psychology Sociology, social policy, social work, criminology and gender studies

Panel-Specific Guidelines

The Panel-Specific Guidelines will be prepared and published after the peer review panels for the 2012 Quality Evaluation have been appointed in early 2011.

Subjects that Cross Subject-Area Boundaries

Purpose of this topic

A number of research areas cannot readily be allocated to subject areas and panels – and so the purpose of this topic is to provide guidance on choosing a subject area that best fits the focus of an EP. The research activities covered in this topic are:

- Area Studies (eg. Pacific studies, Asian studies, European studies)
- Audiology
- Biomedical research (including pharmacology)
- Creative writing
- Curatorial studies
- Interior design
- Industrial design and product design
- Design history
- Environmental studies
- Food science and technology
- Librarianship and information management
- Māori education
- Māori health
- Multimedia and other media studies areas
- Tourism studies.

Note: The list above is not intended to be exhaustive.

Area studies (eg. Pacific studies, Asian studies, European studies)

Potential subject areas

- Depends on the underpinning research methodologies utilised in preparing research outputs.

Comment

For example, many staff members who research in area studies will be deploying social science or humanities paradigms, in which case the EP should be submitted to the Social Sciences and Other Cultural/Social Sciences Panel or the Humanities and Law Panel respectively.

Audiology

Potential subject areas

- Clinical Medicine
- Other Health Studies.

Comment

Audiology generally falls within the Clinical Medicine subject area of the Medicine and Public Health Panel. In cases where the research is primarily about rehabilitation, audiology could fall within Other Health Studies and so the EP could be submitted to the Health Panel.

Biomedical research (including pharmacology)

Potential subject areas

- Biomedical
- Molecular, Cellular and Whole Organism Biology.

Comment

The disciplines of physiology, pathology, immunology, pharmacology, biochemistry, molecular biology, genetics, genomics, cell biology, microbiology, neuroscience, developmental biology, and bioinformatics could fall within both the Biomedical subject area (Medicine and Public Health Panel) and the Molecular, Cellular and Whole Organism Biology subject area (Biological Sciences Panel). Research outputs that are being used primarily in medical science, clinical practice, public health and health interventions should be submitted to the Medicine and Public Health Panel. 'Other' research outputs in those disciplines or subject areas should be submitted to the Biological Sciences Panel.

Creative writing

Potential subject areas

- Music, Literary Arts and Other Arts
- English Language and Literature.

Comment

Creative writing is mostly associated with English and Literature departments. However, research that primarily represents creative writing outputs would fall within the Music, Literary Arts and Other Arts subject area and so should be submitted to the Creative and Performing Arts Panel: this is because the nature of assessment is likely to be closer to other creative and performing arts. Where the research is more closely aligned with humanities research it would fall within the English Language and Literature subject area and so the EP should be submitted to the Humanities and Law Panel.

Curatorial studies

Potential subject areas

- History, History of Art, Classics and Curatorial Studies
- Music, Literary Arts and Other Arts.

Comment

Curatorial studies would primarily fall within the History, History of Art, Classics and Curatorial Studies subject area and so would be submitted to the Humanities and Law Panel. However, in some cases, the nature of the research may be associated more with creative and performing arts research activity: therefore it would fall within the Music, Literary Arts and Other Arts subject area and the EP would be submitted to the Creative and Performing Arts Panel.

Interior design

Potential subject areas

- Design
- Architecture, Design, Planning, Surveying.

Comment

Research that is focused on interior design may fall within the Design subject area (Creative and Performing Arts Panel) or the Architecture, Design, Planning, Surveying subject area (Engineering, Technology and Architecture Panel). This depends on the research focus, and on whether it is closer in approach to architecture or creative design.

Industrial design and product design

Potential subject areas

- Design
- Architecture, Design, Planning, Surveying.

Comment

Research that is focused on industrial design and product design may fall within the Design subject area (Creative and Performing Arts Panel) or the Architecture, Design, Planning, Surveying subject area (Engineering, Technology and Architecture Panel). This depends on the research focus, and whether it is closer in approach to architecture/engineering or creative design.

Design history

Potential subject areas

- Design
- Architecture, Design, Planning, Surveying
- History, History of Art, Classics and Curatorial Studies.

Comment

Research into design history could feasibly be seen by three panels (Creative and Performing Arts Panel; Engineering, Technology and Architecture Panel; and Humanities and Law Panel). For example if the primary focus of the research involves historical analysis, it would fall within the History, History of Art, Classics and Curatorial Studies subject area and so the EP would be submitted to the Humanities and Law Panel. If the research outputs extend to other aspects of design, then see "Interior design" and "Industrial design and product design" immediately above.

Environmental studies

Potential subject areas

- Ecology, Evolution and Behaviour
- Chemistry
- Physics
- Public Health.

Comment

Research focused on environmental studies falls within a number of subject areas. The most appropriate subject area will reflect the underpinning disciplinary base of the research.

Food science and technology

Potential subject areas

- Engineering and Technology
- Chemistry
- Agriculture and Other Applied Biological Sciences.

Comment

Food science and technology research falls within a number of subject areas. Food science would fall within the subject area that best reflects the underlying science – that is, either the Chemistry subject area (Physical Sciences Panel) or the Agriculture and Other Applied Biological Sciences subject area (Biological Sciences Panel). Food technology would generally fall within the Engineering and Technology subject area, and so would be submitted to the Engineering, Technology and Architecture Panel.

Librarianship and information management

Potential subject areas

- Computer Science, Information Technology, Information Sciences
- History, History of Art, Classics and Curatorial Studies.

Comment

Librarianship and information management primarily falls within the Computer Science, Information Technology and Information Sciences subject area and so an EP with this research focus should be submitted to the Mathematical and Information Sciences and Technology Panel. A staff member may, however, feel that the focus of their research is primarily from a humanities perspective and in this case the EP would be more appropriately submitted to the Humanities and Law Panel (within the History, History of Art, Classics and Curatorial Studies subject area).

Māori education

Potential subject areas

- Education
- Māori Knowledge and Development.

Comment

Research focused on Māori education (including kaupapa Māori education and mātauranga Māori education) would generally fall within the Education subject area and so the EP would be submitted to the Education Panel. If the research outputs fundamentally influence Māori culture or development, however, they would fall within the Māori Knowledge and Development subject area and so the EP would be submitted to the Māori Knowledge and Development Panel.

Māori health

Potential subject areas

- Public Health
- Māori Knowledge and Development.

Comment

Research focused on Māori health (including hauora) would generally fall within the Public Health subject area and so the EP would be submitted to the Medicine and Public Health Panel. If the research outputs fundamentally influence Māori culture or development, however, they would fall within the Māori Knowledge and Development subject area and so the EP would be submitted to the Māori Knowledge and Development Panel.

Multimedia and other media studies

Potential subject areas

- Theatre and Dance, Film and Television and Multimedia
- English Language and Literature.

Comment

Research expressed by way of media products (eg. multimedia production) would generally fall within the Theatre and Dance, Film and Television and Multimedia subject area (Creative and Performing Arts Panel). Research that represents commentary on or analysis of media products would be likely to fall within the English Language and Literature subject area (Humanities and Law Panel).

Tourism studies

Potential subject areas

- Marketing and Tourism
- Other subject areas as applicable.

Comment

Research into tourism will generally fall within the Marketing and Tourism subject area (Business and Economics Panel); but where the research focus is primarily in another discipline (eg. history of tourism, or ecological tourism), the research could fall within another subject area and so the EP would be submitted to the panel responsible for that subject area.

Section H:
The Expert Advisory Groups

Introduction

This section of the Guidelines introduces the concept of expert advisory groups.

It is intended to help those who are responsible for completing EPs (both PBRF-eligible staff members and other TEO staff). It may also be of interest to panel members, TEC staff, and other stakeholders in the PBRF.

It contains the following topics …… on these pages:

The Pacific Research expert advisory group *90*

The Professional and Applied Research expert advisory group *90*

The Pacific Research expert advisory group

The work of the Pacific Research expert advisory group

The Pacific Research expert advisory group will be formed at the same time as the twelve peer review panels are formed. The purpose of the group is to assist panels assess EPs containing Pacific Research. The membership of the group will be publicly available. Once the group has been formed it will prepare the criteria for "Pacific Research" for the 2012 Quality Evaluation and will also develop the details of how the group will assess evidence portfolios. This material will be published at the same time as the Panel-Specific Guidelines.

The Professional and Applied Research expert advisory group

The work of the Professional and Applied Research expert advisory group

The Professional and Applied Research expert advisory group will be formed at the same time as the twelve peer review panels are formed. The group will consist of four sub-groups; Commercial, Professional Practice, Social and Environmental. The purpose of the wider group is to assist panels assess EPs containing Professional and Applied Research. The membership of the group will be publicly available. Once the group has been formed it will prepare the criteria for "Professional and Applied Research" for the 2012 Quality Evaluation and will also develop the details of how the group will assess evidence portfolios. This material will be published at the same time as the Panel-Specific Guidelines.

Steps for TEOs

Individual researchers who may wish to have their EP assessed by the Pacific Research and/or the Professional and Applied expert advisory group should inform their TEO. The TEO may then follow these steps:

- Refer to the relevant expert advisory group criteria for the 2012 Quality Evaluation to determine whether, according to these criteria, the EP contains elements of Pacific Research and/or Professional and Applied Research (specifically which of the four Professional and Applied sub-groups)
- Nominate a peer review panel for the EP as described in Section G: General Guidelines for Completing an EP and Selecting a Panel and Subject Area on page 81
- Indicate on the EP that the EP is to be assessed by the Pacific Research expert advisory group and/or one of the four Professional and Applied Research expert advisory sub-groups
- Indicate which of the Nominated Research Outputs (at least one) meets the criteria set out by the Pacific Research expert advisory group and/or one of the four Professional and Applied Research expert advisory sub-groups.

Assessment mandatory if requested

If a TEO indicates that an EP is to be assessed by the Pacific Research expert advisory group and/or one of the four Professional and Applied Research expert advisory sub-groups, no further decision is required and the EP will be cross-referred from the nominated peer review panel to the relevant expert advisory group.

Cross-referral to an expert advisory group differs from other sorts of cross-referral in that a TEO request for a cross-referral to an expert advisory group is sufficient for that cross-referral to take place.

Even if a TEO does not request cross-referral to an expert advisory group, the Chair of a nominated peer review panel can also decide that such cross-referral to the Pacific Research and/or one of the four Professional and Applied Research expert advisory sub-groups is necessary.

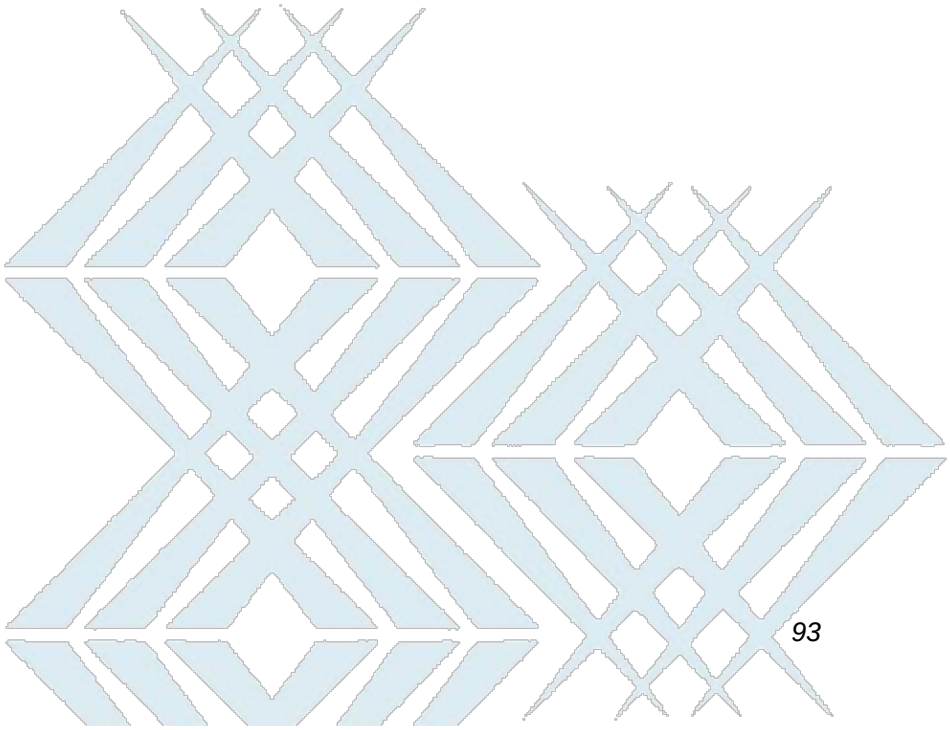
The expert advisory groups will check that the criteria for referral have been met before proceeding with assessment of the EP.

Note that neither the Pacific Research expert advisory group nor Professional and Applied Research expert advisory group are in themselves peer review panels and will only assess EPs cross-referred to it from a nominated peer review panel (either because a TEO has requested this or a panel Chair has requested it). A TEO wishing to have an EP assessed by the Pacific Research expert advisory group and/or one of the four Professional and Applied Research expert advisory sub-groups must also nominate a peer review panel for that EP.

Additional safeguard

If a researcher has been appointed to a TEO from professional practice or industry within the Quality Evaluation assessment period then panel Chairs will be able to seek the advice of the Professional and Applied Research expert advisory group when assessing the EP of that researcher, even if there has not been a request for such assessment from the TEO.

CHAPTER 3
QUALITY EVALUATION: ASSESSING, SCORING AND ASSIGNING A QUALITY CATEGORY TO EVIDENCE PORTFOLIOS



Overview of this Chapter

Chapter 3 of the Guidelines provides guidance on the peer review panels' assessment of evidence portfolios (EPs). It also covers the work of the moderators and the Moderation Panel.

It is intended to be used by:

- Staff in TEOs who are responsible for completing and assessing EPs
- Members of peer review panels and expert advisory groups
- TEC staff
- Other stakeholders or participants in the PBRF process.

It contains the following sections ……. on these pages:

Section A:
Introduction to the Assessment Process *95*

Section B:
Allocating EPs to Panel Members and Obtaining Additional Input *110*

Section C:
Assessing and Scoring the Three Components of an EP *116*

Section D:
Selecting, Obtaining and Examining Nominated Research Outputs *129*

Section E:
Assessing New and Emerging Researchers *133*

Section F
The Moderation Process *135*

Section G:
Guidelines for Conflict of Interest and Confidentiality *141*

Section A: Introduction to the Assessment Process

Introduction

This section of the Guidelines provides an introduction to the roles and responsibilities of peer review panels and the process by which EPs are assessed.

It will be of particular interest to the TEC peer review panel Chairs, panel members, expert advisory group members, specialist advisors, and those staff in TEOs involved in assessing EPs within their institution. It will also be of interest to PBRF-eligible staff members in TEOs and other stakeholders in the PBRF.

It contains the following topics …… on these pages:

Role of the Peer Review Panel 95
Responsibilities of a Panel Chair 96
Responsibilities of Panel Members 97
Responsibilities of Expert Advisory Group Chairs 98
Responsibilities of Expert Advisory Group Members 99
Responsibilities of the Panel Secretariat 99
The Panel Assessment Process 100
The Scoring System for panels 105
The Weighting System 105
The Scoring System for expert advisory groups 105
What do the Quality Categories Mean? 108

Role of the Peer Review Panel

Role

The role of a peer review panel is to assign a Quality Category to an EP that has been allocated to it. This involves individual panel members reviewing each EP in detail and then assigning preparatory and preliminary scores, as required, for each of the three components of the EP. This is followed by the full panel assigning a Quality Category to each EP via a process of holistic assessment. These processes are all carried out in accordance with policies, guidelines and procedures established by the TEC.

Responsibilities of a Panel Chair

Responsibilities

The responsibilities of a peer review panel Chair, when acting as Chair, are to:

- Ensure the panel operates within the policies, guidelines and procedures established by the TEC
- Assign each EP to two panel members for pre-meeting assessment and determine which of these panel members will be the lead for that EP
- If necessary, decide whether an EP requires additional input
- Advise and mentor panel members, as required, on the assessment criteria and processes
- Chair a meeting of the panel to review and calibrate the scores and to assign EPs to Quality Categories
- Ensure panel decisions are documented and that critical issues necessary for a fair review are appropriately addressed
- Ensure that the panel completes its preparation and evaluation work to agreed timeframes
- Ensure that all panel members have an opportunity to contribute to the process and participate fully in the panel's activities
- Take due regard of the decisions of the moderators and the Moderation Panel
- Report to the TEC Board at the end of the Quality Evaluation.

Responsibilities of Panel Members

Responsibilities

Panel members are to participate fully in the evaluation process within their panel. Specifically, their responsibilities are to:

- Understand the principles, guidelines and procedures of the PBRF Quality Evaluation
- Help revise and update panel-specific guidelines
- Assess EPs assigned to them by the panel Chair, primarily by assigning preparatory and preliminary scores as required
- Understand the broad criteria under which the evaluations are to be made, and apply these objectively to the work of the panel
- Be diligent in their preparation for meetings and in completing tasks allocated to them by the panel Chair (eg. undertaking initial assessment of EPs allocated to them in a timely manner)
- Contribute fully, constructively and dispassionately to all panel processes and take collective ownership for the panel decisions
- Maintain confidentiality of both the deliberations and decisions of the panel
- Exercise due skill and care in the performance of their responsibilities
- Identify instances where they may have a conflict of interest and raise this with the panel Chair prior to the conflict occurring.

Important

It is important to note that panel members have been appointed to the panels for their specific expertise and knowledge, and are not to act as representatives of their employer or discipline.

Responsibilities of Pacific Research Expert Advisory Group Chair

Responsibilities

The responsibilities of the Pacific Research expert advisory group Chair are to:

- Ensure the Pacific Research expert advisory group operates within the policies, guidelines and procedures established by the TEC
- Review EPs against the criteria for assessment by the Pacific Research expert advisory group, and where an EP does not meet the criteria, decline to assess
- Assign each EP cross-referred to the expert advisory group to one or two expert advisory group members for assessment
- Decide if additional specialist advice should be sought from outside the immediate EAG membership in order to:
  - address specialist content of any EP or
  - assist in assessing NROs wholly or partially in a language that is inaccessible to EAG members
- Ensure that the Pacific Research expert advisory group completes its preparation and evaluation work to agreed timeframes
- Advise and mentor expert advisory group members, as required, on the assessment criteria and processes.

Responsibilities of Professional and Applied Expert Advisory Group Chair

Responsibilities

The responsibilities of the Professional and Applied expert advisory group Chair are to:

- Ensure the Professional and Applied expert advisory group operates within the policies, guidelines and procedures established by the TEC
- Review any EPs a sub-group Chair recommends are declined for assessment on the grounds they do not meet the criteria for the sub-group, and make the final decision regarding the recommendation.
- Ensure that the Professional and Applied expert advisory sub-groups complete their preparation and evaluation work to agreed timeframes
- Advise and mentor Professional and Applied expert advisory sub-group members, as required, on the assessment criteria and processes.

Responsibilities of Professional and Applied Expert Advisory Sub-Group Chairs

Responsibilities

The responsibilities of the Professional and Applied expert advisory group Sub-Chairs are to:

- Ensure the expert advisory sub-group operates within the policies, guidelines and procedures established by the TEC
- Review EPs against the criteria for assessment by the Professional and Applied Research expert advisory sub-group, and where the EP does not meet the criteria, refer it to the Professional and Applied expert advisory group Chair to decline to assess
- Assign each EP that has been cross-referred to the expert advisory sub-group, to one or two expert advisory sub-group members for assessment
- Decide if additional specialist advice should be sought from outside the immediate expert advisory sub-group membership in order to address specialist content of any EP
- Ensure that the expert advisory sub-group completes its preparation and evaluation work to agreed timeframes
- Advise and mentor expert advisory sub-group members, as required, on the assessment criteria and processes.

Responsibilities of Expert Advisory Group Members

Responsibilities

The responsibilities of expert advisory group members are to:

- Understand the specific criteria under which the evaluations are to be made, and apply these objectively to the work of the expert advisory group or sub-group
- Help develop criteria for the expert advisory group
- Assess EPs assigned to them by the expert advisory group or sub-group Chair
- Maintain confidentiality
- Exercise due skill and care in the performance of their responsibilities
- Identify instances where they may have a conflict of interest and raise this with the expert advisory group or sub-group Chair prior to the conflict occurring.

Responsibilities of the Panel Secretariat

Responsibilities

A secretariat will provide policy, technical and administrative support to each panel Chair and to panel members.

The Panel Assessment Process

Allocation of EPs

Panel Chairs will assign EPs to two panel members for pre-meeting assessment and scoring. Panel Chairs will designate one of these two panel members as lead for that EP.

The panel Chair will also, if necessary, determine whether the EP will be cross-referred to another peer review panel or an expert advisory group or whether additional input from a specialist advisor will be sought.

In allocating EPs to panel members, the Chair will have regard to:

- The expertise of the panel members in the subject areas in which the staff member is being assessed
- Any declared conflict of interest (see this chapter Section G: Guidelines for Conflict of Interest and Confidentiality on page 141)
- Achieving a balance of workload across panel members.

Pre-meeting assessment and scoring: responsibilities

Panel members will work within the established policies, guidelines and procedures for the PBRF and within the specific guidelines for their particular panel. The panel-specific guidelines will be prepared once the panels have been appointed in 2011.

Panel members' responsibilities in assessing the EPs assigned to them are to:

- Follow the assessment process outlined later in this chapter (see Section C: Assessing and Scoring the Three Components of an EP on page 116)
- Confirm they have no conflicts of interest that prevent them from assessing the EPs assigned to them
- Review all the material in the EPs assigned to them
- Review or request any of the Nominated Research Outputs (NROs), as required
- If necessary, assist the panel Chair to identify if specialist advice or expert advice or cross-referral is required
- Determine and record preparatory component scores for each EP, using the PBRF assessment policies, the descriptors and tie-points for each component, and the panel-specific guidelines – and taking into account any advice from the moderators
- Complete all documentation required for this part of the assessment process
- Maintain confidentiality in relation to all material in, and discussions relating to, the EPs reviewed.

Lead panel member

One of the panel members responsible for an EP's pre-meeting assessment and scoring will be designated the 'lead' panel member. The lead panel member will:

- Co-ordinate the discussion with the other assigned panel members during the detailed assessment and provision of an initial score
- If necessary, consider preparatory scores and/or comments provided as a result of additional input
- Record any discussion points with other panel members and/or additional assessors (where the EP has been referred to specialist advisers, expert advisory groups or cross-referred to another panel)
- Lead any discussion on that EP at the panel meeting.

The steps in the assessment process

The process of assessing an EP starts with preparatory scores and ends with a Final Quality Category. The steps in this process are:

- *Preparatory* scores for each of the three components, provided by assigned panel members, and possibly also cross-referred panel members, expert advisory group members and/or specialist advisors
- A *Preliminary* score for each of the three components, provided by the two primary panel members
- An *Indicative* Quality Category based on the *preliminary* component scores
- *Calibrated panel* scores for each of the three components based on the calibration of the preceding sets of scores
- A *Calibrated Panel* Quality Category based on these calibrated component scores
- A *Holistic* Quality Category based on a holistic judgement of each EP
- A *Final* Quality Category.

More detail on each of these steps follows.

Determining *preparatory* scores

The first stage of the assessment results in the generation and recording of a set of *preparatory* scores for each of the three components of an EP.

In this first stage, each panel member will assign two sets of component scores. These are:

Preparatory–NoSpecial component scores

Preparatory–Special component scores.

Assigning *Preparatory–NoSpecial* scores

Where panel members assign component scores to each of the three components of the EP and do **not** take into account any special circumstances, this will generate *Preparatory–NoSpecial* scores.

Assigning *Preparatory–Special* scores

Where panel members assign component scores to each of the three components of the EP and **do** take into account any special circumstances, this will generate *Preparatory-Special* scores.

The panel member must confirm they have considered special circumstances if any were included in the EP.

If there is a change to the component scores as a result of consideration of special circumstances, the panellist must record as a comment, the rationale for the scores they have provided.

Determining *preparatory* scores where cross-referral has occurred

It may be decided by the panel Chair that the Evidence Portfolio (EP) should be referred to a specialist adviser and/or cross-referred to another panel (see this chapter Section B: Allocating EPs to Panel Members and Obtaining Additional Input, especially from page 110 onwards).

Additionally, a TEO or a panel Chair may have directed that an EP be cross-referred to one of the expert advisory groups.

Cross-referral to peer review panel

If the EP involves a cross-referral to a peer review panel then this stage of the assessment will also result in the generation and recording of a set of *preparatory* scores for each of its three components.

Each cross-referral panel member must assign and record two sets of component scores, and a comment if appropriate. These are:

Preparatory–NoSpecial component scores

Preparatory–Special component scores.

The cross-referral panel member must confirm they have considered special circumstances if any were included in the EP.

If there is a change to a component scores as a result of considering special circumstances, the panel member must record the rationale for the scores they have provided.

Cross-referral to an expert advisory group

If the EP involves a cross-referral to an expert advisory group, then this stage of the assessment will result in the generation and recording of an overall *preparatory* score for the EP and a comment.

Cross-referral to a specialist advisor

If the EP involves specialist advice then this stage of the assessment will result in recording a *preparatory* comment.

Determining *preliminary* scores

The two primary panel members assigned to work together on the pre-meeting assessment and scoring will determine and record one set of component scores. These scores are known as the:

- *Preliminary* component scores.

These preliminary scores will be based on a calibration of all the *preparatory* scores - including those from the primary panel members, cross-referral panels, expert advisory groups and specialist advisors.

If there is a change to the *preliminary* component scores as a result of calibration of the *preparatory* scores, the lead primary panel member must record the rationale for the scores they have provided.

The Moderators will give guidance to panels on the weightings for special circumstances from analysis within and between panels based on the *preparatory* scores.

Deriving *Indicative* Quality Categories

When a set of *Preliminary* component scores are recorded the TEC's PBRF system will derive an:

- *Indicative* Quality Category.

Note: The TEC's PBRF system will provide for the award of "C(NE)" and "R(NE)" Quality Categories for new and emerging researchers at this and subsequent stages in the assessment. See this chapter Section E: Assessing New and Emerging Researchers on page 133 for more information on the assessment criteria for new and emerging researchers.

Determining *calibrated panel* component scores

At the full panel meetings, discussion (including the use of exemplar EPs to calibrate the various component scores) will lead to an agreement on and recording of the following scores:

- *Calibrated* Panel component scores.

Deriving *Calibrated Panel* Quality Categories

When a set of *Calibrated Panel* component scores are recorded the TEC's PBRF system will derive a:

- *Calibrated* Panel Quality Category.

Determining *Holistic* Quality Categories

This *Calibrated Panel* Quality Category for each EP will then be reviewed by the full panel, as part of the holistic assessment process.

The purpose of the holistic assessment is to ascertain which of the available Quality Categories is most appropriate for an EP, taking all relevant factors into consideration. It is expected that in the majority of EPs the Calibrated Panel Quality Category would become the final score, and the holistic phase would be primarily for exceptions. In forming their holistic judgement about the Quality Category to be assigned to an EP, the panel will take the following information into account:

- The Quality Categories arising out of each of the stages of the assessment process
- The scoring of the Research Output (RO), Peer Esteem (PE) and Contribution to Research Environment (CRE) components at each of the stages of the assessment process
- Notes indicating uncommon factors about the EP (eg. in relation to quantity and/or quality issues)
- Whether special circumstances have been appropriately applied and, if so, whether the circumstances in question are sufficient to affect which Quality Category should be assigned to the EP
- Whether the EP is eligible for the assignment of a "C(NE) or "R(NE)"
- The fact that the eight-step scoring system does not facilitate the use of fractional scores
- The potential for the PE and CRE component scores to be influenced by the placement in EPs of particular types of information
- The additional rules applying to the assignment of a "C" Quality Category (see "Additional rules" on page 107)
- Whether the evidence in the PE component is congruent with the judgements made about the appropriate score for the RO component
- The Quality Category descriptors
- The fact that there is no requirement for the component scores and Quality Category to be in agreement if the holistic assessment of an EP produces a different result.

The full panel will then determine and record:

- *Holistic* Quality Categories.

Assigning *Final* Quality Categories

Following the determination of *Holistic* Quality Categories, panels will assign and record:

- *Final* Quality Category.

A *Final* Quality Category of R or R(NE) for PBRF-eligible staff members who did not submit an EP, will be derived at this stage.

Defensible decisions

In deciding on the assignment of a Quality Category to an EP, panels will need to ensure that their decisions are defensible.

The Scoring System for panels

The points scale

The first stage in the assessment of EPs is based on allocating points for each of the three components of the EP. The points scale used has the following characteristics:

- The scale has a range from 0 – 7
- '7' is the highest point on the scale and '0' is the lowest
- A score of '0' would reflect that no evidence has been provided in the EP for that component
- Only **whole** scores can be allocated (eg. scores of 4.5 or 3.25 will not be allowed).

Descriptors and tie-points

The descriptors and tie-points for each of the three components are used to assist with the scoring.

The descriptors provide an introduction to the component being assessed.

The tie-points encapsulate the standard expected for that score.

Role of the tie-points

The tie-points at 2, 4 and 6 are used to distinguish between different descriptions of quality for each of the components.

The Weighting System

The status of the weighting system

The weighting system is **not** intended as a mechanical or absolute method for determining Quality Categories. The various weightings may be overridden as part of the holistic assessment of EPs.

The weighting scale

A weighted score will be calculated by the TEC's PBRF system for each component of each EP.

The same weightings will be used for all EPs, to ensure maximum comparability in judgements across panels.

These weightings are set out in the following table.

Component	Weighting
Research Output (RO)	70
Peer Esteem (PE)	15
Contribution to the Research Environment (CRE)	15

The Scoring System for expert advisory groups

The points scale

The preparatory assessment by expert advisory groups of EPs is based on allocating one score for an overall assessment of the EP. The points scale used has the following characteristics:

- The scale has a range from 0 – 7

- '7' is the highest point on the scale and '0' is the lowest
- A score of '0' would reflect that the research provided in the EP has had no measurable significance, quality and impact against the expert advisory group criteria
- Only whole scores can be allocated (eg. scores of 4.5 or 3.25 will not be allowed).

Criteria and scoring guide

Refer to the "Professional and Applied Research Expert Advisory Group Criteria for the 2012 Quality Evaluation" and "Pacific Research Expert Advisory Group Criteria for the 2012 Quality Evaluation" for details of the criteria and scoring guides for each of the expert advisory groups and subgroups.

Treatment of new and emerging researchers

Panels will take into account whether an individual is a new and emerging researcher.

For the award of the "C(NE)" Quality Category, specific assessment criteria exist for new and emerging researchers. (See this chapter Section E: Assessing New and Emerging Researchers on page 133.)

The weightings of 70 and 15 and 15 (set out in the table immediately above) apply when a new and emerging researcher's EP is being considered for the assignment of an "A" or "B" Quality Category.

Additional Rules

Where Quality Categories are being determined or assigned, the following additional rules should be applied to the RO component score:

- A score of at least 2 on RO will be required for the award of a "C" Quality Category
- An EP will not meet the minimum requirements for a component score of 2 if the only NRO in the EP is a Masters or Doctoral thesis.

Note: While these are necessary conditions, they do not imply that an RO score of 2 would automatically give a Quality Category of "C".

Calculating the weighted score

The score for each component is multiplied by the weighting for that component. The weighted total for each Evidence Portfolio (EP) will be calculated automatically by the TEC's PBRF system.
The maximum weighted score available is 700. This would require each component of an individual's EP to receive a score of 7.

Example of calculation

This table below provides an example of how a total weighted score is calculated.

EP Component	Raw Score (0 – 7)	Weighting (%)	Weighted Score
RO	4	70	280
PE	6	15	90
CRE	5	15	75
Total Weighted Score			**445**

Total weighted score provides initial placement into a Quality Category

The purpose of the total weighted score is to provide an initial placement of each EP into one of the six available Quality Categories.

This initial placement does not necessarily determine the Final Quality Category that will be assigned to an EP. The Final Quality Category is a decision of the panel based on its calibration of panel members' results, its holistic judgement of the EP, and the Quality Category awarded to the researcher's prior EP in 2003 or 2006 (if any).

Relationship of total weighted score and Indicative Quality Category

The table below shows the Quality Categories associated with the range of weighted scores for all PBRF-eligible staff members **except** new and emerging researchers.

Total weighted score	Quality Category
600 – 700	A
400 – 599	B
200 – 399	C
Less than 200	R

Relationship of total weighted score and Indicative Quality Category for new and emerging researchers

This table shows the Quality Categories associated with the range of weighted scores for new and emerging researchers.

Note that, because new and emerging researchers are not required to supply PE and CRE components, a new and emerging researcher awarded a Raw Score of 2 for their RO component, will have their Weighted Score automatically rounded up from 140 to 200.

Specific assessment criteria exist for the award of "C(NE)" for new and emerging researchers and apply at the holistic assessment phase. See also this chapter Section E: Assessing New and Emerging Researchers on page 133 for information on this.

Total weighted score	Quality Category
600 – 700	A
400 – 599	B
200 – 399	C(NE)
Less than 200	R(NE)

What do the Quality Categories Mean?

Important considerations

While the following descriptors provide a useful reference point, they are 'generalised' in approach. In determining or assigning Quality Categories, panels are expected to take account of other factors including (but not limited to) special circumstances, the specific assessment criteria for new and emerging researchers, and the overall principle of holistic assessment of Evidence Portfolios (EPs).

Quality Category descriptors

Quality Category "A": For an EP to be assigned an "A" it would normally be expected that the staff member has, during the assessment period in question, produced research outputs of a world-class standard, established a high level of peer recognition and esteem within the relevant subject area of their research, and made a significant contribution to the New Zealand and/or international research environments.

Quality Category "B": For an EP to be assigned a "B" it would normally be expected that the staff member has, during the assessment period in question, produced research outputs of a high quality, acquired recognition by peers for their research at least at a national level, and made a contribution to the research environment beyond their institution and/or a significant contribution within their institution.

Quality Category "C": For an EP to be assigned a "C" it would normally be expected that the staff member has, during the assessment period in question, produced a reasonable quantity of quality-assured research outputs, acquired some peer recognition for their research, and made a contribution to the research environment within their institution. *This Quality Category is available for the EPs of all PBRF-eligible staff members **except** new and emerging researchers.*

Quality Category "C(NE)": For an EP to be assigned a "C(NE)" a new or emerging researcher would normally be expected, during the assessment period in question, to have produced a reasonable platform of research, as evidenced by having:

either

a) completed their doctorate or equivalent qualification and produced at least two quality-assured research outputs

or

b) produced research outputs equivalent to a doctorate and at least two quality-assured research outputs. *This Quality Category is available for the EPs of new and emerging researchers only.*

Quality Category "R": An EP will be assigned an "R" when it does not demonstrate the quality standard required for a "C" Quality Category or higher. *This Quality Category is available for the EPs of all PBRF-eligible staff members **except** new and emerging researchers.*

Quality Category "R(NE)": An EP will be assigned an "R(NE)" when it does not demonstrate the quality standard required for a "C(NE)" Quality Category or higher. *This Quality Category is available for the EPs of new and emerging researchers only.*

Section B: Allocating EPs to Panel Members and Obtaining Additional Input

Introduction

This section of the Guidelines provides guidance to help panel Chairs allocate Evidence Portfolios (EPs) to panel members for pre-meeting assessment and scoring, and to determine when EPs require additional input from outside the panel.

It may also be of interest to staff members in TEOs who are responsible for completing and assessing EPs, and to other stakeholders in the PBRF.

It contains the following topics …… on these pages:

Allocating EPs to Panels and Panel Members 110

Obtaining Additional Input 111

Cross-Referrals to another Panel 111

Using a Specialist Adviser 112

Guidelines for Special Input Requirements: Māori Research 115

Allocating EPs to Panels and Panel Members

Allocating an EP

Although the TEO has nominated a panel for each EP, the TEC (through the panel Chairs and Principal Moderator) will make the final decision on the allocation of EPs.

Transferring an EP to another panel

Participating TEOs will have selected a panel, subject area and provided a primary field of research for each EP submitted to the TEC. These selections will be checked against the PBRF Guidelines for panel selection and finalised for the panel Chairs' approval.

The transfer of an EP might be required for several reasons including, but not restricted to, the following:

- The primary subject area of research falls within the coverage of another panel
- Conflict of interest exists within the primary panel
- Relevant subject-area expertise may reside in a different panel.

On the advice of panel Chairs, the TEC will transfer an EP to another panel. The panel secretariat will be responsible for recording the reason for the transfer. The new panel is responsible for assessing and reporting on the EP.

Where an EP has been transferred, the EP will be cross-referred to the original panel for additional input. Where the original panel is unable to provide additional input (eg. owing to a lack of expertise or a conflict of interest), specialist advice will be sought.

Notification of TEOs

The TEO will be notified if an EP is transferred to another panel. This will take place at the end of the assessment process, as part of the reporting of results. The notification will include reasons why the transfer took place.

Obtaining Additional Input

What is additional input?

There are three sources of additional input:

- Cross-referral to another panel
- Advice from a specialist adviser
- Cross-referral to one of the two expert advisory groups.

More information on these can be found below.

Who makes decisions about additional input?

Decisions about whether or not additional input will be sought are made by panel Chairs.

TEO requests for additional input will be taken into account when decisions about additional input are made, but a TEO request for additional input is not in itself sufficient to guarantee that additional input will be sought.

There are two exceptions to this.

- The first is when a TEO has requested additional input from an expert advisory group. All TEO requests for additional input from an expert advisory group will result in such additional input being sought.
- The second is when a TEO has requested that an EP be cross-referred to the Māori Knowledge and Development (MKD) panel. All TEO requests for cross-referral to the MKD panel will result in such cross-referral occurring.

When is additional input needed?

Additional input may be needed when:

- The members of a panel cannot provide all the expertise necessary to fully review an EP that has been correctly assigned to it (ie. the panel is the best one to undertake the assessment but it needs assistance in doing so)
- The EP has been transferred from the panel it was initially allocated to, and so additional advice from the original panel is required (see "Transferring an EP to another panel" above)
- A staff member (through their TEO) has requested that another panel participates in the assessment of their EP.

Cross-Referrals to another Panel

General principles

The general principle for handling EPs that cross subject areas and panels is that one panel will be allocated the EP. The panel to which the EP is originally allocated will take primary responsibility for assessing it.

Cross-referral

Typically, an EP will be cross-referred to another panel (or other panels) when a significant proportion, but not a majority, of the outputs listed in the Research Output (RO) component falls within the subject areas covered by the other panel(s).

Cross-referral may also be appropriate when one or more Nominated Research Outputs (NROs) fall within the subject areas covered by another panel.

Decisions on cross-referral will be made by the Chair of the panel to which the EP was originally allocated.

Using a Specialist Adviser

When to use a specialist adviser

A specialist adviser may be used in the following circumstances:

- Where it is appropriate to supplement the relevant subject-area expertise within a particular panel, across the panels or within a particular expert advisory group or sub-group

  OR

- Where conflicts of interest prevent a panel member with the relevant expertise from participating in the assessment of a particular EP

  OR

- Where members of a panel with the relevant subject-area expertise cannot reach a consensus on the scoring of components of an EP and the panel Chair considers that specialist advice is required to assist in the assessment

  OR

- Where the EP is submitted in a language that is inaccessible to the members of the panel.

Responsibility for decision

The responsibility for determining whether a specialist adviser is necessary lies with the Chair of the panel responsible for the EP and/or the Chair of the Expert Advisory Group or Subgroup.

TEOs and individual staff members cannot request that a specialist adviser considers an EP.

In considering the use of specialist advisers, panel and EAG Chairs will balance the need to guarantee the fairness, rigour and integrity of the assessment process against the need to avoid excessive costs, delays and administrative complexity.

Once the decision has been made, the panel secretariat will ensure that the specialist advice is obtained.

Selecting a specialist adviser

The table below shows the process for selecting specialist advisers.

Step	Action
1	Panel Chairs and/or EAG Chairs consult with panel or EAG members to identify: • Which subject areas covered by the panel or EAG may require specialist advisers • Who would be best to fulfil the role with respect to the subject area in question.
2	A list of the specialist advisors appointed in 2011/2012, and their subject areas, will be available.
3	The list is updated if requirements for additional specialist advisers are identified during the Quality Evaluation.

Note

The need for a specialist adviser may not be identified until the EPs have been received by the TEC.

Location of specialist advisers

A specialist adviser may be located either in New Zealand or overseas.

The TEC appoints the specialist adviser

The specialist adviser will be approached by the TEC to secure their agreement to fulfil the role.

The specialist adviser will be formally appointed by the TEC.

Rules for specialist advisers

Each specialist adviser will:

- Be required to sign the Confidentiality Agreement and complete the Declaration of Conflicts of Interest before receiving any EPs or NROs
- Receive a copy of these Guidelines and any other necessary documentation that will facilitate their task
- Receive a briefing on the assessment process and their responsibilities, including training on the RO component criteria, descriptors and tie points
- Receive clear and specific instructions on what is required; in most cases, the specialist adviser's focus will be on the quality of the research outputs
- Have access to view the EPs and NROs.

Rules for specialist advice

The specialist advice will be provided to the panel. This advice:

- May be general in its scope, or may include recommendations on the component score(s) to be assigned to the EP component(s) for which the advice was requested
- Will **not** include advice on the Quality Category to be assigned to the EP
- Will be in the form of a brief written report entered into the comments field
- Once entered, this report will be available to the panel Chair, the panel members, the EAG Chair and the EAG members responsible for the pre-meeting assessment and scoring of the EP.

Communicating with specialist advisers

Specialist advisers will communicate with panel Chairs and/or EAG Chairs and sub Chairs, and the TEC Secretariat.

Reporting on use of specialist advisers

TEOs will **not** be notified of the use of specialist advisers for individual EPs. Instead each panel will include in its report, at the end of the Quality Evaluation, a list of the specialist advisers it has used.

Cross-Referrals to an expert advisory group

How this type of cross-referral differs

This type of cross-referral differs from those described above in that the TEO determines whether it will take place for any given EP. This is done by means of an indicator in the EP.

In order for a TEO to request referral of an EP to an expert advisory group, the EP must contain at least one NRO that meets the criteria set out by the relevant expert advisory group, and this NRO must be highlighted by means of an indicator.

Only one subgroup (Commercial, Environmental, Professional Practice or Social) can be selected for referral to the Professional and Applied Research expert advisory group.

In addition, a panel Chair may also refer an EP to an expert advisory group.

Note that the two expert advisory groups are not themselves peer review panels and will only assess EPs that are cross-referred to them from peer review panels. An expert advisory group cannot be nominated as a peer review panel.

Guidelines for Special Input Requirements: Māori Research

Māori Knowledge and Development Panel

The Māori Knowledge and Development Panel will normally assess all EPs that contain kaupapa Māori or Māori-centred research.

This means that the panel will consider all EPs where there is evidence of research based on Māori world-views (both traditional and contemporary) and Māori methods of research.

Researchers (through their TEO) will have an opportunity to indicate on their EP if they would like the EP cross-referred to the Māori Knowledge and Development (MKD) panel. If such an indication is made, the cross-referral will occur. The MKD panel is the only peer review panel where this is the case.

This mandatory cross-referral is similar to that applying to expert advisory groups, although there is a significant difference in that the MKD panel is a peer review panel and the expert advisory groups are not peer review panels.

Use of Māori specialist advisers

In addition to the above requirement regarding cross-referral to the MKD panel, panel Chairs will also have the opportunity to decide whether input from a Māori specialist adviser is required for an EP that has been allocated to their panel. A Māori specialist adviser may be required when the EP contains:

- Research involving Māori

  AND/OR

- Research that is specifically relevant to Māori.

Descriptions of these two kinds of research are given immediately below.

Research involving Māori

Research involving Māori is research where:

- One or more NROs address an issue of importance for Māori and show evidence of involvement with Māori

  OR

- The NROs are of such a nature that they are able to contribute to the understanding of issues affecting Māori.

Research specifically relevant to Māori

Research specifically relevant to Māori is research where:

- One or more of the NROs are specifically relevant to Māori

  OR

- Research impact or uptake may provide an opportunity to increase the understanding of issues affecting Māori.

Role of Māori specialist advisers

The role of Māori specialist advisers is to provide panels with advice on the quality of research outputs dealing with matters relevant to Māori.

Section C:
Assessing and Scoring the Three Components of an EP

Introduction

This section of the Guidelines provides guidance on scoring the three components of an EP.

It is intended to be used by panel members. It may also be of interest to staff members in TEOs who are responsible for completing and assessing EPs, and to other stakeholders in the PBRF.

It contains the following topics …… on these pages:

General Guidelines for Assessing an EP 116

The 'Quantity' of Research 117

Assessing the EP's Research Outputs 120

Establishing Expectations in Scoring the Three Components of the EP 121

Scoring the RO Component 122

Scoring an EP: Allocating Points for Research Outputs 122

Scoring an EP: Allocating Points for Peer Esteem 125

Scoring an EP: Allocating Points for Contribution to the Research Environment 127

General Guidelines for Assessing an EP

The three key components

An EP is assessed on each of its three components:

- Research outputs (RO)
- Peer esteem (PE)
- Contribution to the research environment (CRE).

General assessment principles

The following principles should be used in assessing Evidence Portfolios (EPs):

- The Quality Evaluation is a standards-referenced rather than a norm-referenced assessment regime – so there are no predetermined limits on the proportion of PBRF-eligible staff members who can be assigned to particular Quality Categories
- The standards used are based on the descriptors (with specific tie-points) for each of the three components of the EP
- The process is one of holistic assessment (which is based on **all** the information provided in the full EP, the descriptors and tie-points for each of the three components of the EP, and the descriptors for each Quality Category)
- The assessment is primarily about quality, not quantity
- Only the information contained in the EP, along with any Nominated Research Outputs (NROs) examined by the panel, will be used for assessment purposes
- There are explicit assessment criteria for the assessment of new and emerging researchers for the "C(NE)" Quality Category
- There is provision for the recognition of sustained special circumstances over at least half of the assessment period to affect the quantity of entries in all components of the EP
- In the RO component, research outputs that meet the PBRF Definition of Research (see Chapter 1 Section D: What Counts as Research? on page 25.) are essential; but they are not sufficient in themselves for achieving a funded Quality Category other than in exceptional circumstances
- Particular attention should be given to those EPs that:
  - are on, or close to, the boundaries between Quality Categories *and/or*
  - have a lower quantity in any of the three components because of special circumstances *and/or*
  - have unusual combinations of scores across the three components (eg. 7 for RO but 2 for PE and 2 for CRE).

The 'Quantity' of Research

Quantity in the context of quality

The PBRF is primarily concerned with the quality of research and not the quantity of research output. However, the Quality Category to which an EP is assigned depends upon there being an adequate platform of research and the quantity of research is important in this context.

Platform of research

The research platform is the body of research outputs as described in the (up to) four NROs **and** the (up to) 30 'other' research outputs.

Research output scores are likely to be higher where the platform of research in an EP shows evidence of a greater breadth and/or depth of research activity.

However, there will always be exceptions to this (eg. an EP where the quantity of ROs is relatively low, but which includes one or two outstanding research outputs that have had a major impact on a discipline).

Minimum requirement

At least one NRO is required before an EP can be accepted for assessment by the TEC.

Where an EP contains four or more research outputs, a staff member must submit four of these research outputs as NROs. Staff members should ensure their EP does not contain, for example, two NROs and a number of 'other' research outputs.

Special circumstances

Where there are fewer than four NROs in an EP, **and** where the reason for this falls within the criteria for special circumstances, details should be provided in the Special Circumstances fields of the EP. Each case will be looked at on its merits.

Where a panel concludes there is insufficient reason (in terms of Special Circumstances) for an EP having fewer than four NROs, this may be reflected in the Final Quality Category assigned to the EP.

Questions to consider in assessing quantity

The following table outlines the issues panel members will consider when they assess the RO component and look at the adequacy of quantity.

Question	Factors/Considerations
Does the EP meet the general expectation set for the **quantity** of research outputs?	• Any factors outlined in panel-specific guidelines • Does the staff member meet the criteria for a new and emerging researcher? • Information contained in the Special Circumstances field of the EP • The type of research outputs produced (eg. in some subject areas, a book would normally be weighted more than an article) • Particular weight should be given to NROs.
Is there an adequate platform of research for that score?	• See Scoring an EP: Allocating Points for Research Outputs on page 122 • Consider both the NROs and the 'other' research outputs, but give greater weight to the NROs • As a general rule, the research platform would be expected to be broader (ie. contain more quality-assured research outputs) if higher scores are allocated, but there could be exceptions to this • Special circumstances are not considered in the assessment of quality.
Are there any uncommon factors associated with the research outputs?	• Consider both quality and quantity • Record these factors for the panel to consider.
Score the research output between 0 and 7	• Use the descriptors for the tie-points to guide the scoring • Give greater weight to quality factors rather than quantity factors.
Which of the tie-point (ie. scoring) descriptors best reflects the quality of the research output in the EP?	• See Scoring an EP: Allocating Points for Research Outputs on page 122.

Concerns about quantity

Where a panel member has concerns about the quantity of research outputs (ie. it fails to meet the expectations), this should be discussed with the other panel members assessing the EP. If all agree that the quantity of research does not meet expectations (taking special circumstances into account where appropriate), then this should be noted.

Panel meeting calibration

In the panel meeting, the panel will calibrate both quality (the scoring according to the tie-point descriptors) and quantity (the factors that determine whether research outputs meet the guidelines, and the appropriate breadth of the research platform at each tie-point).

Assessing the EP's Research Outputs

Critical importance

The RO component is the most important of the assessment components in the Quality Evaluation. This can be seen in its weighting – it accounts for 70% of the overall assessment of the staff member's EP (although the holistic assessment of EPs may override this weighting).

In addition, the RO component can influence the Quality Category assigned to an EP. For example, a staff member whose EP provides only limited evidence of peer esteem or contribution to the research environment may nevertheless have a "C" or "B" Quality Category assigned if their research outputs are of high quality. Conversely a staff member with high evidence of peer esteem or contribution to the research environment, but with no evidence of high-quality research outputs, would be unlikely to have an "A" or "B" Quality Category assigned to their EP.

Note: The assessment criteria for new and emerging researchers are different to that relating to other staff (see this chapter Section E: Assessing New and Emerging Researchers on page 133). New and emerging staff members may be awarded a "C(NE)" Quality Category **without any evidence** of peer esteem or contribution to the research environment.

General principles

The following general principles apply to the assessment of research outputs:

- Each research output must fall within the Definition of Research for the PBRF (see Chapter 1 Section D: What Counts as Research? on page 25).
- Any research output included in the EP, including confidential outputs, must have been produced (ie. published, publicly disseminated, presented, performed, or exhibited) within the assessment period.
- All research outputs must be able to be made available to, and be assessed by, a peer review panel.
- All research activity will be considered on its merits regardless of whether it is concerned with basic, fundamental, strategic, artistic or applied research. The assessment of research activity will treat the outputs of practice-based research fairly, in relation to the outputs of other research.
- All types of research output will be considered on their merits. One type of research is not considered to be of greater quality per se than another, simply because of the nature of the output type (eg. a performance should not be considered of lesser standing than a publication in a journal). The panel-specific guidelines may have further information on the research output types that may be expected as NROs.
- The absence of quality assurance for an output will not automatically be taken to imply low quality.

Establishing Expectations in Scoring the Three Components of the EP

Independent assessment of each component

The three components (Research Output (RO), Peer Esteem (PE), Contribution to Research Environment (CRE)) will be assessed using the descriptors and tie-points for each component (see the next four topics in this Section, on pages 122 to 127) as well as the guidelines provided by the panel(s) to which the EP has been assigned or cross-referred.

Special circumstances

Special circumstances will be considered prior to the panels meeting and then revisited as part of the panel determination of Quality Categories.

New and emerging researchers

The assessment process provides specific assessment criteria for new and emerging researchers (see Assessing New and Emerging Researchers on page 133).

Allocating scores

Each of the EP's three components will be scored separately, using the 0 – 7 points scale shown in the following table.

Score	Significance
7	Maximum
6	Tie-point
5	
4	Tie-point
3	
2	Tie-point
1	Minimal evidence
0	No evidence supplied

Descriptions of scores

The following four topics provide more detailed descriptions of the criteria that panel members should take into account when assigning a score to each of the components of the EP.

Scoring the RO Component

World class

The use of 'world-class' in relation to the RO component is not intended to suggest that those research outputs should relate to international themes or cross-national comparisons, or that they should be the focus of international interest, nor does world-class imply research outputs generated by international collaborations. World-class denotes a standard, not a type or focus of research.

Research outputs that deal with topics or themes of primarily local, regional or national focus or interest can be of world-class standard. For example, research concerning Māori or Pacific topics or themes may rank with the best research of its type conducted anywhere in the world.

The scope of world-class characteristics, as indicated in the tie-point descriptors in the next three topics, may overlap. It should be noted that the characteristics are not ranked in any particular order, that other characteristics may also denote world-class research outputs, and that the characteristics are not cumulative.

Scoring an EP: Allocating Points for Research Outputs

Points Scale

The following table provides a detailed description of the outputs to be assessed when assigning a score to the RO component of the EP.

Note: Scores of 6, 4 and 2 are tie-points; the descriptions alongside them are the tie-point descriptors.

COMPONENT	RESEARCH OUTPUT (RO)
Descriptor	This component is concerned with the production of quality research outputs. As part of the evidence in this component, staff members will present up to four NROs (ie. their best research outputs). All NROs presented in the EP must be peer-reviewable (ie. they can be reviewed by the panel or assessor if required). Research outputs are any form of assessable output embodying the findings of research and generated out of research activities, and include: • printed academic work • published and unpublished work • work published in non-print media • other forms of outputs such as patents, materials, products, performances, and exhibits. All outputs submitted in the RO component must meet the PBRF Definition of Research. They therefore exclude activities related to professional practice, scientific and technical information services and artistic work that do not embody the results of investigation. The EP may include research primarily concerned with methodological, theoretical and analytic issues (basic or strategic research), and/or applied research primarily directed to and impacting on practices, technologies or policies. This includes processes (as in industrial processes, medical procedures, etc) with an assessment of impact, eg. company profit, reduction in length of operation time, improved survival, improved social outcomes, environmental impact, etc. The absence of peer review will not of itself be taken to imply low quality. Evidence of research outputs having been reviewed through peers is one measure of quality. However, other quality-assurance processes, including referees and commissioning processes (but not limited to these examples) shall also be given regard. There is potential for overlap between the RO and PE components. Assessors need to ensure that they adequately differentiate between pre-publication/production review as it relates to the quality-assurance process for the RO component and post-publication/production review that may be presented as part of the PE component. Most of the assessment time should be spent on the RO component. ***continues on following page***

<table>
<tr><td rowspan="6">Scores</td><td>7</td><td rowspan="2">The EP would be expected to demonstrate leadership and accomplishment in research exemplified by a platform of world-class research that includes highly original work which ranks with the best of its kind.

In doing so, the EP would likely be characterised by, for example, outputs that represent intellectual or creative advances, or contributions to the formation of new paradigms, or generation of novel conceptual or theoretical analysis and/or theories or important new findings with wider implications. In doing so it could indicate research that is exemplary in its field and/or at the leading edge and/or highly innovative. It would be expected to demonstrate intellectual rigour, imaginative insight or methodological skill or to form a primary point of reference to be disseminated widely. A significant proportion of research outputs should be presented through the most appropriate and best channels. The research outputs would be likely to result in substantial impact or uptake. Such impacts could also include: product development, uptake and dissemination; or significant changes in professional, policy, organisational, artistic, or research practices.</td></tr>
<tr><td>6</td></tr>
<tr><td>5</td><td rowspan="2">The EP demonstrates a platform of significant research output that has generated substantial new ideas, interpretations or critical findings and that makes a valuable contribution to existing paradigms and practices. The research outputs generate new information or ideas and are well researched and technically sound. The EP typically includes research outputs that are presented in reputable channels considered as being at least at a middle level of excellence. The research is likely to contribute to further research activities and to have demonstrable impacts reflected in developments that may include: product development, uptake and dissemination; or changes in professional, organisational, policy, artistic, or research practices.</td></tr>
<tr><td>4</td></tr>
<tr><td>3</td><td rowspan="2">The EP demonstrates a platform of research activity (or developing research activity) and output that is based on a sound/justifiable methodology, and that makes a contribution to research within the discipline and/or to applied knowledge. This could be demonstrated by the production of research outputs that have been subject to quality-assurance processes.</td></tr>
<tr><td>2</td></tr>
<tr><td rowspan="2"></td><td>1</td><td>Minimal evidence of research activity. The research outputs are assessed as having limited or no significance/impact, as contributing little or no additional understanding or insight in the discipline/field, and/or as lacking in the appropriate application of theory and/or methods.</td></tr>
<tr><td>0</td><td>No evidence of research activity.</td></tr>
</table>

Scoring an EP: Allocating Points for Peer Esteem

Points Scale

The following table provides a detailed description of the outputs to be assessed when assigning a score to the PE component of the EP.

Note: Scores of 6, 4 and 2 are tie-points; the descriptions alongside them are the tie-point descriptors.

COMPONENT	PEER ESTEEM (PE)
Descriptor	This component is concerned with recognition of the staff member's research by peers. Indicators of peer esteem include: • Research-related fellowships, prizes, awards, invitations to share research knowledge at academic and end-user conferences and events • The ability to attract graduate students or to sponsor students into higher-level research qualifications, positions or opportunities because of the staff member's research reputation • Research-related citations and favourable review. In considering the former, it must be noted that the quantum of citations may be a poor proxy for esteem. Some research work may be cited frequently because it is considered to be an example of poor research. Consequently emphasis should be placed on evidence of positive review and citation • Participation in editorial boards • The ability to attract professional/ business/ manufacturing engagement, awards and scholarships, invited memberships of company boards of directors/ advisory boards, invited engagement with industry focused organisations, eg. NZTE. ***continues on following page***

Scores	**7**	
	6	The EP would be expected to demonstrate that the staff member has attracted world-class recognition through their research. This could be reflected by some or all of the following: the receipt of prestigious prizes, or fellowships of leading learned societies/academies or prestigious institutions, or special status with professional or academic societies, or editorship, membership of editorial panels or refereeing of top-ranked journals, or awards for research as well as invited attendance, or examination of PhDs, or invited presentations at prestigious academic and industry conferences/events, or directorships, or advisory board membership. An ability to attract overseas/top research students and scholars as well as to mentor their own students into postdoctoral and other fellowships, scholarships and positions in centres of research excellence could be demonstrated in the EP. A consistent record of favourable citations of research should combine with strong evidence of positive research reviews, contribution to knowledge in the discipline (including overseas where relevant), and movement into creative practice.
	5	The EP shows that the staff member, through their research, is recognised within New Zealand or elsewhere and is esteemed beyond their own institution. The EP demonstrates peer esteem by providing evidence of some or all of the following: the receipt of prizes, membership of a professional society or similar with restricted or elected membership or honours or special status with professional or academic societies, editorship or membership(s) of editorial panels of reputable journals within New Zealand or elsewhere, research fellowships of esteemed institutions, reviewing of journal submissions and book proposals, PhD examination or advisory board memberships or invitations for keynote addresses for conferences/events that are at a middle level of excellence. A consistent record of research citation and positive reviews of specific research outputs and/or overall contribution to research knowledge in a discipline or substantive area of knowledge or practice can be expected. The EP could demonstrate graduate students moving into research scholarships or postdoctoral fellowships or junior lectureships in departments with good research ratings.
	4	
	3	The EP demonstrates a developing recognition among peers of the staff member's research contribution and developing rigour in the application of research techniques. This may be evidenced through attracting awards and invitations to present research to informed audiences, within and possibly beyond the applicant's immediate institution, as well as positive reviews and citations, or being asked to referee research outputs. Where the staff member has an involvement primarily in commissioned research outputs, reference to letters of commendation or other evidence of esteem by commissioning agents could be expected.
	2	
	1	Minimal evidence of peer esteem generated through research activities.
	0	No evidence of peer esteem generated through research activities.

Scoring an EP: Allocating Points for Contribution to the Research Environment

Points Scale

The following table provides a detailed description of the outputs to be assessed when assigning a score to the CRE component of the EP.

Note: Scores of 6, 4 and 2 are tie-points; the descriptions alongside them are the tie-point descriptors.

COMPONENT	CONTRIBUTION TO THE RESEARCH ENVIRONMENT (CRE)
Descriptor	This is concerned with the contribution to the development of research students, to new and emerging researchers and to a vital, high-quality research environment. This component has a number of aspects, including: • Research and disciplinary leadership – including membership of research teams, and contributions to disciplinary development and debate and public understanding of the discipline • Contribution through students and emerging researchers – supporting and mentoring students to achieve postgraduate qualifications and to develop as researchers • Contribution to institutional vitality – supporting the development of research both within and across institutions (eg. hosting visiting researchers). Attracting research funding may be an important contribution to institutional vitality, but the amount of research income in itself will not be taken into account • Contribution to research context and connectivity - including factors such as the ability to engage profession/ business/industry with the academic sector, contribution to profession/business/manufacturing sector, membership of profession/ business/manufacturing bodies, etc. ***continues on following page***

Scores	**7**	
	6	The EP would be expected to demonstrate a contribution to New Zealand and/or international research environments (for example, through extensive research networks and/or collaborations) in addition to a strong contribution to the research environment in their organisation(s). The EP may show a history of attracting renowned scholars to the TEO and/or New Zealand. Evidence of research and disciplinary leadership may include some or all of the following: membership(s) of renowned collaborative research teams; membership(s) of research selection panels in New Zealand and elsewhere; research leadership at the highest levels (eg. leading/participating in major research consortia including researchers outside of New Zealand); organising and hosting world-class conferences; the development of research infrastructure, or significant contributions to research-focused conferences or stakeholder engagement or attracting funding. The EP is likely to show a strong and consistent history of successful supervision of students, particularly at PhD level, and could provide evidence of supporting research students to access and produce research outputs that are quality-assured (possibly in combination with academic staff). The EP could demonstrate contributions to developing new research capacity that go beyond student supervision, including among Māori researchers and Pacific researchers. Other contributions to debate in the discipline, both in New Zealand and beyond, and/or public understanding of developments in or implications for the discipline may be expected.
	5	
	4	The EP demonstrates research and disciplinary leadership within the broader discipline in addition to contributing to the individual's own TEO research environment. Research and disciplinary leadership may include some or all of the following: collaborative research across disciplinary boundaries or across organisations and/or membership(s) of research selection panels or leading research consortia within New Zealand; and/or show evidence of attracting researchers and scholars to the TEO, and/or stakeholder engagement and/or research funding; and/or organising and hosting conferences. The EP could show supervision of research activities of students and supporting them to produce research outputs, possibly in conjunction with academic staff. The EP could show a contribution to developing new researchers, including Māori researchers and Pacific researchers, or generating research opportunities (by attracting external funding as a research programme or project leader). Other contributions to debate in the discipline and/or public understanding of developments/implications in the discipline may be expected.
	3	
	2	The EP is likely to show contributions to the research environment primarily within the TEO or locality. Research and disciplinary leadership is likely to be reflected in participating in committees of organisational bodies or discipline-related bodies dealing with research matters. The EP could show contributions within the TEO, such as hosting of visiting researchers, organisation/hosting of conferences/seminars, and/or assisting in attracting research money, or as a named researcher in externally funded research programmes or projects. Other contributions to the discipline may be demonstrated such as successful supervision of Masters and PhD students, including Māori students and Pacific students.
	1	Minimal evidence of contribution to research environment.
	0	No evidence of contribution to research environment.

Section D: Selecting, Obtaining and Examining Nominated Research Outputs

Introduction

This section of the Guidelines provides guidance on selecting, obtaining and examining NROs.

It is intended to be used by panel members. It may also be of interest to staff members in TEOs who are responsible for completing and assessing EPs, and to other stakeholders in the PBRF.

It contains the following topics …… on these pages:

Selecting NROs for Examination 129

Accessing the Selected NROs 130

Conditions on Requested NROs 131

Examining NROs 131

Selecting NROs for Examination

Why NROs are selected for examination

All the NROs cited in an EP must be available to a panel either as a link to an electronic document or on request. Examination of one or more NROs listed in an EP may be necessary to enable a panel member to form a reliable judgement about the overall quality of the RO component and to score it appropriately. Panel members select which particular NROs they want to examine.

There are, however, a number of broad principles and considerations that panel members will bear in mind in selecting an NRO for examination. These are outlined below.

Number of NROs to be examined

Each peer review panel is expected to examine at least 25% of the NROs listed in the EPs that it is responsible for assessing.

As a rule of thumb, each panel member will review at least 25% of the NROs from the EPs they are assigned. However, the actual proportion reviewed may vary from panel member to panel member.

Panels may examine more than 25% of NROs if they deem this to be appropriate and necessary. (Individual panels' approaches to this will be advised as part of the panel-specific guidelines).

Guidelines for selection

The following list gives guidelines on the circumstances where an NRO is likely to be selected for examination:

- There is serious doubt about the appropriate score for the RO component of an EP; and, in the absence of examination of the output, there is a significant risk of an error of judgement being made (eg. there is uncertainty as to whether the quality of the RO component is just above or just below a particular tie-point)
- To affirm the nature of the intellectual contribution in an NRO
- A significant proportion of NROs (and 'other' research outputs) listed in the EP are non-quality-assured (and/or are confidential)
- The rigour of the quality-assurance processes is unclear to the panel member
- There is doubt over whether a particular NRO meets the PBRF Definition of Research
- Additional questions arise about the quality of the RO component, after the examination of a particular NRO
- Additional input has been sought on an EP (in this case it may be prudent for the panel member providing the additional input to select one or more of the NROs for examination).

No type excluded

No particular type of research output (such as confidential outputs) should be excluded when considering which of the NROs to select for examination.

Different NROs may be selected

There is no requirement for the two (or more) panel members responsible for assessing an EP to select the same NROs for examination.

Accessing the Selected NROs

Accessing a selected NRO

Assessors will usually access an NRO for examination by using the link to the NRO provided by the TEO.

Some NROs (eg. installations) may not allow electronic access, in which case the assessor may decide that a visit to a site is required in order to properly assess the NRO.

If a working link has not been provided for an NRO, the assessor will use the IT system to request that an NRO be supplied. A copy of the NRO will be requested from the relevant TEO by the IT system. When the NRO has been provided to the TEC by the TEO, the TEC will forward it to the assessor. See below for the conditions when an NRO is requested from a TEO by the TEC.

If the required NRO is readily available to the assessor (eg. via their institution's library), the assessor may obtain and view a copy of the NRO themselves for assessment.

In all cases, after the NRO has been assessed the assessor records in the PBRF System that the assessment of that NRO has taken place.

Conditions on requested NROs

10-working-days deadline

Where the assessor requests an NRO, the NRO must be received by the TEC within 10 working days of receipt of the request by the TEO.

If deadline not met

Where the TEO does not make a requested NRO available for examination within the 10-day deadline without good reason, that NRO will not be considered in the panel's assessment of the EP.

Costs of providing the NRO

The TEO will meet costs of supplying a requested NRO to the TEC.

Return of copies

The TEC will meet the costs of returning requested NROs to the TEO.

However, TEOs must indicate whether **copies** of NROs they provide to the TEC need to be returned to them.

Insurance

All requested NROs supplied by TEOs will be insured by the TEC to a maximum value of $200 per research output. It would be prudent for a TEO to insure any requested NROs that it values in excess of $200.

Note: The TEC will insure a requested NRO only for the period between its arrival at the TEC and its return to the TEO.

Claims for lost or damaged NROs

Claims for lost or damaged requested NROs need to be made to the TEC as soon as the loss or damage has been identified.

In the case of NROs lost in transit to the TEC, the TEO should pursue a claim through the courier company concerned.

Examining NROs

Issues to consider in examining an NRO

When examining an NRO, the following issues should be considered:

- Does the output meet the PBRF Definition of Research?
- Are the details concerning the NRO, as stated in the EP, accurate?
- Is the research methodology clear, sound and appropriate?
- What kind of contribution does the NRO make to human knowledge, understanding or creativity (eg. theoretical, conceptual, empirical, practical, artistic, etc)?
- Does the NRO best fit with the standard expected for the scores (tie-points) 2, 4 or 6?

Full analysis of each NRO is not required

Panel members are **not** expected to undertake a full, in-depth, rigorous and critical analysis of each NRO selected for examination (as they would if they were conducting a formal peer review of the output in question).

For example, in the case of a written NRO it is expected that the panel member will peruse items such as the abstract (if there is one), the research methodology, the summary or conclusions, and the list of references. This will enable the panel member to check and clarify (as required) the nature, integrity and general quality of the outputs in question; and in doing so the panel member will be able to make a more informed judgement about the overall quality (and score for) the RO component of the EP.

Flag NRO as having been examined

Once examination of the NRO is complete a panel member must flag the NRO as having been accessed and examined. This is to measure the percentage of NROs that have been accessed.

Issues with output details

The main reason for panel members to examine an NRO is not to check its details but to form a judgement about the quality of the RO component of that particular EP.

Nevertheless, in the process of examining an NRO, panel members may discover mistakes in the information provided in the EP description (such as the title or location of the output, or the pagination, etc) or may have concerns about particular aspects of the output (eg. the authorship or the contribution of the staff member in question). The panel member will be able to flag any EP about which they have any concerns. The TEC will prepare a report of such concerns if necessary.

Note: Fundamental or serious errors in an EP must be brought to the attention of the TEC Secretariat (see "Nature and categories of errors" on page 176).

Additional advice

Panel members can make a request to the panel Chair that additional advice be sought from another panel (through cross-referral) or from an expert advisory group or a specialist adviser where this is required in order to assess an EP in a fair and reliable manner (see Obtaining Additional Input on page 111).

Section E:
Assessing New and Emerging Researchers

Introduction

This section of the Guidelines sets out the assessment criteria for new and emerging researchers.

It is intended to help panel members assess an EP. It may also be of interest to staff members in TEOs who are responsible for completing and assessing EPs, and to other stakeholders in the PBRF.

It contains only one topic, Assessing New and Emerging Researchers.

Assessing New and Emerging Researchers

Available Quality Categories

EPs from staff members who meet the criteria for new and emerging researchers may be assigned the following Quality Categories: "A", "B", "C(NE)" and "R(NE)". For these criteria, see New and Emerging Researchers on page 45.

Criteria for "A" and "B" Quality Categories

In order to be eligible for the "A" and "B" Quality Categories, new and emerging researchers must meet the standards that apply to all other staff members.

Criteria for a "C(NE)" Quality Category

In order for a new and emerging researcher to have the potential to secure the new Quality Category "C(NE)", evidence will need to be provided that includes **at least** the following:

a) The successful completion of a Doctoral degree or equivalent during the assessment period for the Quality Evaluation **AND** 'Other' research outputs of an adequate quality and quantity, bearing in mind the time period during which the staff member has been PBRF-eligible (a minimum of two quality-assured research outputs would normally be expected)

OR

b) Research outputs equivalent to a) above.

Doctoral degree or equivalent

In most disciplines, a Doctoral degree is regarded as the appropriate entry-level degree for an academic appointment involving research; in some other disciplines, however, either a Masters degree (in, for example, Creative and Performing Arts) or a professional qualification (such as in Law or Education) may be the customary qualification for a research career. Staff members without a Doctoral degree would normally need to provide evidence of more than the minimum number of research outputs (ie. two).

Importance of PE and CRE components	Evidence of peer esteem or contribution to the research environment are not required in order for a new and emerging researcher's EP to be assigned a "C(NE)" Quality Category. New and emerging researchers will not be disadvantaged when they are being assessed for the "C(NE)" Quality Category if they provide only limited evidence in these components. New and emerging researchers are encouraged to complete these components of their EP, as this may allow the EP to be considered for a higher Quality Category.
Assigning an "R(NE)" Quality Category	The EPs of new and emerging researchers that do not meet the standards set out above will be assigned an "R(NE)" Quality Category.
When are these criteria applied?	These criteria will be applied throughout the assessment process.

Section F:
The Moderation Process

Introduction

This section of the Guidelines sets out the function of moderation within the Quality Evaluation and the processes by which that moderation will be carried out.

It is intended for panel members, TEOs and other stakeholders in the PBRF.

It contains the following topics …… on these pages:

Membership and Purpose of the Moderation Panel 135
The Moderation Process 136
Initial Moderation Panel Meeting 137
Second Moderation Panel Meeting 138
Reconvening of Panels 139
Moderation Panel Reporting 140

Membership and Purpose of the Moderation Panel

Function

The function of moderation is to ensure that standards are consistent across peer review panels and that the PBRF guidelines are properly adhered to.

Panel membership

The Moderation Panel will consist of three moderators and the 12 peer review panel Chairs. One of the moderators will be appointed as Principal Moderator and will act as Chair of the Moderation Panel. The other two moderators are appointed as Deputy Moderators.

Moderation Panel training

Consideration will be given whether to provide extra training to the Moderation Panel specifically on moderation.

Secretariat

The Moderation Panel will be supported by its own secretariat.

Purpose of the moderation process

The moderation process is designed to promote systematic reflection on the issues of consistency, standards and cross-panel calibration by:

- Creating an environment in which the judgements of the peer review panels generate consistency on a cross-panel basis, while at the same time not reducing the panel judgements to a mechanistic application of the assessment criteria
- Providing an opportunity for independent review of the standards and processes being applied by panels
- Ensuring the consistent application of the special circumstances provisions and the consistent assessment of new and emerging researchers
- Establishing mechanisms and processes by which material differences or apparent inconsistencies in standards and processes can be addressed by panels
- Advising the TEC Board on any issues regarding consistency of standards across panels.

The Moderation Panel also acts as a support mechanism for panel Chairs.

The Moderation Process

Four stages

There are four stages in the moderation process. These are described in the following table.

Stage	Event	Description	Timing
1	Initial Moderation Panel meeting	Moderation Panel reviews the scoring data from the pre-panel-meeting assessments to ensure the consistent application of assessment standards across panels.	November 2012
2	Second Moderation Panel meeting	Moderation Panel reviews the Final Quality Categories assigned by panels to ensure consistency across panels.	December 2012
3	Reconvening of panels (where required)	In the event that an inconsistent application of assessment standards is identified, panels may be reconvened to review their assessments.	January 2013
4	Moderation Panel reporting	The Moderation Panel reports to the TEC Board on the moderation process.	February 2013

Initial Moderation Panel Meeting

Purpose

The purpose of the initial Moderation Panel meeting is to create an environment in which the judgements of the panel are based on the consistent application of principles and standards across all the panels, while at the same time not reducing the individual panel judgements to a mechanistic application of the assessment criteria.

Participants

The participants in the meeting are:

- The Principal Moderator and the two Deputy Moderators
- The Chairs of each peer review panel and the Chairs of the two expert advisory groups
- The Moderation Panel Secretariat.

What happens prior to the meeting

Prior to the meeting the Moderation Panel Secretariat will prepare:

- A review of the status of the EPs for each of the panels
- An analysis of the preparatory and preliminary scores generated by panel members, to identify any patterns of average scores or any distribution of Quality Categories that might suggest the potential for, or risk of, systematic bias or error in assessing EPs (these scores will be analysed by panel, subject area, TEO, and academic unit)
- An analysis of the standard deviations, standard errors, and box and whisker diagrams outlining the spread of results at each of the levels
- An analysis of the application of the special circumstances provisions and the assessment of new and emerging researchers
- An analysis of the results of any cross-referrals
- A comparison of the Quality Categories assigned in 2003 and 2006 against the Indicative Quality Categories arising out of the preparatory and preliminary scores assigned by panel members.

What happens at the meeting

The main activities for the initial Moderation Panel meeting are:

- Reviewing the preparatory and preliminary results of the data checking and verification processes conducted by the TEC
- Identifying any patterns or variations in the preparatory and preliminary scores across the panels that might indicate potential bias, error, or the inconsistent application of assessment criteria
- Discussing any particular issues that have emerged for members of the panels that might impact on the consistent application of standards
- Agreeing to consistent approaches to issues that have been identified as being capable of compromising the integrity and consistency of the PBRF standards – for example, the consistent and appropriate treatment of special circumstances, new and emerging researchers, applied and practice-based research, use of specialist advice, handling of confidential outputs, or the approach to the assessment of unusual or uncommon types of research outputs.

Outcomes of the meeting

As a result of the meeting, the Chair of each panel will, with assistance from their secretariat, be in a position to:

- Promote the principles of consistency
- Ensure adherence to agreed procedures and standards
- Identify areas of potential risk
- Communicate to panel members the Moderation Panel's agreed approach to any identified issues.

Information supplied to panels

The Moderation Panel will provide any background information considered necessary to assist panel members in understanding the nature and impact of any issues that have been identified as being capable of compromising the integrity and consistency of the PBRF standards.

Second Moderation Panel Meeting

Purpose

The purpose of the second Moderation Panel meeting is to provide an independent review of the standards that have been applied by panels in the assignment of Quality Categories to EPs.

Participants

The participants in the meeting are:

- The Principal Moderator and the two Deputy Moderators
- The Chair of each peer review panel and the Chair of the two expert advisory groups
- The Moderation Panel Secretariat.

What happens prior to the meeting

Prior to the meeting, the Moderation Panel Secretariat will prepare an analysis of the Quality Categories agreed within each panel and across all panels.

What happens at the meeting

The second Moderation Panel meeting will involve an independent review of cross-panel consistency. The Chair of each panel will briefly present their draft panel report, which may include comment on the practices of panel members, the panel process, and any issues that arose during the review process.

The Moderation Panel will consider:

- Whether there is evidence to suggest that the assessment system has not been applied according to the relevant guidelines
- Whether the pattern of Quality Category profiles generated by each panel appears credible and justified.

Where there are possible material inconsistencies and/or an inadequate explanation of recommendations, the Moderation Panel will ask the panel(s) concerned to review the Quality Categories they have assigned to their EPs, and/or provide further explanation of them.

Main areas of focus

It is not expected that there will be uniformity of results or that panels, subject areas, or TEOs will have similar profiles of Quality Categories. Instead, the Moderation Panel will focus on:

- Any 'outlier' results in respect of subject areas, TEOs or panels
- The extent to which panels have departed from, or confirmed, the quality profiles generated from the preparatory and preliminary scores
- A comparison of the 2012 aggregate Quality Categories profile and distribution against the 2003 and 2006 aggregate profile and distribution
- The adequacy of the panels' reporting and explanations of their Quality Category recommendations.

The Moderation Panel will not direct

The Moderation Panel will not direct any panel as to what Final Quality Categories might be assigned. The final decision on Quality Categories is a matter for each panel's judgement.

Reconvening of Panels

Purpose

Where a panel has been required to undertake a review of their recommendations, it may need to be reconvened (by video/teleconference wherever possible). This is to address any material differences or apparent inconsistencies in standards, without having to physically reconvene the panel.

Participants

The participants in any such reconvening are:

- The Chair and members of the panel required to review its recommendations
- The Principal Moderator, the Deputy Moderators and/or a Chair of another panel
- The secretariat for that panel and the Moderation Panel Secretariat.

Before the panel reconvenes

Prior to reconvening, the Moderation Panel will provide direction on the matters to be considered and how these should be addressed.

Following the reconvening

Following any such reconvening, the Chair of the panel will be required to report in writing to the Principal Moderator:

- The reasons for the Moderation Panel's request for the review
- The outcomes of the panel's reconsideration, with explicit listing of any amendments resulting from that review
- A commentary justifying the outcome (ie. any amendment to, or confirmation of, their original recommendations).

This report will be required in time for the Moderation Panel to prepare its own report to the TEC Board, and the information should also be included in the panel's own report to the TEC Board.

Moderation Panel Reporting

Purpose

The purpose of Moderation Panel reporting is to advise the TEC Board on the consistent application of principles and standards within and across panels. This report is intended to provide additional confidence in the recommendations presented to the TEC Board by each of the panels.

Inputs

Inputs to the Moderation Panel's report to the TEC Board include:

- Panel reports to the TEC Board
- Additional reports from the Chairs of panels that were asked to review their recommendations
- Relevant benchmarking information.

Key issues

The key material to be included in the Moderation Panel's report includes:

- The extent to which the Moderation Panel is satisfied that the assessment standards have been applied on a consistent basis
- Brief discussion of the recommendations from each panel, highlighting any issues that the Moderation Panel wishes to comment on and/or provide recommendations on
- Information on the application of assessment standards, particularly on an intertemporal basis, and in relation to the application of the special circumstances provisions and the assessment of new and emerging researchers
- Any areas where refinement of the Quality Evaluation might be required
- A commentary on the overall Quality Evaluation process, highlighting issues that may impact on consistency across some or all panels
- A commentary from the moderators addressing any matters of particular significance.

Section G:
Guidelines for Conflict of Interest and Confidentiality

Introduction

This section of the Guidelines provides guidance on conflict of interest and the maintenance of confidentiality during the Quality Evaluation process.

It is intended help panel Chairs, panel members, specialist advisers and TEC staff conform to TEC policy. It may also be of interest to PBRF-eligible staff members, and other stakeholders in the PBRF.

It contains the following topics …… on these pages:

Conflict of Interest 141
Conflict of Interest Raised by PBRF-Eligible Staff Member 144
Confidentiality: General Policy 145
Confidentiality: Detailed Policies 145

Conflict of Interest

Definition

A conflict of interest in the PBRF context is any situation where a panel member has an interest which conflicts or might conflict or might be perceived to conflict with the interests of the TEC in running a fair, impartial and effective peer review process.

While the conflict of interest itself is unlikely to be improper, it could lead to improper conduct or allegations of such conduct if not declared.

Note: In this context the term 'panel member' should be read to include panel Chairs, expert advisory group members, specialist advisers, the TEC Secretariat, and other staff involved in the TEC processes.

Principles

The TEC's policy on conflict of interest is guided by the following principles:

- All conflicts of interest must be declared
- The action required depends on the nature of the conflict
- The panel Chair has discretion to take decisions on the action required in any situation
- All actions on declared conflicts will be recorded
- Individual panel members can exclude themselves from panel discussions even if this is not required by the policy.

Identifying a conflict of interest

In determining whether a conflict is present or not, there are two questions to ask:

- Would a reasonably informed objective observer infer from the circumstances that the panel member's professional judgement is likely to be compromised in evaluating another researcher's Evidence Portfolio?
- Does the interest create an incentive for the panel member to act in a way that would be contrary to the objectives of a fair, impartial and effective peer review process?

When to declare a conflict of interest

A panel member may declare a conflict of interest at any time during the Quality Evaluation process. When first appointed, all panel Chairs and members must declare all known or potential conflicts of interest.

Other conflicts must be declared as soon as practicable after the person concerned realises that a conflict exists.

Interests Register

All conflicts of interest must be declared. The PBRF system will provide an Interests Register by running a report of all conflicts of interest.

Conflict at institutional and faculty level

Panel members are able to talk generally about the assessment process and provide guidance in the most general terms about the preparation of EPs to be submitted by their own institution.

The following activities would represent a conflict of interest:

- The participation of a panellist in the internal assessment process the TEOs use to determine which EPs to submit to the TEC.
- The provision by panellists of specific advice or guidance on the preparation of EPs.

Panel members who are employed by participating TEOs are able to assess the Evidence Portfolios of staff members from within their own institutions and faculties or colleges (i.e. relatively large academic units within TEOs), provided there are no other interests that would give rise to a conflict.

The assignment to a panellist of any EP for a staff member from within the panellist's department or school carries an implicit conflict of interest. Panel Chairs will minimise the number of such assignments and ensure that at least one member of a panel pair in this situation is from a different institution.

Examples of possible conflicts of interest

Examples of possible conflicts of interest include, but are not limited to:

- Assessment of one's own Evidence Portfolio (EP)
- Assessment of the EP of a colleague within the same academic unit and, in particular, the same disciplinary grouping or research team or research centre
- Assessment of the EP of a close colleague or someone reporting directly to the panel member or to whom the panel member reports
- Assessment of the EP of a family member/partner or close personal friend
- Assessment of an EP which cites, as one of its NROs, a work that the panel member has co-authored
- Where a panel member has a direct research collaboration or a past research collaboration that has generated research outputs presented in the EP
- Assessment of an EP of a colleague with whom the panel member has a direct teaching collaboration
- Assessment of the EP of an academic who is undertaking Doctoral work under the supervision of the panel member
- Where both the panel member and the staff member may receive a personal financial benefit from a high Quality Category
- Having participated in the TEO's assessment of the EP(s)
- Having advised on the preparation of the EP
- Any situation where the panel member considers they might not provide an objective review of another researcher's EP because of a direct or indirect conflict of interest, or where a reasonable observer would consider the panel member to be conflicted.

Chair's responsibility

The Chair of each panel, on the advice of the panel secretariat, will decide whether a conflict of interest exists in any instance. The Chair is also responsible for ensuring that:

- All conflicts are recorded in the Interests Register
- Appropriate action is taken in respect of the conflict of interest
- The action taken with respect to declared conflicts is recorded in the minutes.

Actions to take

The nature of the action to be taken will depend on the extent of the conflict of interest. It may include, but is not limited to, one of the following actions by a panel member:

- Having no involvement in the EP assessment – and leaving the room when the EP is being discussed
- Having no involvement in the EP assessment – but remaining in the room when the EP is being discussed by the panel, and participating in the discussion if asked by the panel
- Possible involvement in the EP assessment and full participation in the panel discussion of the EP.

The Chair has a conflict

Where the Chair has a conflict of interest, this should be discussed with the secretariat assigned to that panel. In these circumstances, the deputy Chair will be asked to act as Chair for the period the Chair is unable to participate. If this is not appropriate, a panel member will be asked to act as Chair for the period the Chair is unable to participate.

Expert advisory groups and specialist advisers

The policy on conflict of interests also applies to all expert advisory groups and to all specialist advisers assisting a panel.

Role of moderators

As far as possible, a member of the Moderation Panel will be present during panel meetings when the EP of a peer review panel member is being assessed.

Conflict of Interest Raised by PBRF-Eligible Staff Member

Policy

In exceptional circumstances, PBRF-eligible staff members may submit a notice of conflict of interest in relation to a panel member.

The following policy applies when an PBRF-eligible staff member wishes to submit such a notice:

- The circumstances giving rise to the conflict must fall within the guidelines on conflict of interest (see Conflict of Interest on page 141).
- The notice must be in writing, and must be specific as to the panel member affected and the circumstances giving rise to the notice
- The notice must be sent through the PBRF-Office of the staff member's TEO (a notice received directly from a staff member will be returned to them, explaining that it must be relayed through the PBRF Office of their TEO)
- The Chair will notify the panel member that a notice of conflict of interest has been received, giving the name of the PBRF-eligible staff member and the nature of the conflict. The panel member will be given an opportunity to discuss this with the Chair if required
- The Chair of the panel will determine what action, if any, is required.

Information required

Sufficient information must be provided in the notice to enable the panel Chair to decide what action, if any, is required.

This information will include the circumstances giving rise to the potential conflict of interest. It should also include:

- Names
- Dates
- The location of the events
- A comprehensive summary of the actions or inactions leading to the alleged conflict.

Deadline for submitting notice of conflict of interest

The notice must reach the PBRF Project Manager at the TEC no later than 31 July 2012. Notices received after this date will not normally be considered.

Notices received after 31 July 2012 will need to include the reason(s) why the matter was not raised by the cut-off date.

Where notice involves a panel Chair

Where the PBRF-eligible staff member wishes to raise a matter in respect of a panel Chair, the Principal Moderator will consider the notice. The decision on what action, if any, should be taken will rest with the Principal Moderator.

Confidentiality: General Policy

Responsibility

Panel members are responsible for taking all reasonable steps to maintain the security and confidentiality of the information provided to them, both during the Quality Evaluation and after it has ended.

Note: There is no time limit on how long confidentiality must be maintained.

General policy

All panel members, panel Chairs, specialist advisers, expert advisory group members and TEC Secretariat staff must sign the TEC's Confidentiality Agreement at the time of their appointment.

Confidentiality: Detailed Policies

The contents of EPs

The information contained in an EP should not be disclosed to any third person, other than a fellow panel member, and expert advisory group member, a specialist adviser (where appropriate), or an employee of the TEC assisting the panels. This includes any research outputs the panel may receive as well as the Quality Category assigned to a staff member.

Confidential research

If any information in an EP or in supporting material is noted as confidential, care must be taken to ensure that this material is not disclosed (whether inadvertently or not) to any other person, except in the course of the proper activities of the panel.

Panel discussions and communication

All discussions and communications about EPs between panel Chairs, panel members, expert advisory group members, specialist advisers, and TEC Secretariat staff must remain confidential.

Note: This policy applies to both formal and informal discussions within and outside panel meetings.

Transmission of information

Care must be taken in sending information during the Quality Evaluation round, whether in hard copy or by electronic means.

Material must not be sent or received by fax unless the intended recipient is present at the fax machine to receive the material at the time it is being sent.

Similarly, care must be taken with passwords and security access information where information is being communicated by electronic means.

It is recommended that confidential NROs not be sent by email.

Storage and destruction of information

Electronic and hard copies of EPs and related information must be kept secure at all times to avoid the accidental disclosure to people not formally involved in the panel processes.

All copies of panel-related information stored on electronic filing systems must be kept on personal directories not available to other persons.

At the end of the 2012 Quality Evaluation round, hard copies of EPs or evaluative material must be returned to the TEC, or shredded or put in a confidential waste bin, or dealt with as otherwise directed by the TEC. Soft copies must be deleted promptly from the electronic filing system.

Official Information Act

All information received by panels, plus any electronic or paper-based notes prepared by panel Chairs, panel members or specialist advisers, fall under the coverage of the Official Information Act 1982 and **may** be released on request. Judgement must, therefore, be exercised in making comments in such notes.

The TEC will be responsible for dealing with any requests for information under the Official Information Act 1982.

Release of information

Release of any information is the responsibility of the TEC Board.

Panel Chairs, panel members, expert advisory group members and specialist advisers are not authorised to release any information on the outcomes of the peer review process. They may, however, share information that has already been publicly released by the TEC.

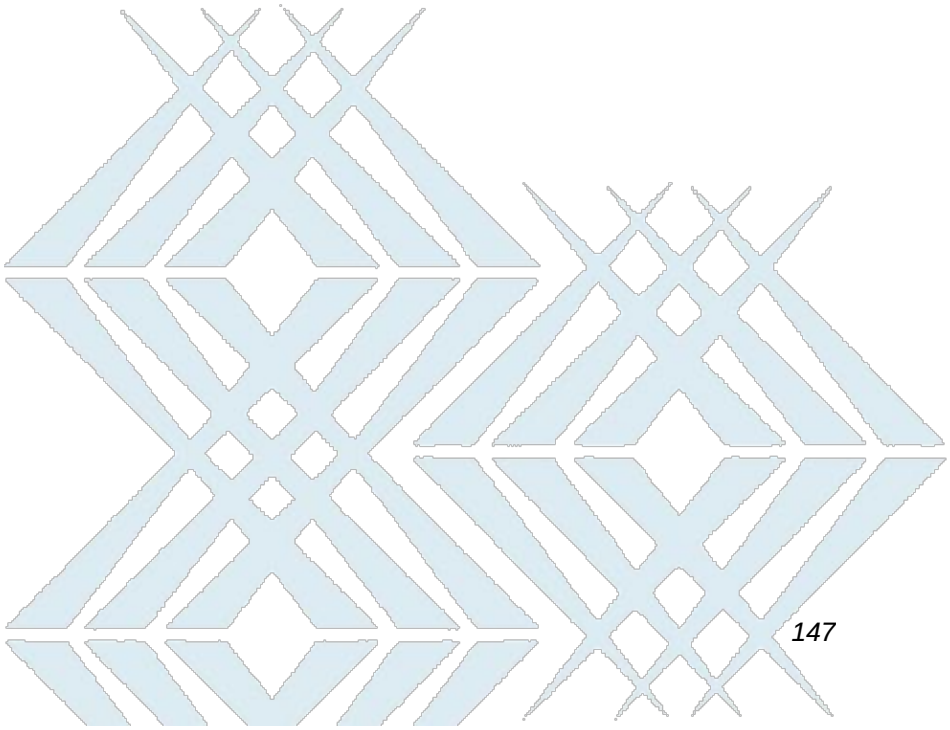
Other uses

Information received during the peer review process cannot be used for any purpose other than as provided for in the peer review process.

After the Quality Evaluation

After the Quality Evaluation, panel Chairs, panel members, members of expert advisory groups and specialist advisers may talk generally about the panel peer review process but must not talk about individual EPs or assessments, or groups of EPs or assessments, and must not reveal panel decisions or the nature and content of discussions between panel members.

CHAPTER 4 REPORTING THE PBRF RESULTS



Overview of this Chapter

Chapter 4 of the Guidelines provides information on how the PBRF results will be reported by the TEC to the tertiary education sector and the wider community. It also details the treatment of individual's PBRF Quality Categories.

It is intended to provide information to individual researchers participating in the PBRF and to TEO staff responsible for PBRF management and administration. It may also be of interest to panel members, TEC staff, and other stakeholders in the PBRF.

Section B of this chapter should be read by all TEO staff members, particularly managers and administrators. Section B should be drawn to the attention of all researchers who will be submitting an Evidence Portfolio.

It details the PBRF Sector Reference Group's recommended protocol under which individual PBRF data is provided to TEOs. The protocol is aimed at ensuring that information on staff members' Quality Categories is used appropriately and sensitively.

It contains the following sections …… on these pages:

Section A: Reporting the PBRF Results *149*

Section B: Treatment of individual's PBRF Quality Categories *159*

Section C: Staff requesting own results *162*

Section A:
Reporting the PBRF Results

Introduction

This section of the Guidelines provides information on the TEC's framework for reporting the PBRF results to the tertiary education sector and the wider community.

It is intended to provide information to individual researchers participating in the PBRF and to TEO staff responsible for PBRF management and administration. It may also be of interest to panel members, TEC staff, and other stakeholders in the PBRF.

It contains the following topics …… on these pages:

Reporting Purpose and Principles *136*

Reporting Framework *150*

Quality Evaluation Data to be Reported *153*

Reporting Purpose and Principles

Purpose

The reporting of the PBRF results will ensure public access to a wide range of information relating to research performance and activities of the participating TEOs. This information is expected to enhance accountability, both at the institutional and sub-institutional levels. It should also improve the ability of stakeholders (such as students and potential students, research funders and providers, the government, and business) to make informed decisions. For instance, the reporting of results should assist students in making choices about where to study, particularly at the research-degree level.

Principles underpinning the reporting framework

A number of broad principles underpin the public reporting of the PBRF results. These include:

- Protecting the confidentiality of individual staff members' Quality Categories
- Maintaining the confidence and co-operation of the academic community
- Minimising transaction and compliance costs
- Providing an incentive for a consistent application of the framework by all TEOs
- Contributing to international benchmarking of research performance within disciplines (as a tool to inform specific policy and funding decisions)
- Protecting the integrity of long-established academic disciplines while at the same time recognising emerging disciplines and multidisciplinary subject areas
- Having a sufficient level of disaggregation so that the quality scores and other published information are useful and meaningful for accountability purposes and for relevant stakeholders (eg. students, research funders)
- Providing information of a comparative nature that will assist TEOs to benchmark their research performance and enable them to improve their decision making with respect to priority setting and the allocation of resources
- Ensuring an appropriate alignment between the panels, subject areas, and cost weightings
- Adopting a consistent reporting framework over two or more Quality Evaluation rounds in order to facilitate comparisons over time
- Providing, wherever possible, the information necessary for evaluating the implementation of the PBRF and its impacts on the tertiary education sector.

Reporting Framework

Reporting on the 2012 Quality Evaluation

At the conclusion of the 2012 Quality Evaluation, a major report on the overall results will be prepared and publicly released. It will include a brief summary of the Quality Evaluation process, a commentary on the major findings, and a detailed description of the results and the projected funding impacts.

This report will generally follow the precedent of the comprehensive performance information reported in 2006. Following consultation, however, the reporting framework has been updated. The revised framework includes the way the average quality score is calculated and uses additional metrics. The changes will provide a more comprehensive view of the results. To ensure objective comparisons between the Quality Evaluations can be made, the final 2012 Quality Evaluation report will include updated 2003 and 2006 Quality Evaluation results using the same formulae used for 2012.

Five levels

The results of the 2012 Quality Evaluation will be reported at the following levels:

- For each participating TEO
- For each peer review panel
- For each subject area at the aggregate level
- For each subject area at the TEO level
- For each academic unit nominated by participating TEOs.

This information is being provided to enable stakeholders to ascertain not merely the average research quality of different TEOs, subject areas, etc, but also the quality profile at each of the levels of analysis.

There will be no reporting at Field of Research level.

Basis of results

The nature of the results reported will vary according to their level.

At all levels, however, information will be provided on the average quality score for all PBRF-eligible staff members (weighted on a FTE basis) together with data on the distribution of PBRF-eligible staff members across the four funded Quality Categories.

Individual staff members' Quality Categories

The reporting of individual staff members' Quality Categories was a significant area of interest in the consultation process on the design of the 2012 Quality Evaluation. As in 2006, at the conclusion of the 2012 Quality Evaluation, TEOs that have submitted EPs will be notified of the results. This notification will include a confidential report on the Quality Categories that the peer review panels have assigned to individual staff members from that TEO.

The release to the TEOs of the Quality Categories assigned to individual staff members is for the following purposes in connection with which the data was obtained:

- To increase the average quality of research produced by a TEO. Having a full set of employees' Quality Categories gives a TEO more information about its areas of strength and weakness. This allows the TEO to take steps to improve the quality of research through targeted internal resource allocation and staff support
- To improve the quality of information on research outputs.

Due to concern expressed by a number of participants in the Sector Reference Group (SRG) consultation, the SRG recommends the use of the protocol in Section B of this chapter to ensure that information on staff members' Quality Categories is used appropriately and sensitively. All TEO staff members should familiarise themselves with this material.

If an EP was transferred to a panel different from the one requested in that EP, this information will be supplied to the TEO along with the reason for the transfer. It is assumed that TEOs will pass this information to the relevant staff members when the results of the Quality Evaluation are released.

There will be no **public** release by the TEC of the Quality Categories assigned to individual staff members' EPs.

Other information to be made available

At the conclusion of the 2012 Quality Evaluation, a variety of other information will be made publicly available. This includes:

- The public reports prepared by each panel (which are likely to contain the panel's observations on the subject areas and research performance demonstrated through the assessment of the EPs, comment on the differences between the distribution of Quality Categories for different subject areas, etc)
- The discussion of recommendations from the Moderation Panel's report for the TEC Board (which is likely to contain a brief discussion of the recommendations from each panel highlighting any issues of significance, cross panel-consistency, etc)
- An analysis of trends in relation to the results of the 2003 and 2006 Quality Evaluations
- A commentary on the major changes since 2003 and 2006.

Report on funding

Each year the TEC will publicly report on the annual funding allocated to each participating TEO via the PBRF. This will include information on the funding of:

- The Quality Evaluation
- The Research Degree Completion measure (including equity weightings)
- The External Research Income measure.

In addition, each year the TEC will publish the most recent annualised information available on the number of research degree completions in each TEO (including equity weightings) and the level of PBRF-eligible external research income generated by each TEO.

TEOs that merge

For the 2012 Quality Evaluation, all merged TEOs will be reported as one entity.

Demographic data (at the TEO level only)

The TEC will report a range of demographic data about PBRF-eligible staff members. This will include data on ethnicity, gender, age, and full-time versus part-time staff.

Other uses for PBRF data

In line with its policy on access to PBRF data, the TEC may from time to time release PBRF information to third parties. Such release will never include the Quality Categories assigned to individual staff members' EPs.

The TEC may also from time to time use PBRF data to inform evaluative or similar work.

Quality Evaluation Data to be Reported

Five levels of reporting

As noted above, the TEC will report Quality Evaluation data at five levels:

- For each participating TEO
- For each peer review panel
- For each subject area (at the aggregate level)
- For each subject area (at a TEO level)
- For each academic unit nominated by participating TEOs.

Overall results

Only the results of staff who met the PBRF-eligiblity criteria and received a funded Quality Category are included in the reporting of results for the 2012 Quality Evaluation. Staff data will be weighted on a FTE basis. Note that these staff are refered to as PBRF eligible.

The tables which report the overall results for TEOs, panels, and Subject Areas (Tables A1, A2 and A3 in the 2006 Report) will include information for each of the "A", "B", "C", and "C(NE)", Quality Categories, expressed as both numbers and percentages of FTE staff. In addition, the tables will contain the new Average Quality Score (FTE-based) (AQS (N)), the total number and percentages of FTE staff assigned "A" and "B" Quality Categories, and the total number of FTE staff whose EPs were assigned a funded Quality Category.

TEO level

The following 2012 Quality Evaluation information will be publicly reported for each participating TEO:

- The average quality scores AQS (N), AQS (E) and the post-graduate subset, and AQS (S) calculated using the formulae set out at the end of this section.
- The proportion of staff members (weighted on a FTE basis) whose EPs received:
  - an "A" Quality Category
  - a "B" Quality Category
  - a "C" Quality Category
  - a "C(NE)" Quality Category
- The total number of staff members whose EPs were assigned a funded Quality Category
- The proportion of staff members (weighted on a FTE basis) who met the criteria for new and emerging researchers and whose EPs were assigned a funded Quality Category
- The results at a TEO-level will be banded based on the number of staff members whose EPs were assigned a funded Quality Category: TEOs with 100 FTE or more staff; between eight and 99 FTE; and 7 FTE and fewer
- Standard deviations, standard errors, and box and whisker diagrams outlining the spread of results for each TEO (including the median, hinges, and smallest and largest data values)

- Analysis of trends in relation to the results of the 2003 and 2006 Quality Evaluations
- The total number of postgraduate research degree completions (including equity weightings) over a three-year period (for 2013 this will be 2009-2011)
- The external research income (ie. that which is eligible for the purposes of the PBRF) received in a three-year period (for 2013 this will be 2009-2011)
- Basic demographic data at an aggregated level.

Panel level

The following 2012 Quality Evaluation information will be publicly reported in terms of each peer review panel:

- The AQS(N)
- The proportion of all PBRF-eligible staff members whose EPs were assigned:
  - an "A" Quality Category
  - a "B" Quality Category
  - a "C" Quality Category
  - a "C(NE)" Quality Category
- The total number of staff members whose EPs were assigned a funded Quality Category
- The proportion of staff members (weighted on a FTE basis) who met the criteria for new and emerging researchers and whose EPs were assigned a funded Quality Category
- Standard deviations, standard errors, and box and whisker diagrams outlining the spread of results for each panel (including the median, hinges, and smallest and largest data values)
- Analysis of trends in relation to the results of the 2003 and 2006 Quality Evaluations

Subject areas (at an aggregate level)

Forty-two separate subject areas have been identified for reporting purposes. For a full list of subject areas see Peer Review Panels and Subject Areas on page 83.

The following 2012 Quality Evaluation information will be publicly reported for each subject area:

- The AQS(N)
- The proportion of all PBRF-eligible staff members whose EPs were assigned:
  - an "A" Quality Category
  - a "B" Quality Category
  - a "C" Quality Category

  - a “C(NE)” Quality Category
- The total number of staff members whose EPs were assigned a funded Quality Category
- The proportion of staff members (weighted on a FTE basis) who met the criteria for new and emerging researchers and whose EPs were assigned a funded Quality Category
- Standard deviations, standard errors, and box and whisker diagrams outlining the spread of results for each subject area (including the median, hinges, and smallest and largest data values)
- Analysis of trends in relation to the results of the 2003 and 2006 Quality Evaluations

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Subject areas (at a TEO level)

Below is a list of 2012 Quality Evaluation information that will be publicly reported for each of the 42 subject areas within a participating TEO that have seven or more FTE staff members in the subject area. Note: Subject areas at a TEO with fewer than seven PBRF-eligible FTE staff members whose EPs were assigned a funded Quality Category will be reported under a separate category of ‘Other’ in order to maintain the confidentiality of individuals’ Quality Category results.

- The AQS(N)
- The proportion of all PBRF-eligible staff members whose EPs were assigned:
  - an “A” Quality Category
  - a “B” Quality Category
  - either a “C” or “C(NE)” Quality Category
- The total number of staff members whose EPs were assigned a funded Quality Category
- The proportion of staff members (weighted on a FTE basis) who met the criteria for new and emerging researchers and whose EPs were assigned a funded Quality Category
- Standard deviations, standard errors, and box and whisker diagrams outlining the spread of results for each subject area at a TEO level (including the median, hinges, and smallest and largest data values)
- Analysis of trends in relation to the results of the 2003 and 2006 Quality Evaluations

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Nominated academic units

In the PBRF Census, all PBRF-eligible staff members will be allocated by their TEO to an academic unit within that TEO. Participating TEOs will also nominate the academic units for their institution.

Below is a list of 2012 Quality Evaluation information that will be publicly reported for each nominated academic unit with seven or more FTE staff members. Note: Academic units that do not meet this threshold will be reported under a separate category of 'Other' in order to maintain the confidentiality of individuals' Quality Category results.

- The AQS(N)
- The proportion of all PBRF-eligible staff members whose EPs received:
  - an "A" Quality Category
  - a "B" Quality Category
  - either a "C" or "C(NE)" Quality Category
- The total number of staff members whose EPs were assigned a funded Quality Category
- The proportion of staff members (weighted on a FTE basis) who met the criteria for new and emerging researchers whose EPs were assigned a funded Quality Category
- Standard deviations, standard errors, and box and whisker diagrams outlining the spread of results for each nominated academic unit (including the median, hinges, and smallest and largest data values)

Weigthing of Quality Categories

The weightings for each Quality Category are as follows: "A" = 5, "B" = 3, "C" = 1, and "C(NE)" = 1.

Formula and calculations of average numerical rating for AQS(N)

The following table sets out the steps used to calculate the average numerical rating for AQS(N).

Step	Action
1	Multiply each individual staff member's Quality Category score equivalent (ie. "A" = 5, "B" = 3, "C" = 1, and "C(NE)" = 1) by that person's FTE. Multiply this result by two to obtain a score out of ten.
2	Sum the results of Step 1 for the reporting level in question.
3	Calculate the total number of FTEs of staff members whose EPs were assigned a funded Quality Category in the TEO/peer review panel/subject area/academic unit in question.
4	Divide the result of Step 2 by the result of Step 3.

Formulae and calculations for AQS(E) and subset

AQS (E) formula (TEO-level reporting only):
(((A*5)+(B*3)+(C+C(NE)))*10) ÷ (∑of EFTS reported at degree-level or higher)

Numerator
The staff full-time equivalence associated with EPs assigned a funded Quality Category ("A", "B", "C", or "C(NE)") using data collected as part of the 2003, 2006 and 2012 Quality Evaluations with the weightings as set out above.

Denominator
Number of EFTS at degree-level or higher associated with enrolments in qualifications at level seven or higher on the New Zealand Qualifications Framework as part of the single-data return by participating TEOs for years ending 31 December 2003, 31 December 2005 and 31 December 2011.

Subset of AQS(E) for reporting of postgraduate-degree level or higher (TEO-level reporting only):
(((A*5)+(B*3)+(C+C(NE)))*10) ÷ (∑of EFTS reported at postgraduate-degree level or higher)

Numerator
The staff full-time equivalence associated with EPs assigned a funded Quality Category ("A", "B", "C", or "C(NE)") using data collected as part of the 2003, 2006 and 2012 Quality Evaluations with the weightings as set out above.

Denominator
Number of EFTS at postgraduate-degree level or higher associated with enrolments in qualifications at level eight or higher on the New Zealand Qualifications Framework as part of the single-data return by participating TEOs for years ending 31 December 2003, 31 December 2005 and 31 December 2011.

Formula and calculations for AQS(S)

AQS(S) formula (TEO-level reporting only):
(((A*5)+(B*3)+(C+C(NE)))*10) ÷ (∑of academic or research-only staff FTE)

Numerator
The staff full-time equivalence associated with EPs assigned a funded Quality Category ("A", "B", "C", or "C(NE)") using data collected as part of the 2003, 2006 and 2012 Quality Evaluations with the weightings as set out above.

Denominator
The FTE-weighted number of staff reported as academic or research only staff, or teaching staff (PTEs only) as reporting in the Workforce Questionnaires (Staffing Return) that were submitted by participating TEOs during the weeks of 31 July 2003, 31 July 2006 and 31 July 2012.

Section B:
Protocol for treatment of PBRF Quality Categories

Introduction

This section of the guidelines gives the PBRF Sector Reference Group recommended protocol under which individual PBRF data is provided to TEOs.

This section should be read by all TEO staff members, particularly managers and administrators. ***TEOs should ensure this section is drawn to the attention of all researchers who will be submitting an Evidence Portfolio.***

It contains the following topics …… on these pages:

The PBRF Sector Reference Group consultation 159

Recommended protocol 160

Consultation with the sector

The PBRF Sector Reference Group consultation

The PBRF Sector Reference Group (SRG), in examining the design of the 2012 Quality Evaluation, conducted extensive consultation in 2009 with the sector on the reporting of individuals' PBRF Quality Categories.

After considering the sector responses to this consultation, the SRG has developed a recommended protocol to be followed by TEOs in dealing with individual PBRF Quality Categories to ensure personal information is managed appropriately. The TEC advises that TEOs work within this protocol.

Recommended protocol

SRG recommended protocol for TEOs in dealing with individual Quality Categories

1. The TEO will establish processes and protocols for maintaining confidentiality of individual Quality Categories for all staff, and processes and protocols to keep this information secure.
2. All staff participating in PBRF Quality Evaluations will be informed by their employing TEO of:
    a. the processes and procedures by which PBRF data, including individual Quality Categories, will be communicated and to whom;
    b. those people and positions within the TEO who will have access to an individual's Quality Category;
    c. the uses to which individual Quality Categories (and Component Scores if known) may be put and the uses to which they may not be put; and
    d. this SRG recommended protocol.
3. The TEO will advise individual participating staff of their personal Quality Category (and any other data relating to the assignment of the Quality Category relevant to them that is provided to the TEO by the TEC), unless the staff member requests otherwise.
4. The TEO will restrict access to individual Quality Categories to the minimum number of staff necessary to achieve the following purposes:
    a. validation of the accuracy of the Quality Categories, along with FTE and subject cost categories for individual staff;
    b. internal management and allocation of financial resources (consistent with the purposes of the PBRF);
    c. to identify strengths of Departments/Schools; and/or
    d. as an externally-validated benchmark to help ensure appropriate internal calibration of assessments of research.

    Advice must be given by TEOs to staff members, prior to their participation in the Quality Evaluation 2012, that the TEO may use individual Quality Categories for these purposes. TEOs should ensure that no identification of individual Quality Categories can be made outside this small number of staff.

5. The TEO will, in conjunction with staff and Tertiary Education Union (TEU) representatives, establish codes of practice and complaint procedures that govern the behaviour of staff members participating in the PBRF Quality Evaluation. The TEO's code of practice relating to staff participation in the PBRF Quality Evaluation will indicate that:
    a. maintenance of the confidentiality of individual Quality Categories (and Component Scores if known) is a priority for the TEO;
    b. staff members will not be required to divulge their Quality Categories;
    c. each staff member has an opportunity to discuss her/his Quality Category with her/his manager if the staff member desires;
    d. in the event that a staff member advises a manager of her/his Quality Category, or Quality Category and Component Scores, that manager will not use that information other than for purposes authorised by the individual staff member concerned and within the restrictions specified in this SRG recommended protocol.
6. The TEO will not use individual Quality Categories, or information leading to the revelation of individual Quality Categories, for purposes other than those consistent with this SRG recommended protocol and advised to staff members prior to participation in the 2012 Quality Evaluation. In particular:
    a. the TEO will not use individual Quality Categories as a basis for salary determinations;
    b. the TEO will not request individual Quality Categories for recruitment purposes, and, if the TEO makes recruitment decisions informed by individuals' Quality Categories, then the TEO will consider the Quality Categories in the context of other evidence of research performance and will take account of the TEO's overall staff profile (particularly since the offered Quality Category can not be verified by the TEO); and
    c. the TEO will not use individual Quality Categories for performance appraisals or for disciplinary action against staff.
7. The TEO will not divulge individuals' Quality Categories to any third party without the prior authorisation of the individuals concerned. In particular, the TEO will ensure that individual Quality Categories of staff, either employed by the TEO concerned or by another TEO, are not revealed through marketing or advertising activity initiated by the TEO.

Section C:
Staff Requesting Own Results

Introduction

This section of the Guidelines provides information on the process to be followed by a researcher requesting the results of the assessment of their own Evidence Portfolio. The researcher request form is available on the TEC PBRF web pages.

It is intended to provide information to individual staff members participating in the PBRF. This section should be read by all TEO staff members and administrators. ***TEOs should ensure this section is drawn to the attention of all researchers who will be submitting an Evidence Portfolio.***

It contains the following topics …….. on these pages:

Requesting Results *149*

Requesting Results

Information to be provided

After Quality Categories are released to TEOs a researcher can request a report that provides the following information for their own Evidence Portfolio:

- A list of cross referrals (requested, declined, approved)
- Researcher details as submitted in the census by one or more TEOs
- Evidence Portfolio Actions and observations
- All Preparatory component scores and comments (if provided)
- Preliminary component scores, Indicative Quality Category and comment (if provided)
- Calibrated Panel component scores, Calibrated Panel Quality Category and comment (if provided)
- Holistic Quality category and comment (if provided)
- Final Quality Category and comment (if provided)

Note researchers should request a copy of their Evidence Portfolio through the TEO that submitted it to TEC.

Panel Member confidentiality

To preserve the confidentiality of panel members, the names of panellists, EAG members or specialist advisers assigned to any Evidence Portfolio will not be released to the researcher.

Identification of researcher

To request a report, the Researcher will need to complete the form "Request for Evidence Portfolio Information" from the TEC website.

To ensure that a Researcher is correctly identified, the following data must be provided to the TEC:

- Full name
- Date of Birth
- NSN (National Student Number)
- The TEO that submitted the Evidence Portfolio
- Evidence Portfolio Number (as submitted by the TEO)
- Contact Phone number
- Email address
- Address to send the printed report

Submitting the request

When the Researcher has completed the form "Request for Evidence Portfolio Information" it can be emailed, faxed or mailed to the TEC Service Centre.

Mail:	TEC Service Centre ATTN: PBRF Quality Evaluation Private Bag 76928 Manukau City 2241
Email:	servicecentre@tec.govt.nz Please put in the Subject line: PBRF Quality Evaluation
Fax:	09 262 2150

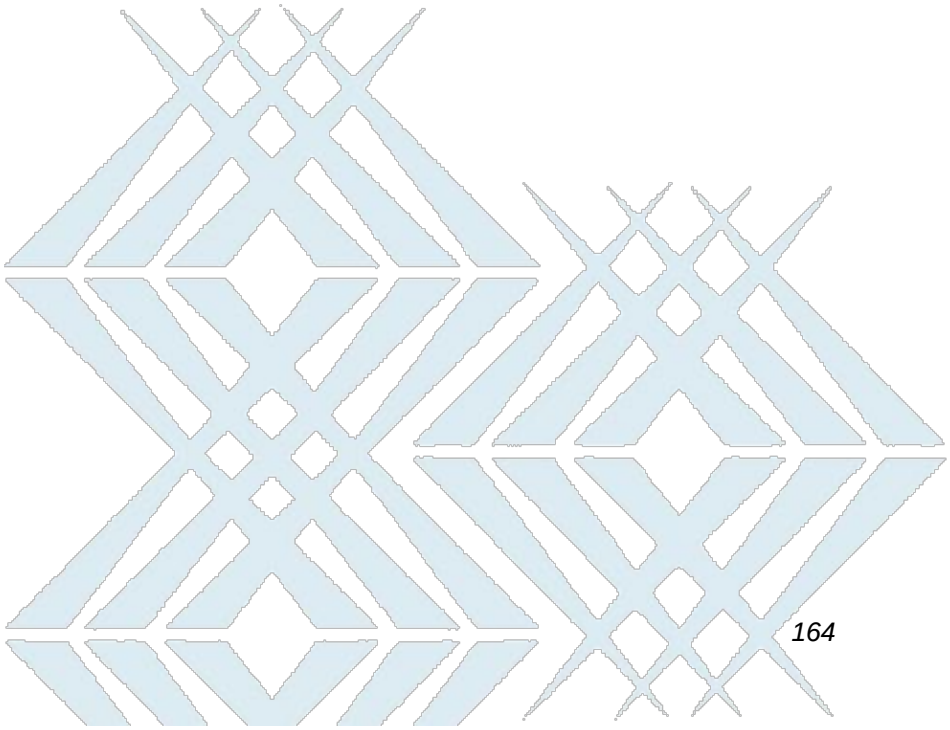
Release of Information

TEC will not release information to individual researchers until the results of the 2012 Quality Evaluation have been received by TEOs. (mid-April 2013). On receipt of the completed Request For Evidence Portfolio form from the researcher, the TEC will confirm the identity of the researcher, prepare the report, and forward to the researcher at the address provided in the request.

The TEC will have 20 working days from receipt of the form to action the request.

If the TEC has any concerns related to the identity of the researcher, the information will not be released.

CHAPTER 5
COMPLAINTS ABOUT ADMINISTRATIVE AND PROCEDURAL ERRORS



Overview of this Chapter

Chapter 5 of the Guidelines outlines the TEC's policies on complaints about administrative and procedural errors which might have occurred in the PBRF Quality Evaluation assessment process.

It is intended to provide information to researchers participating in the PBRF and to TEO staff responsible for PBRF management and administration. It may also be of interest to panel members, TEC staff, and other stakeholders in the PBRF.

It contains only one section, Section A: Handling Complaints about Administrative and Procedural Errors, which starts on the following page.

Section A: Handling Complaints about Administrative and Procedural Errors

Introduction

This section of the Guidelines provides guidance to TEOs on submitting complaints in regards to administrative or procedural errors in the Quality Evaluation assessment process. The Quality Evaluation processes have been set up to ensure fairness as far as possible, and panel training will emphasise fair and impartial assessment. The complaints process is designed to ensure that if there has been a failing of due process this can be rectified appropriately. This section specifies the nature of the complaints that the TEC will accept and investigate, and sets out the procedures for these complaints.

It contains the following topics …… on these pages:

Complaints following the 2006 Quality Evaluation 166

Which Complaints will be Accepted and Investigated 167

167

Processing Complaints 167

Complaints following the 2006 Quality Evaluation

Complaints in 2006

Following the 2006 Quality Evaluation a total of 115 formal complaints were received from 12 TEOs. Complaints received fell into the following categories:

- Transfers of EPs between panels (4)
- Panel expertise and specialist advice (23)
- Data entry errors (20)
- Errors in the assessment process (41)
- Application of special circumstances (5)
- Treatment of conflicts of interest (2)
- Application of the new and emerging researcher assessment criteria (20).

Complaints process in 2006

The process for resolving the complaints involved:

- Initial investigation from the PBRF team, including reviewing panel reports, EPs, and preparing an initial report and findings
- Review by external reviewers – Sue Richards and Peter McKenzie QC
- Formal response to the TEOs concerned.

Two of the complaints were upheld.

Which Complaints will be Accepted and Investigated

Procedural errors only

As in 2006, in 2012 the TEC will accept and investigate only those complaints concerning possible administrative or procedural errors – for example:

- The failure to assign a Quality Category to an EP
- A failure to follow the assessment processes outlined in the Guidelines (eg. a particular conflict of interest may not have been identified or managed appropriately).

Exclusions

The TEC will **not** accept or investigate complaints relating to substantive decision making by a peer review panel or an expert advisory group, including:

- The criteria for assessing EPs
- The guidelines on the conduct of the assessment process
- The composition of a particular peer review panel or expert advisory group
- The judgements made by peer review panels concerning the quality of research as presented in the EP.

Making a Complaint

Who may make a complaint?

Only a TEO may make a complaint.

Any correspondence received from individual staff members regarding complaints will be referred back to the relevant TEO.

Complaints must be in writing

All complaints must be in writing using the template provided by TEC. Each complaint must state the reasons for that complaint.

Where a TEO wishes to complain about an administrative or procedural error in relation to more than one EP, a separate complaint (with accompanying reasons for the complaint) must be lodged with the TEC for each of the EPs.

Within 35 working days

Any complaint must be lodged within 35 working days of the TEO having been notified of the Quality Evaluation results.

Addressed to the Chief Executive

Any complaint must be addressed to the Chief Executive of the TEC.

Processing Complaints

Response in writing

The TEC will provide a formal response in writing in all cases.

Response time

The TEC will endeavour to deal with all complaints expeditiously.

A response will be sent within 60 working days of a written complaint being lodged.

What will happen

On receiving a complaint, the Chief Executive will ask the appropriate TEC Secretariat staff to investigate the matter and provide an initial report.

Depending on the nature of the complaint, an external person (or persons) may be asked to assist or advise the TEC.

In the event that the complaint is upheld, appropriate action will be taken.

Possible actions

The following table shows the kinds of action that may be taken:

Nature of complaint upheld	Possible actions
Simple administrative or data-entry errors concerning a Quality Category	The Quality Category in question will be altered as appropriate.
A failure of due process during the Quality Evaluation assessment process	• The matter will be reported to the TEC Board and advice sought on how the issue should be addressed • Resolution could include discussion between some of the members of the relevant peer review panel or possibly in exceptional circumstances reconvening the relevant peer review panel.

Fee required

TEOs will pay a fee of $300 per complaint to have their complaints investigated. This fee will be refunded if the complaint is upheld.

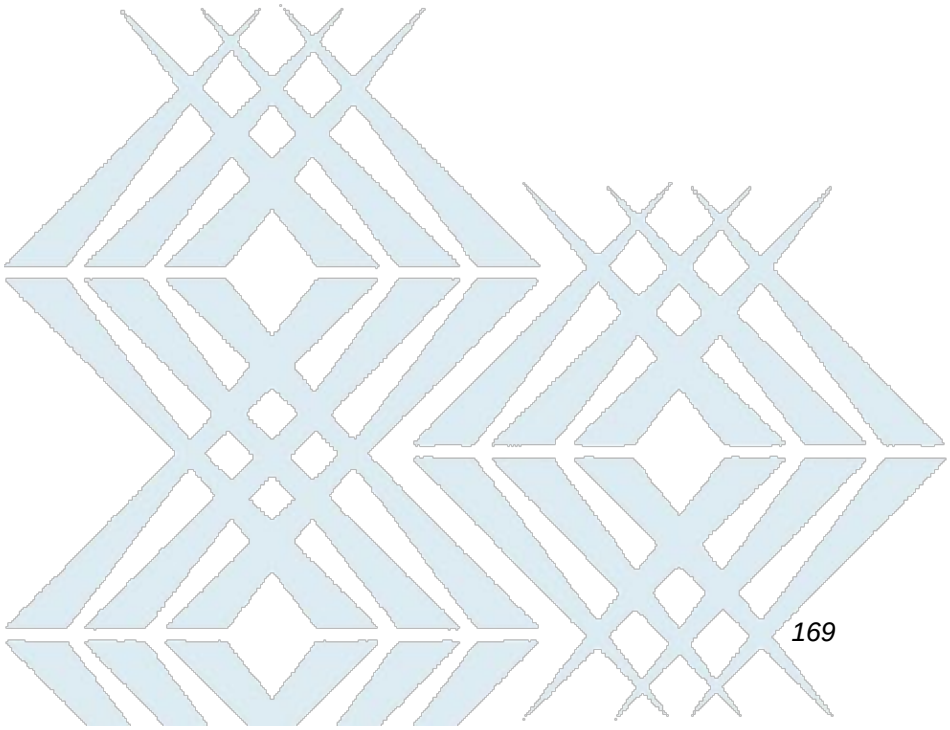
No further redress within the TEC

The TEC will not undertake further investigation of a complaint once it has made a formal response to the TEO in question, even though the TEO may remain dissatisfied with the response.

Other options

TEOs that are dissatisfied with the TEC's investigation and response to the complaint may seek a judicial review or may complain directly to the Office of the Ombudsmen.

CHAPTER 6
AUDITS



Overview of this Chapter

Overview

Chapter 6 of the Guidelines provides information on the auditing of PBRF data.

It is intended to provide information to TEO staff responsible for PBRF management and administration. It may also be of interest to panel members, TEC staff, and other stakeholders in the PBRF.

It contains one section …… starting on the following page

Section A: Audits *171*

Section A: Audits

Introduction

This section of the Guidelines provides information on the audits that will be undertaken by the TEC for the purpose for checking, verifying and validating PBRF data.

It contains the following topics …… on these pages:

Auditing Principles	*171*
The Eligibility Audit	*172*
The Validation of EP Data	*173*
The Audit of NROs	*175*
Nature and Category of Research-Output Errors	*176*
Corrections to Original Data	*178*
The Application of Sanctions	*178*
Timings for the Auditing Processes	*179*
Reporting of Audits of PBRF Data to the TEC Board	*180*

Auditing Principles

Support of base principles

Auditing, data validation and checking supports many of the guiding principles of the PBRF – in particular the principles of consistency, credibility, efficiency, and transparency.

All types of data checked

In addition to the two audits described below, all types of data submitted for the PBRF from all types of TEOs will be checked. Checking and validation will not be confined to certain data types (eg. NROs), nor will it focus only on one type of TEO (eg. major institutions).

This principle provides a strong incentive for all TEOs (and their staff members) to provide accurate data to the TEC.

Other existing mechanisms

The PBRF contains a range of constraints and mechanisms that will serve to enhance the accuracy and reliability of the data supplied by TEOs to the Ministry of Education (MoE) and the TEC. These include:

- TEO internal quality-assurance processes
- The ability to check other information contained in EPs (eg. prizes, citations, etc)
- The relatively small size of the academic community in New Zealand and the panel members' knowledge of the research of their disciplinary colleagues.

Two audits

Two audits will focus on the types of data where inaccuracies pose the greatest risks to the integrity of the PBRF. These areas are:

- Staff eligibility to participate in the PBRF
- The information contained in EPs and, in particular, in its NROs.

The Eligibility Audit

A two-stage audit

For the 2012 Quality Evaluation a two-stage eligibility audit will be held. The first stage of the eligibility audit will take place in the second half of 2011 and will examine every participating TEO.

Eligibility audit stage one

Stage one of the eligibility audit will focus on the process followed by TEOs in determining the PBRF-eligibility of their staff. Particular attention will be paid to how teaching-only staff are categorised and how exclusions on the basis of strict supervision are applied.

During this first stage of the eligibility audit TEOs will be required to supply to the TEC the numbers of all their academic staff and indicate which of these staff the TEO seeks to exclude from PBRF eligibility and why.

This information will be reviewed by a separate independent panel that will look to ensure that exclusion of staff from PBRF eligibility (in particular exclusion due to a teaching-only staff member being strictly supervised) is consistently applied by all TEOs.

Eligibility audit stage two

Stage two of the eligibility audit will focus on those TEOs where major discrepancies or inconsistencies were detected during stage one of the eligibility audit.

This stage of the audit may involve site visits to TEOs and the requirement to provide detailed information to auditors.

Further detail

More detail on the eligibility audit for the 2012 Quality Evaluation, including an audit methodology, will be provided following the publication of these Guidelines.

The Validation of EP Data

Checking of EP data

EPs will be checked one by one by the TEC's PBRF system as they are submitted electronically by TEOs.

TEOs will be able to access a validation report notifying them of any errors that occur in EP submission and will be responsible for correction of these errors. The verification rules will be provided by the TEC to allow TEOs to do this.

TEOs have the ability to view EPs submitted to the TEC at any time both before and after the final submission date. TEOs will be able to change any information in an EP (including an NRO) prior to the final EP submission date of 20 July 2012.

Note that EPs submitted as XML files must be resubmitted as XML files.

Further information is provided in the Evidence Portfolio Schema Definition Document, published simultaneously with these Guidelines and available on the TEC website.

Special circumstances audit

As part of the checking of EPs, researchers claiming special circumstances may be subject to random auditing, during which appropriate evidence of the claimed special circumstances may be requested.

CEOs' Evidence Portfolio Declaration

A declaration will be required by 21 July 2012 from Chief Executives of participating TEOs to confirm both the accuracy of information contained in the EPs and the process of assessment within the TEO. The form of this declaration follows.

Declaration of Chief Executive Officer for a Tertiary Education Organisation participating in the Performance-Based Research Fund: Submission of Evidence Portfolios to the Tertiary Education Commission:

I, ……..……..……..……..
(full name) being the Chief Executive Officer

of ……..……..……..……..
(organisation name) hereby certify that to the best of my knowledge all reasonable steps have been taken to ensure that:

a) The information contained in the Evidence Portfolios submitted to the Tertiary Education Commission
by ……..……..……..
(organisation name) is complete, accurate and complies with the PBRF Guidelines issued by the Tertiary Education Commission;

b) All the staff members who are being submitted to the Tertiary Education Commission for assessment in the Quality Evaluation meet the requirements for participation in the PBRF;

c) …..……..……..……..
(organisation name) has appropriately applied the PBRF Guidelines to ensure no PBRF-eligible staff members have been excluded from participation in the Quality Evaluation;

d) All the Nominated Research Outputs identified in the submitted Evidence Portfolios are, if necessary, available for inspection by the peer review panels and expert advisory groups; and

e) ……..……..……..
(organisation name) has complied with all other relevant PBRF Guidelines.

……..……..……..
(organisation name) by

……..……..……..
Signature of Chief Executive Officer

……..……..……..
Name of Chief Executive Officer

……..……..……..
Dated

The Audit of NROs

Checking NROs

In the 2012 Quality Evaluation, TEOs will make NROs electronically accessible to the TEC. In addition to allowing panel members to access NROs far more efficiently than in 2006, this will also allow the audit of NROs to be undertaken more easily and less intrusively.

Site visits for data checking and validation

In order to minimise administrative and compliance costs, the NRO audit will generally be handled through correspondence rather than site visits.

Nevertheless, the TEC reserves the right to visit TEOs in order to verify data supplied in relation to the PBRF.

Random checking of EPs

The TEC will conduct random checks of a proportion of EPs, including some from each TEO. This will use a risk-based sample selection that will be developed as part of the overall audit methodology.

Every participating TEO will be audited. The sample size selected for the audit of EP data will be based on an assessment of risk. In the event that errors are identified, an assessment will be made of the need for an escalated audit.

All aspects of EPs will be open to scrutiny, including data in relation to the Research Output, Peer Esteem and Contribution to Research Environment components.

Where possible and relevant, the data supplied by TEOs will be reviewed in comparison with other data, such as:

- TEO research reports
- TEO annual reports
- The grants awarded by research funding bodies (eg. the Foundation for Research, Science and Technology, the Royal Society and the Health Research Council).

Because of possible differences in the nature of the data, an exact match will not necessarily be expected. Accordingly, investigations will be undertaken only in the event of significant discrepancies.

Cross-checks of NROs and 'other' research outputs

A proportion of an EP's research outputs will be cross-checked against a number of publication databases (and other data sources). Primary attention will be on NROs. 'Other' research outputs listed in EPs will also be investigated.

The main focus will be on those types of outputs that are amenable to such checking processes – ie. authored and edited books, journal articles, and conference proceedings.

Particular attention will be given to those aspects of the output where inaccurate information could affect perceptions of its quality (eg. the number of authors, location details, pagination) and to outputs that bear a date at the limits of the assessment period. Where publication dates appear to be outside the assessment period and no explanation has been supplied in the EP, the relevant research outputs will be sought; a publisher's letter confirming the actual publication date will also be sought if necessary (and if possible).

Panel members' concerns

Panel members will note any concerns over the accuracy and reliability of any of the information contained in EPs.

All panel concerns will be investigated by the TEC Secretariat, and the results will be reported back to the relevant panel Chair, the relevant panel members and, if appropriate, all the members of that panel.

Nature and Categories of Research-Output Errors

Nature and categories of errors

The audit of research outputs will focus on two broad categories of errors: 'fundamental' and 'serious'.

Fundamental errors

Fundamental errors are those that render research outputs ineligible (and thus the output is discounted from the assessment process). These errors fall into three sub-categories:

- The output was produced (ie. published, performed, exhibited, etc) outside the assessment period for the 2012 Quality Evaluation
- The output was not authored by the person who submitted the relevant EP
- There was no evidence to confirm the output's existence.

Serious errors

Serious errors are those that materially affect a panel member's judgement on the quality of research outputs. These errors fall into six sub-categories:

- Claims that an edited book was an authored book
- Failure to include the names of co-authors, thus implying that the research output was sole-authored
- Claims that a conference contribution was a journal article (or a book chapter)
- Significant location errors that might affect an panel member's perception of an research output (eg. the wrong publisher)

- Title errors that might affect an panel member's perception of a research output
- Claims that an output had significantly more (or fewer) pages (ie. 30% plus or minus) than was actually the case.

The TEC expects TEOs to establish internal procedures that will ensure none of the research outputs presented in EPs contain these kinds of errors.

Reporting on investigation of errors

Wherever the TEC finds errors or discrepancies that may affect the Quality Categories assigned to EPs, the relevant panel will be informed. Such information will be supplied in advance of the panel meetings.

Significantly high numbers of errors and errors of a systematic nature will also be drawn to the attention of the Chair of the Moderation Panel and the TEC Board.

Corrections to Original Data

TEOs to be informed

Where fundamental or serious errors are found during auditing, the relevant TEO will be informed and given an opportunity to respond. (For definitions of fundamental errors and serious errors, see "Nature and categories of errors" above.)

Changes

Data will be changed only in consultation with TEOs.

High levels of correction

If the error rate is above a tolerable level, then a further examination will be undertaken on other information submitted by that TEO.

The Application of Sanctions

Principles

The TEC will determine when and if sanctions are applied to TEOs. The following principles will apply to the application of sanctions to TEOs:

- Prior to the TEC applying sanctions, the relevant TEO will be informed and given an appropriate opportunity to respond
- The final decision on the application of any sanction will be the responsibility of the TEC Board
- Any sanctions will vary according to the magnitude, nature and reason for the sanction.

In the event that sanctions are used, their main impact will be to reduce a TEO's potential PBRF revenue and/or average quality score.

Actions to be taken

It is not possible to identify in advance every situation where sanctions may be applied. However, the following table shows actions that will be taken in relation to certain errors.

Error	Sanctions and Consequences
An NRO is found to be ineligible for inclusion in the Quality Evaluation (eg. because it was produced outside the assessment period or because it fails to meet the Definition of Research).	• Research output excluded from assessment • The TEO will not be able to submit a replacement output • The exclusion of the research output may reduce the Quality Category assigned to the EP, with consequent reduction in the TEO's PBRF revenue and a change to reported quality scores.
Staff member found to be not PBRF-eligible.	• EP will not be assessed • This may mean a reduction in PBRF funding and a change to reported quality scores.
Failure to include a PBRF-eligible staff member in the PBRF Census.	• Staff member in question will be included as an "R" or "R(NE)" • Staff member will be included for reporting purposes under the relevant TEO, panel, subject area and academic unit.
A high error-rate or lack of confidence in the data supplied by a TEO.	• Possible exclusion of all EPs submitted by that TEO from the Quality Evaluation process.

Timings for the Auditing Processes

Timing of the specific information requests

Where the TEO is asked specific questions in relation to information provided for the PBRF, the information will normally need to be provided within 10 working days of the request.

Working papers and other relevant documentation should be available for inspection if required.

Confidentiality

All information obtained by the TEC from TEOs in relation to data checking and verification will be treated on a confidential basis, and will be retained as required. This will be done in compliance with relevant statutory provisions.

Where data checking and verification processes are outsourced, the third parties will be bound by confidentiality and conflict-of-interest policies.

More detailed audit schedule

The TEC will provide a more detailed audit schedule to TEOs following preparation of the audit methodology.

Reporting of Audits of PBRF Data to the TEC Board

Timing

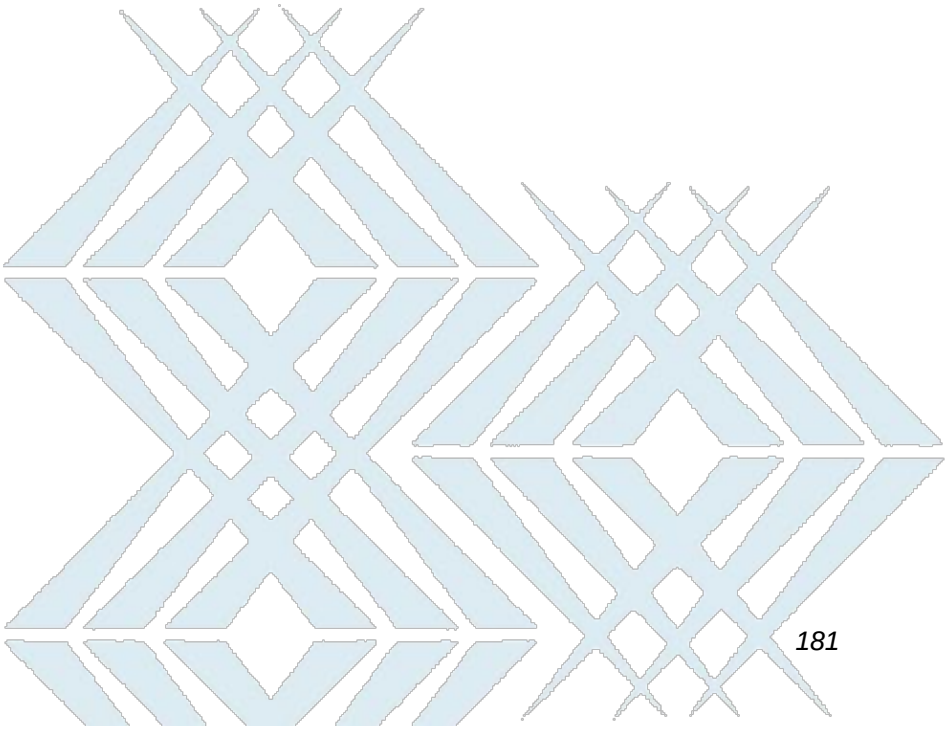
A report on the conduct and outcome of auditing processes will be prepared by the TEC Secretariat at the conclusion of the 2012 Quality Evaluation round.

Part of PBRF Project Manager's report

The data checking and verification report will form part of the PBRF-Project Manager's report to the TEC Board on the conduct of the Quality Evaluation.

It is expected that this report will be published.

CHAPTER 7
FORM OF EVIDENCE, MEDIA AND FORMATS REQUIRED FOR RESEARCH OUTPUTS



Overview of this Chapter

Overview

Chapter 7 of the Guidelines provides information about the forms of evidence, media and formats for providing research outputs for assessment.

It contains one section ……. starting on the following page

Section A: Form of Evidence, Media and Formats Required for Research Outputs *183*

Section A: Form of Evidence, Media and Formats Required for Research Outputs

Introduction

This section of the Guidelines provides information about the forms of evidence, media and formats that research outputs should be presented in, when they are made available for examination.

For an NRO, each TEO needs to submit the information set out in the Form of Evidence Required for an NRO column of the following table. Electronic submission is preferred in one of the formats listed in the Media and Formats Required for Requested Research Outputs section.

For an ORO each TEO needs to retain (but not submit) documentation as set out in the Form of Evidence Required for Audit of an ORO column in the following table.

The preferred method of access of an NRO is via the URIs (Uniform Resource Identifiers) supplied within the Evidence Portfolio. Up to 5 URIs may be provided for each NRO.

A URI can be a reference to:

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

This URI link should take the panel member to the NRO text without having to provide any search information or provide any additional subscription or credential information.

In addition, some research outputs may be requested during the assessment process, for delivery to the TEC.

Research outputs may be requested for examination by a peer review panel or as part of the audit of research outputs, for the following reasons:

- The form of evidence cannot be presented as a URI link to an electronic file
- The electronic links provided in the EP are not working

This section contains the following topics …… on these pages:

The Form of Evidence Required for Requested Research Outputs 184

Media and Formats Required for Requested Research Outputs 193

The Form of Evidence Required for Requested Research Outputs

Required forms of evidence

The required forms of evidence for each type of research output are listed in the following pages.

Note: electronic formats are expected. A list of the media and formats required for the forms of evidence is in the next topic of this section.

Other forms of evidence may be acceptable

Forms of evidence other than those listed below may be acceptable provided agreement is obtained from the TEC and relevant panel chair.

Please contact the TEC at pbrfhelp@tec.govt.nz to seek acceptance of any other form not detailed here.

Required forms

The following table shows the required forms of evidence for each type of research output.

Research Output	Form of Evidence Required for an NRO	Form of Evidence Required for audit of an ORO
Artefact, Object, Craftwork	One or more of the following forms are acceptable: • Photograph(s) and associated written documentation. • Written documentation. • Audio or video recording and associated written documentation. TEOs are discouraged from submitting a physical artefact, object or craft item. However, if there is no other alternative, the TEO should seek agreement for its submission from the TEC and the relevant panel chair. An artefact would be accepted only if it is compact and easily transportable. An electronic copy of associated written documentation must be provided.	One or more of the following forms are acceptable: • Photograph(s) and associated written documentation. • Written documentation. • Audio or video recording and associated written documentation.
Authored book	Electronic copy (preferred) or print copy of the book.	Electronic copy or print copy of the book; **otherwise** a copy of the book's title page and bibliographic details (including author(s), publisher and publication date).

Research Output	Form of Evidence Required for an NRO	Form of Evidence Required for audit of an ORO
Awarded doctoral thesis	Electronic copy (preferred) or print copy of the thesis. In the case of musical composition, the thesis may take the form of a portfolio of compositions.	Electronic copy or print copy of the thesis; **otherwise** a copy of the thesis' title page and bibliographic details (including author(s), university at which awarded and publication date).
Awarded research masters thesis	Electronic copy (preferred) or print copy of the thesis. In the case of musical composition, the thesis may take the form of a portfolio of compositions.	Electronic copy or print copy of the thesis; **otherwise** a copy of the thesis' title page and bibliographic details (including author(s), university at which awarded and publication date).
Chapter in book	Electronic copy (preferred) or print copy of the chapter; **and** an electronic copy of the book's title page, contents page(s) and bibliographic details (including editor(s), publisher and publication date) if not included in the copy of the chapter.	Electronic copy or print copy of the chapter; **and** a copy of the book's title page, contents page(s) and bibliographic details (including editor(s), publisher and publication date) if not included in the copy of the chapter.
Commissioned report for external body	All of the following must be supplied: • Electronic copy (preferred) or print copy of the report which includes title page, authorship details, and delivery or completion date. • Electronic copy (preferred) or print of commentary, peer review or similar quality-assurance report from the commissioning body.	Electronic copy or print copy of the report which includes title page, authorship details, and delivery or completion date.

Research Output	Form of Evidence Required for an NRO	Form of Evidence Required for audit of an ORO
Composition	Electronic documentation that includes the composer, title of the composition and date of publication. In addition one or more of the following forms are acceptable: • Musical score as electronic copy (preferred) or print copy, with explanatory notes. In most cases it is essential to provide a score. In the case of an electroacoustic composition, a recording is essential and a score or equivalent is optional. • Audio and explanatory notes. • If the composition is part of an exhibition, visual documentation such as photograph or video, with explanatory notes. • If composition is part of a film, a copy of the film (or film clip) with explanatory notes.	Documentation that includes the composer, title of the composition and date of publication.
Conference contribution (all sub-types)	Electronic copy (preferred) or print copy of the paper/abstract/poster (if available); **and** an electronic copy of the proceedings' title page, contents page(s) and bibliographic details (including editor(s), publisher and publication date) if not included in the copy of the paper/abstract/poster. In addition, a video or audio recording may be supplied.	Electronic copy or print copy of the paper/abstract/poster (if available); **and** a copy of the proceedings' title page, contents page(s) and bibliographic details (including editor(s), publisher and publication date) if not included in the copy of the paper/abstract/poster.
Confidential report for external body	A confidential research output can be in the form of any research output type – but, in all cases, the output type must be entered in the EP as 'Confidential Report'. The staff member must have obtained permission for the confidential output to be released to the panel before inclusion in the EP. If permission has not been gained, the output will not be accepted. The output must be accompanied by commentary, peer review or similar quality-assurance report from the commissioning body. Electronic copy (preferred) or print copy of the report. Evidence must be appropriate for the research output type.	Evidence as appropriate for the research output type.

Research Output	Form of Evidence Required for an NRO	Form of Evidence Required for audit of an ORO
Discussion Paper	Electronic copy (preferred) or print of the discussion paper.	Electronic copy or print of the discussion paper; **otherwise** an electronic copy of the paper's title page and bibliographic details (including editor(s), publisher and publication date).
Design output	One or more of the following forms sufficient to verify the design are acceptable: • Electronic copy (preferred) or print output, e.g. journal article, conference paper • Plan, working drawings and associated written documentation • Computer model and associated documentation • Animation of model output and associated written documentation • Photograph or digital image and associated written documentation • Video and associated written documentation • Interactive and active website, including downloads and any associated documentation. **Physical models may not be submitted.**	Copies of any material sufficient to verify the design.
Edited book	Electronic copy (preferred) or print copy of the book.	Electronic copy or print copy of the book; **otherwise** a copy of the book's title page and bibliographic details (including editor(s), publisher and publication date).

Research Output	Form of Evidence Required for an NRO	Form of Evidence Required for audit of an ORO
Exhibition	All of the following must be supplied: • A video or documentary photographs of the exhibition • Electronic copies of accompanying publications – including lists of works, room brochures, exhibition catalogues, media advertisements/reviews, invitations or awards that set out the author, dates of the exhibition, title of the exhibition and venue. The following must also be supplied, if this information is not covered in the EP: • An electronic copy of comment on the scale and complexity of the exhibition and an indication of whether it was a sole-venue exhibition or, if touring, the extent of the tour (national, international; number of venues and length of tour).	Copy of written evidence such as exhibition catalogues, media advertisements/reviews, invitations or awards that set out the author, dates of the exhibition, title of the exhibition, and venue.
Film/Video	All of the following must be supplied: • Video/film and electronic copy of associated written documentation • An electronic copy of comment on the scale and complexity of the film or video if not covered in the EP.	Copy of the film/video (if available); **otherwise** copies of cover/notes sufficient to verify the recording.
Intellectual property (e.g. patent, trademark)	The following must be supplied in electronic copy (preferred) or print copy: • Supporting documentation submitted for trademark or patent registration such as a copy of the patent application form showing the name(s) of the inventor(s) • The letter confirming the granting of the patents or trademark including the date of acceptance (i.e. the date the patent or trademark was granted) of the trademark or patent.	Copy of the letter confirming the granting of the patents or trademark including the date of acceptance; **and** a copy of the patent application form showing the name(s) of the inventor(s).
Journal article	Electronic copy (preferred) or print of the journal article **and** an electronic copy of the journal's contents page and bibliographic details (including volume and publication date) if not included in the copy of the journal.	Electronic copy or print of the journal article **and** a copy of the journal's contents page and bibliographic details (including volume and publication date) if not included in the copy of the journal.

Research Output	Form of Evidence Required for an NRO	Form of Evidence Required for audit of an ORO
Literary Translations, where these contain significant editorial work in the nature of research	Electronic copy (preferred) or print copy of the literary translation: **and** (if a book or section of a book) an electronic copy of the book's title page, contents page(s) and bibliographic details (including editor(s), publisher and publication date). **and** (if a Journal article) an electronic copy of the journal's contents page and bibliographic details (including volume and publication date).	Electronic copy or print copy of the literary translation: **and** (if a book or section of a book) a copy of the book's title page, contents page(s) and bibliographic details (including editor(s), publisher and publication date). **and** (if a Journal article) a copy of the journal's contents page and bibliographic details (including volume and publication date).
Monograph	Electronic copy (preferred) or print copy of the monograph.	Electronic copy or print copy of the monograph; **otherwise** a copy of the monograph's title page and bibliographic details (including editor(s), publisher and publication date).
Oral presentation	One or more of the following forms are acceptable in electronic copy (preferred) or print copy (if applicable): • Transcription in book, journal, conference proceedings, working paper or other output • Audio recording and associated notes • Audio-visual recording and associated notes • Attestation by a scholar of acknowledged repute, either in New Zealand or elsewhere (the scholar may be an eminent kaumātua or an academically credentialed expert).	Copy of the transcript, recordings or attestation.

Research Output	Form of Evidence Required for an NRO	Form of Evidence Required for audit of an ORO
Performance	If full details of the performance have not already been supplied in the EP then they will be required in an electronic document. They must include: • performers, dates of performance, title, venue and location • whether a self-promoted concert or given under the auspices of an organisation (to be named) • whether recorded for broadcast or for commercial release (e.g. a comment on the scale and complexity of the performance). At least one of the following will also need to be provided in electronic copy (preferred) or print copy (if applicable): • Audio or audio-visual recording • Transcription • Attestation of performance or associated written documentation where appropriate to authenticate a performance or describe the research • Script or score where appropriate.	Copy of written evidence such as a programme setting out the performers, dates of performance, title and venue.
Scholarly edition	Electronic copy (preferred) or print copy of the scholarly edition.	Electronic copy or print copy of the scholarly edition; **otherwise** a copy of the scholarly edition's title page and bibliographic details (including editor(s), publisher and publication date).

Research Output	Form of Evidence Required for an NRO	Form of Evidence Required for audit of an ORO
Software	In general, evidence in relation to software should address the uniqueness, impact and innovative nature of the development, rather than supplying the software itself. If a view of the software in operation would assist in the panel's assessment, the recommended approach is to provide a walkthrough in AVI format (see below under *Media and Formats Required for Requested Research Outputs*). This may contain voiceovers or text overlays to identify or emphasise any significant features of the software's operation. If, having considered the above points, the researcher still feels that a proper assessment is only possible by supplying software that will need to be installed by the reviewer, all of the following must be supplied: • a copy of the software in a format that allows for installation. This will need to be referenced from the PBRF IT system as a URI to an external repository or site, as the PBRF system does not allow for executable or zip files to be uploaded. • details of the operating system and any other supporting software and firmware required to operate the software • details of the minimum hardware platform required • information on installation of the software • full documentation for the software • any other information that would inform the panel's assessment of the research output (e.g. source code, architectural representations, or design diagrams).	In general, evidence in relation to software should address the uniqueness, impact and innovative nature of the development, rather than supplying the software itself. If a view of the software in operation would assist in the panel's assessment, the recommended approach is to provide a walkthrough in AVI format (see below under *Media and Formats Required for Requested Research Outputs*). This may contain voiceovers or text overlays to identify or emphasise any significant features of the software's operation. If, having considered the above points, the researcher still feels that a proper assessment is only possible by supplying software that will need to be installed by the reviewer, all of the following must be supplied: • a copy of the software in a format that allows for installation • details of the operating system and any other supporting software and firmware required to operate the software • details of the minimum hardware platform required • information on installation of the software • full documentation for the software • any other information that would inform the panel's assessment of the research output (e.g. source code, architectural representations, or design diagrams).
Technical report	Electronic copy (preferred) or print copy of the technical report.	Electronic copy or print copy of the technical report; **otherwise** a copy of the technical report's title page and bibliographic details (including editor(s), publisher and publication date).

Research Output	Form of Evidence Required for an NRO	Form of Evidence Required for audit of an ORO
Working paper	Electronic copy (preferred) or print copy of the working paper.	Electronic copy or print copy of the working paper; **otherwise** a copy of the working paper's title page and bibliographic details (including editor(s), publisher and publication date).
Other form of assessable output including but not limited to book reviews, magazine articles, new materials, structures, devices, images, products, buildings, food products and processes, internet publication, published geological and/or geomorphological maps and explanatory texts	For any 'other' research output that is not listed above, the onus is on the staff member to provide research outputs in forms that can be assessed by the panel. Staff members should provide as electronic copies any written documentation or commentary that demonstrates that the presented outputs fall within the PBRF Definition of Research. For any of these outputs, the following are acceptable: • Electronic copy (preferred) or print copy, e.g. journal article, conference paper • Plan, working drawings and associated written documentation • Computer model and associated documentation • Animation of model output and associated written documentation • Photograph and associated written documentation • Video documentation and associated written documentation	For any 'other' research output that is not listed above, the onus is on the staff member to provide research outputs in forms that can be assessed by an auditor. Staff members should provide any written documentation or commentary that demonstrates that the presented outputs fall within the PBRF Definition of Research. For any of these outputs, the following are acceptable: • Electronic copy or print copy, e.g. journal article, conference paper • Plan, working drawings and associated written documentation • Computer model and associated documentation • Animation of model output and associated written documentation • Photograph and associated written documentation • Video documentation and associated written documentation

Media and Formats Required for Requested Research Outputs

To be read in conjunction with preceding topic

The information here should be read in conjunction with the preceding topic *The Form of Evidence Required for Requested Research Outputs* on page 184 which lists the acceptable form for each type of research output.

Required formats

The following electronic media formats will be accepted as part of the research output uploads. All files will be scanned for viruses and malware before they are accepted, but it is required that tertiary education organisations also scan the content files for viruses in order to prevent unnecessary delays or resubmission of research output files.

It is required that lengthy video files be supplied on DVD when requested by a PBRF assessor, rather than being accessed via a Uniform Resource Identifier (URI). This is to ensure that the assessor has a good viewing experience which cannot be guaranteed if viewing is via the internet.

Medium	Format Requirements
Electronic documents - URI link	• Adobe Portable Document Format (.pdf) - recommended • Microsoft Word (.doc or.docx) (Office 2003 or higher) • Rich Text format (.rtf) • Extensible Markup Language (.xml)
Electronic Image – URI link, DVD, CD	• Graphics Interchange format (.gif) • Joint Photographic Experts Group (.jpg or.jpeg) • Bitmap (.bmp) • Portable Network Graphic (.png)
Electronic Presentation - URI link	Microsoft PowerPoint (Office 2003 or higher)
Film or Video - URI link, DVD or CD	PAL or SECAM format only using the following format: • Audio Video Interleave (.AVI) – recommended • Windows Media Video (.WMV) • Quicktime (.MOV) • Motion Picture Experts Group-4 (.MP4) Audio content of video content can be compressed with a wide variety of codecs. The use of compression codecs that are not readily available may affect the ability of the assessor to view the content. It is recommended that large video files (upward of 350 megabytes) are supplied on DVD when requested, rather than being accessed via a URI. DVDs provide good viewing experiences which cannot be guaranteed if viewing is via the internet.

Medium	Format Requirements
Audio - URI link, DVD or CD	MPEG-1 Audio Layer 3 (.mp3) – 128 Kbps (kilobits per second) – required
Software – URI links, DVD	The recommendation for submitting software research outputs is to: 1. record all screen and audio activity on a computer demonstrating the software and create industry-standard AVI video files. *Video Medium,* above, provides acceptable formatting information. 2. provide in addition to the AVI above, any other related software specific documentation and files (such as source files or design representations) in electronic format. These files can be referenced and uploaded as part of the research output. The Evidence Portfolio file specification allows for up to five files to be referenced for a single research output. 3. If an installable version of the software is the best representation of the research, a recommended approach to providing the software is outlined above under *The Form of Evidence Required for Requested Research Outputs*. A tool such as Camtasia Studio or similar can also be used to record screen and audio activity on a computer and create industry-standard AVI video files. See http://www.techsmith.com/camtasia.asp for more information. Other software can be used, provided it can output files in the required format.

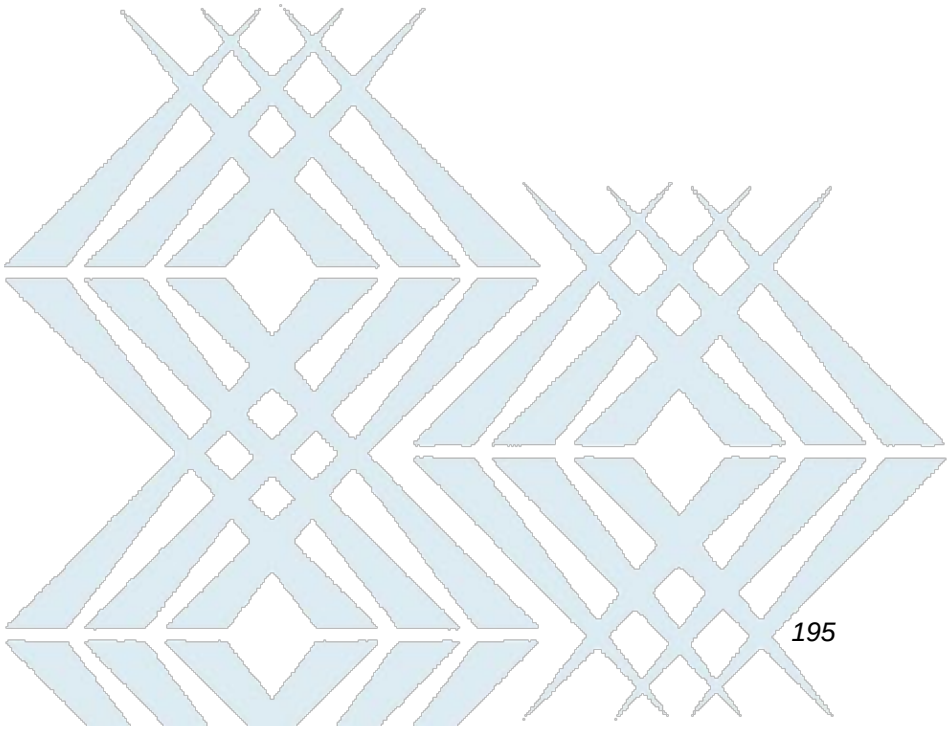
Unacceptable formats

The following file types will **NOT** be accepted for upload to the PBRF IT system.

- Executable files (.EXE or .COM)
- Batch Command files (.BAT or .CMD)
- Script Files (.VBS or .JS)
- Compressed files (.ZIP or .GZIP or .TAR)

More information is available in the *PBRF 2012 Evidence Portfolio Schema Definition Document* on the TEC website.

GLOSSARY



Term	Meaning
Assessment period	The period between 1 January 2006 and 31 December 2011. Only research outputs produced in this period are eligible for inclusion in an evidence portfolio for the 2012 Quality Evaluation round or The alternative period between 1 January 2005 and 31 December 2010 is available to staff members claiming Canterbury Earthquakes Special Circumstances.
Census	See PBRF Census.
Co-authorship	Process by which a research output is produced by more than one researcher.
Component scores	The scores from '0-7' that are assigned to each of the three components of an evidence portfolio (ie. RO, PE and CRE).
Contribution to the research environment (CRE)	Contribution that a PBRF-eligible staff member has made to the general furtherance of research in their TEO or in the broader sphere of their subject area. The Contribution to the Research Environment (CRE) **component** is one of the three components of an evidence portfolio. A contribution to the research environment **type** is one of the defined categories for listing examples of contribution to the research environment in an evidence portfolio. Examples of contribution to the research environment types include membership of research collaborations and consortia and supervision of student research.
Co-production	Process by which a research output is produced by more than one researcher.
Course	The smallest component of a qualification that contributes credit toward the completion of the qualification. Other terms used to describe a course include 'unit', 'paper' or 'module'.
Evidence portfolio (EP)	Collection of information on the research outputs, peer esteem, and contribution to the research environment of a PBRF-eligible staff member during the assessment period that is reviewed by a peer review panel and assigned to a Quality Category.
Excellence	Prime focus of the PBRF is rewarding and encouraging excellence. For what excellence means in relation to the PBRF see Emphasis on excellence on page 16.

Expert advisory group	Groups of specialists that will assist panels to assess evidence portfolios in certain research areas. There are two expert advisory groups, the Pacific Research expert advisory group and the Professional and Applied Research expert advisory group.
External Research Income (ERI)	A measure of the income for research purposes gained by a TEO from external sources. ERI is one of the three measures of the PBRF, along with the Research Degree Completions (RDC) measure and the Quality Evaluation.
FTE	Full-time-equivalent.
Interdisciplinary research	Research that crosses two or more academic disciplines or subject areas.
Joint research	Research produced by two or more researchers.
Moderation Panel	Panel that meets to review the work of peer review panels, in order to ensure that TEC policy has been followed and that the Quality Evaluation process has been consistent across the panels.
Nominated research outputs (NROs)	The up to four best research outputs that the PBRF-eligible staff member nominates in their evidence portfolio. NROs are given particular scrutiny during the Quality Evaluation process.
Non-quality-assured research output	Research output that has not completed a formal process of quality assurance.
Panel	See Peer review panel and Moderation Panel.
PBRF Census	A process whereby participating TEOs provide a detailed Census of all staff members.
PBRF Census date	14 June 2012. The date at which the PBRF census occurs.
PBRF-eligible staff member	A person who is employed by a TEO or otherwise contracted by a TEO on a contract for service in their own right as individuals, an entity or trading name, through their employer, or any other contracting the TEO may have developed, and meets the staff eligibility criteria.

Peer esteem (PE)	Esteem with which a PBRF-eligible staff member is viewed by fellow researchers. The Peer Esteem (PE) **component** is one of the three components of an evidence portfolio. A peer esteem **type** is one of the defined categories for listing examples of peer esteem in an evidence portfolio. Examples of peer esteem types include conference addresses and favourable reviews.
Peer review panel	Group of experts who evaluate the quality of research as set out in an individual evidence portfolio. There are 12 peer review panels, each covering different subject areas.
Points/points scale	The first stage in the assessment of an evidence portfolio is based on allocating points on a scale of 0 (lowest) to 7 (highest) to each of the three components of an EP.
Postgraduate Research-Based Degree Completions (RDC) Measure	See Research Degree Completions (RDC) Measure.
Primary field of research	The research field of the staff member's research activity during the assessment period, and especially that of the (up to) four NROs selected for their evidence portfolio.
Produced	In the context of the PBRF, 'produced' means published, publicly disseminated, presented, performed, or exhibited.
Quality-assurance process	Formal, independent scrutiny by those with the necessary expertise and/or skills to assess quality.
Quality-assured research output	Research output that has been subject to a formal process of quality assurance.
Quality Category	A rating of researcher excellence assigned to the evidence portfolio of a PBRF-eligible staff member following the Quality Evaluation process. There are six Quality Categories – "A", "B", "C", "C(NE)", "R" and "R(NE)". Quality Category "A" signifies researcher excellence at the highest level, and Quality Category "R" represents research activity or quality at a level which is insufficient for recognition by the PBRF.

Quality Evaluation	The process that assesses the quality of research output produced by PBRF-eligible staff members, the esteem within which they are regarded for their research activity, and the contribution they have made to the research environment. The Quality Evaluation is one of the three measures of the PBRF, along with the Research Degree Completions (RDC) measure and the External Research Income (ERI) measure.
Research	As defined for the purposes of the PBRF (see Chapter 1 Section D: What Counts as Research? on page 25).
Research Degree Completions (RDC) Measure	A measure of the number of research-based postgraduate degrees completed within a TEO where there is a research component of 0.75 EFTS or more. One of the three measures of the PBRF, along with and the External Research Income (ERI) measure and the Quality Evaluation.
Research output (RO)	A research output is a product of research that is evaluated during the Quality Evaluation process. The Research Output (RO) **component** is one of the three components of an evidence portfolio. A research output **type** is one of the defined categories for listing research outputs in an evidence portfolio. Examples include an edited book, journal article, composition, and artefacts.
Specialist Adviser	Expert in a particular subject area who is used to assist a peer review panel in evaluating a particular evidence portfolio.
Subject area	One of the 42 PBRF subject areas (see "Panels and subject areas" on page 83).
TEC	Tertiary Education Commission.
TEO	Tertiary Education Organisation.
Tie-points	The standards expected for the scores 2, 4 and 6 in each of the three components of an evidence portfolio.
Total weighted score	The sum of the points allocated to each component of the evidence portfolio during the first stage of assessment, multiplied by the weighting for each component.

URI	A Uniform Resource Identifier (URI) is a string of characters used to identify a name or a resource on the Internet or in the TEC temporary repository of NROs.
XML	XML (Extensible Markup Language) is a set of rules for encoding documents in machine-readable form. It is defined in the XML 1.0 Specification produced by the W3C.