Tertiary Education Commission
Te Amorangi Mātauranga Matua

PBRF Sector Reference Group

Consultation #9 – Technical Matters/detailed EP structure and submission requirements

Name	Status	Distribution
PBRF Sector Reference Group – Consultation Paper Technical Matters/detailed EP structure and submission requirements	CONSULTATION PAPER	Public Direct feedback to: https://www.surveymonkey.com/r/663FSCM Feedback due 5pm, 24 February 2023

Consultation #9 – Technical Matters/detailed EP structure and submission requirements

Purpose

1 The purpose of this paper is to:

- Set out proposals for a small number of changes to elements of the Evidence Portfolio (EP) structure and submission requirements that have been identified by the PBRF Sector Reference Group (SRG) as requiring sector consultation; and
- Present detailed EP structure and submission requirement changes or adjustments that are required as a consequence of the in-principle decisions to date.

2 As set out in *Consultation 1: Approach to the design of the PBRF Quality Evaluation 2025*, the SRG has always intended to use the Technical Matters paper to consult on more detailed technical matters that have been identified as the SRG has worked through the higher-level issues.

3 The matters that have arisen and which TEC officials have advised are ready for consultation all relate to the detailed EP structure and submission requirements. As such, the proposals and material for this consultation are presented as part of the attached Proposed detailed Evidence Portfolio structure and submission requirements for Quality Evaluation 2026 (Appendix 1), Illustrative EP template (Appendix 2), and Proposed guidance to determining ERE submission requirements (Appendix 3).

4 The Draft Evidence Portfolio Submission Requirements document also sets out detailed EP submission requirements that the TEC does not consider require significant changes, but that have been updated to reflect minor adjustments such as dates and new names. These requirements are provided for sector information only.

Scope and purpose of consultation

5 This paper sets out background information, analysis and proposals for the following issues which have been identified by the SRG as requiring sector consultation:

- Proposed changes to the Platform of Research – Contextual Summary EP component
- Proposed new Core Research Output request and supply processes.

6 The paper sets out proposed detailed EP submission requirements requiring more substantive changes as a consequence of in-principle decisions to date. While the in-principle decisions themselves are not being revisited, the SRG seeks sector feedback on the way in which the in-principle changes are reflected in the following proposed submission requirements, as well as the clarity and accuracy of the proposed wording:

- Detailed Evidence Portfolio (EP) structure and submission requirements including determining the number of EREs required under the Achievement Relative to Opportunity framework
- Eligible research output types and descriptions
- Eligible research activity types and descriptions
- Eligible contributions to the research environment (CRE) types and descriptions.

7 The paper also sets out for sector information the following components of the detailed EP submission requirements. These do not require significant changes as a consequence of in-principle decisions, but have been updated to reflect changes such as new names and dates:

- Quality assurance processes for research outputs
- Eligibility criteria for research outputs
- Research outputs based on joint research
- Research outputs with similar content
- Information required about a CRO
- Information required about a research output submitted as a supplementary item in an ERE or as an Other Example of Research Excellence (OERE)
- Eligibility criteria for research activities and CRE items
- Information required about research activities and CRE items.

8 Included alongside the Detailed EP structure and submission requirements document is an Illustrative EP template which is provided to show the proposed changes and to model how they might be operationalised via the PBRF IT system.

9 The following related issues have been identified as requiring review following in-principle decisions on the issues above, and will be reflected in the draft Quality Evaluation 2026 Guidelines and the draft Audit Methodology as necessary:

- Audit and evidence requirements for research outputs, activities, and contributions to the research environment
- EP schema.

10 The paper does not set out a proposal in relation to the use of Unique Staff Identifiers (previously National Student Numbers). While this issue was included in the original list of issues for SRG consideration as set out in *Consultation 1: Approach to the design of the PBRF Quality Evaluation 2025*, TEC and Ministry of Education officials have

subsequently determined that further work is required to determine eligible approaches. Consultation on this issue, if required, will occur in 2023.

Background

In-principle decisions on changes to research definitions and EP design

11 Following sector consultation and SRG recommendations, the TEC has agreed in principle to the following changes in relation to research definitions for Quality Evaluation 2026:

- A new PBRF Definition of Research
- Statements acknowledging the value of Māori research and Pacific research
- A new definition of research excellence and of impact
- New Quality Category descriptors

12 Following sector consultation and SRG recommendations, the TEC has also agreed in principle to the following changes EP design including:

- A definition of an Example of Research Excellence (ERE), which replaces the Nominated Research Output
- A requirement that all EPs ordinarily contain three EREs unless one or more eligible circumstances apply
- A definition of an Other Example of Research Excellence (OERE), which replaces the Other Research Output
- The introduction of the research activity, which may be included in an EP either as a supplementary item within an ERE, or as an OERE
- Reducing the maximum number of OEREs from twelve to eight and including an optional summary narrative
- Changes to the Research Contributions component, including renaming it Contributions to the Research Environment (CRE), revising the types of eligible items, and reducing the maximum number of items from twelve to ten

13 Full details of the changes are set out in the *TEC In-Principle decisions and summary of feedback on research definitions* and the *TEC In-Principle decisions and summary of feedback on EP design*, both available on the TEC website.

In-principle decision/SRG recommendations on changes to individual circumstances

14 Following sector consultation and SRG recommendations the TEC has also agreed in principle to a number of changes to the ways in which individual researchers' circumstances will be reflected in the EP submission requirements, including:

- EPs submitted by eligible New and Emerging Researchers may contain up to three EREs if the researcher chooses and will include either a minimum of one or two EREs, depending on when the researcher first became eligible in the assessment period

- EPs submitted by eligible staff who were employed part-time a total maximum of 0.8FTE during the assessment period may contain up to three EREs if the researcher chooses and will include either a minimum of one or two EREs, depending on the staff member's total FTE across the period

- EPs submitted by eligible staff who declare one or more eligible Researcher Circumstances lasting more than six months total across the assessment period will include either one or two EREs depending on the duration of the impact.

15 Full details of the changes are set out in the TEC In-Principle decisions and summary of sector feedback on Individual Circumstances, available on the TEC website.

16 The in-principle decisions and recommendations on research definitions, EP design, and individual circumstances, will impact on the detailed EP structure and submission requirements. These requirements will ultimately be set out in the draft Quality Evaluation 2026 Guidelines, which will be provided to the sector for consultation in June 2023.

Sector Reference Group process and next steps

16 In developing the proposals in this paper, the SRG has considered whether they:

- Deliver Cabinet's instructions

- Address the concerns and aspirations identified in the Report of the PBRF Review Panel and the Report of the Moderation Panel and Peer Review Panels

- Deliver fair and equitable outcomes for all participating TEOs and their staff

- Uphold the unique nature of research produced in Aotearoa New Zealand and reflect what is distinctive about our national research environment

- Are consistent with the PBRF Guiding Principles, including the three new Principles of partnership, equity, and inclusiveness

- Are able to be implemented and audited (legally and practically)

- Reflect the in-principle decisions made to date.

17 Following sector consultation on the proposals set out in this paper and the attached appendix, the SRG will consider sector feedback and make recommendations to the TEC.

18 The TEC may carry out further targeted consultation with TEOs on detailed elements of the EP submission requirements as necessary, to inform the preparation of the draft Guidelines.

Proposed changes to the Platform of Research - Contextual Summary EP component

19 The Platform of Research – Contextual Summary section was introduced in Quality Evaluation 2018 and replaced the 'Other Comments' section in previous Quality Evaluations.

20 The function of the Platform of Research component was to provide submitting staff members with the opportunity to present information that would allow panels to contextualise the Research Output and Research Contributions components (which were scored).

21 In addition to providing an overview of the staff member's research activity and platform of research, the component could include relevant detail specific to the staff member's research context. This included changes in research focus, part-time employment, or particular features of their research environment such as an applied or interdisciplinary focus.

22 Although the component was not scored, panels were instructed to use the information provided in it to contextualise the material in the scored components, and in particular to support detailed holistic assessment of the EP where this was required.

23 Full details of the 2018 guidance on the Platform of Research component can be found on page 41 of the Quality Evaluation 2018 Guidelines.

Rationale for reviewing the role of the Platform of Research – Contextual Summary component

24 The in-principle changes to EP design provide an opportunity to review the component and the role it plays in the EP. The SRG has determined that the following design changes support a revised function:

- The formal recognition of part-time employment within the Achievement Relative to Opportunity framework means it will no longer be necessary for submitting staff to use the Platform of Research component to draw the panel's attention to any part-time employment status
- The ERE, which replaces the NRO, includes a contextual narrative alongside the CRO and any supplementary items. Although the contextual narrative relates to the ERE as a discrete example rather than to the staff member and their overall platform of research, it will provide an opportunity for the staff member to situate the CRO and any supplementary items within a broader research context

- The OERE component includes an additional optional narrative linking together any OERE items. Again, this may provide opportunity to include similar contextual information about the staff member's wider research platform.

25 In addition, the precise function of the component will benefit from greater clarity. Although the component was not scored in Quality Evaluation 2018, it was nonetheless an important element of the EP. As the first component panellists saw, it 'set the scene', and panellists were instructed in the Assessment Guidelines to assess EPs holistically on the basis of all information submitted, including the Platform of Research. The role of the component in assessment could have been more clearly expressed in the Guidelines (see pages 16-17).

26 The SRG considers it is worth clarifying both what the component is expected to contain given the in-principle changes to EP design, and what role it plays in the assessment of EPs. As such, we are seeking the sector's views on the following proposed adjustments.

Proposal for revising the Platform of Research - Contextual Summary

27 The Platform of Research remains part of the EP, but no longer needs to set out information about the staff member's employment or other circumstances during the assessment period. As such, the character count is reduced from 2,500 characters to 1,000 characters and staff members are instructed to focus on introducing their research focus and platform, as well as any relevant aspects of their research environment. The Guidelines for TEOs and for panellists clarify that the component is not scored but should be used by panellists to inform their assessment of the two scored components, and by panels to inform their holistic consideration of the EP as a whole.

28 See page 10, Appendix 1, and Appendix 2 for how this proposal is expressed in the draft EP submission requirements and Illustrative EP template.

Core Research Output request and supply processes

29 For Quality Evaluation 2018, TEOs were required to ensure that all NROs were available for assessment by a panel, that the actual research output (referred to as the Main Research Object) was provided as evidence to enable assessment and audit, and that the EP included details of how the Main Research Object was supplied.

30 TEOs could choose to supply the output electronically or physically, although the Guidelines noted that electronic submission was preferred. The Guidelines allowed for three supply options:

- A direct link to an electronic version of the Main Research Object, or
- An electronic version could be uploaded to the TEC's filestore, or

- A physical version of the output was provided to the assessor if requested. TEOs were required to indicate the physical location of the output if they chose that option, and were required to supply the output to the TEC within ten days of receiving the request to supply.

31 Full details of the 2018 processes and requirements for submitting evidence of the NRO can be found on pages 64-7 of the Quality Evaluation 2018 Guidelines.

Rationale for reviewing Main Research Object request and supply processes

32 Following Quality Evaluation 2018, some peer review panels reported delays in receiving requested physical versions of NROs which affected the timely completion of assessment.

33 Managing the request, storage, delivery, and return (where required) of physical versions of outputs created some logistical challenges for the TEC and TEOs, and as such the supply of NROs electronically was strongly preferred, as indicated in the Guidelines.

34 Since Quality Evaluation 2018, electronic publication, dissemination, and communication of research outcomes, which was already widespread, has become increasingly normalised. In most disciplines, all publishers have dual online/physical platforms as standard, and online-only platforms are increasingly common.

35 For Quality Evaluation 2026, the NRO has been replaced by the ERE. The ERE will contain a Core Research Output which, like the NRO, will be submitted as a Main Research Output for assessment.

36 The SRG has considered and does not support moving to one hundred percent digital submission. While this approach would have limited impact on the majority of research disciplines, given the widespread use of digital publication and dissemination, it would have a significant impact on creative practice-based disciplines focussed on the production of physical artworks, artefacts, objects, and craftworks. While such outputs can be presented through high-quality digital reproduction (and in 2018 for the most part were), the work of some researchers has important spatial, location-specific, or haptic aspects that are unable to be fully represented digitally.

37 Electronic-only submission could also impact on smaller participating TEOs who may not be able to fund digital reproductions of physical outputs.

38 The SRG has also considered revising the physical Main Research Object request and supply process. In 2018, TEOs had ten days from receipt of a request to supply a physical Main Research Object. However, panellists were not required to submit requests within any particular timeframe. It is possible that some of the challenges associated with timely supply may have been caused by requests being made close to assessment deadlines.

39 The SRG seeks the sector views on the following proposed changes to the request and supply processes, which are intended to address the issues identified.

Main Research Object request and supply proposal

40 The expected default is that Main Research Outputs are submitted as electronic versions, either via direct link or by uploading to the TEC filestore. In circumstances where a submitting staff member believes that a digital version of a born-physical Main Research Output will not enable full and fair assessment, or a digital version cannot otherwise be created, the physical output can be supplied. Physical submission of outputs, accompanied by a brief explanation, are indicated in the EP by the submitting TEO.

41 Panellists will submit physical Main Research Object requests within 15 working days of EP allocation.

42 TEOs will supply physical Main Research Objects within 15 working days of receipt of a request to supply from a panellist

43 See pages 32-3, Appendix 1, and Appendix 2 for how this proposal is expressed in the draft EP submission requirements and the illustrative EP template.

Detailed EP structure and submission requirements

In-principle new ERE design and submission requirements

44 Following Cabinet's decision to replace the Nominated Research Output (NRO) with an Example of Research Excellence (ERE), the SRG developed, consulted on, and recommended to the TEC an ERE design which meets Cabinet's instructions to enable a broader range of research excellence to be presented and assessed, and to reflect the new PBRF Definition of Research.

45 The in-principle new ERE will comprise:

- A single core research output **(required)** which is submitted for detailed assessment
- A contextualising narrative **(required)** which summarises the nature and significance of the ERE as a whole, contextualising the core research output, and articulates the links between the core output and any supplementary items included
- Up to three supplementary items **(optional)**, which may be either eligible research outputs or eligible research activities. Supplementary items are briefly described and bibliographic/equivalent details provided to evidence claims made and enable audit, but are not submitted for detailed assessment.

46 Following Cabinet's direction to review the previous Extraordinary Circumstances provisions to ensure the Quality Evaluation supports more equitable outcomes,

particularly for part-time researchers, the SRG has recommended changes to EP submission requirements under the Achievement Relative to Opportunity framework as follows:

- All EPs contain three EREs unless one or more of the eligible circumstances apply;
- EPs submitted by eligible New and Emerging Researchers may contain up to three EREs if the researcher chooses and will include either a minimum of one or two EREs, depending on when the researcher first became eligible in the assessment period
- EPs submitted by eligible staff who were employed part-time a total maximum of 0.8FTE during the assessment period may contain up to three EREs if the researcher chooses and will include either a minimum of one or two EREs, depending on the staff member's total FTE across the period
- EPs submitted by eligible staff who declare one or more of the five eligible Researcher Circumstance types lasting more than six months total across the assessment period include either one or two EREs depending on the total duration of the impact across the assessment period
- Eligible staff members who meet more than one of these three circumstances will have ERE submission requirements reflecting the combined impact. However, a minimum of one ERE will be required.

In-principle new OERE definition and submission requirements

47 Following Cabinet's decision to replace the Other Research Output with an Other Example of Research Excellence (OERE), the SRG developed, consulted on, and recommended to the TEC an OERE design which meets Cabinet's instructions to enable a broader range of research excellence to be presented and assessed, and to reflect the new PBRF Definition of Research.

48 The in-principle new OERE will be an eligible research output or an eligible research activity. An OERE is briefly described and bibliographic/equivalent details provided to evidence claims made and enable audit, but is not submitted for detailed assessment.

49 The OERE section is optional for all EPs, regardless of the number of EREs required. Submitting staff may choose to include up to eight OEREs. Additionally, they may choose to include a short narrative which contextualises and/or links together any OEREs to each other or to the EREs.

In-principle new Contributions to the Research Environment definition and submission requirements

50 Following Cabinet's instructions to revise the Research Contributions EP component to complement the other changes made to the EP design, the SRG developed, consulted on, and recommended to the TEC a revised Contributions to the Research Environment (CRE) component. This component has a sharpened focus on activities and outcomes

which demonstrate how the submitting staff member has contributed to developing and sustaining a vibrant research culture and environment.

51 The number of eligible item types has been reduced from 12 to seven. Six types which were previously eligible as Research Contributions have been redefined as eligible research activities and moved into the ERE component of the EP. The sections below 'Eligible Research Activity type descriptions' and 'Eligible Contributions to the Research Environment type descriptions' provide further detail on the individual types and how they are reflected in the new EP guidance.

52 The in-principle new CRE component comprises a minimum of one and up to ten CRE items. CRE items are briefly described and bibliographic/equivalent details provided to evidence claims made and enable audit, but are not submitted for detailed assessment.

53 The requirement to contain a minimum of one CRE item does not apply to EPs submitted by New and Emerging Researchers.

Detailed EP structure and submission requirements guidance – changes required to reflect in-principle changes

54 The in-principle changes to the EP design and submission requirements require translation into detailed new EP submission requirements. This includes:

- A detailed description of the overall EP structure, including guidance on what information to include in each section or component
- Guidance on how to determine the number of EREs required, taking any Achievement Relative to Opportunity circumstances into consideration

55 The detailed EP structure and submission requirements sets out this information on pages 4 – 9, Appendix 1, and in Appendix 2. In particular:

- An overview of the EP structure and contents is provided on pages 4 – 6, Appendix 1, including a diagram of the new EP structure
- Guidance to completing the EP Details, Researcher Details, Panel Details, and proposed Platform of Research – Contextual Summary sections are provided on pages 7 – 10
- Detailed guidance on what an ERE contains is provided on pages 11 – 12.
- Guidance to determining the required number of EREs is provided in Appendix 3.

56 The draft requirements are also reflected in the attached illustrative EP template, attached as Appendix 2.

57 The SRG seeks the sector's feedback on any matters arising from the proposed detailed EP structure and submission requirements as set out in Appendices 1 and 2, which reflect the TEC's in-principle decisions to-date and the options in this paper.

Eligible research output types and descriptions

In-principle new research definitions

58 Following Cabinet's instructions to broaden the PBRF Definition of Research to recognise a wider range of research excellence including research impact, collaboration and engagement, the SRG developed, consulted on, and recommended to the TEC a new PBRF Definition of Research. The TEC has agreed in principle to the new definition. To support the new definition of research, and to give full effect to Cabinet's instructions, the TEC has also agreed in principle to:

- A new definition of research excellence
- A definition of research impact
- Statements acknowledging the significance of Māori knowledge and research and Pacific knowledge and research
- New Quality Category descriptors.

59 In Quality Evaluation 2018, there were 15 eligible research output types, each of which was given a detailed description and indicative examples:

1. Authored Book
2. Chapter in Book
3. Conference Contribution – Other
4. Conference Contribution – Published
5. Creative Work
6. Discussion/Working Paper
7. Edited Volume
8. Intellectual Property
9. Journal Article
10. Oral Presentation
11. Other Form of Accessible Output
12. Report
13. Scholarly Edition/Literary Translation
14. Software
15. Thesis

The detailed descriptions and examples provided for the 2018 round can be found on pages 46-55 in the Quality Evaluation 2018 Guidelines, available on the TEC website.

Proposed new research output type and revised detailed descriptions and examples

60 As a consequence of the in-principle new research definitions, the SRG has reviewed the eligible research output types and descriptors to ensure alignment. While the new ERE allows a wider range of items to be included, an ERE must still contain a core research output which is capable of being submitted for detailed assessment.

61 The SRG considers that all of the existing 15 types should be retained, and propose adding a sixteenth type, *Products and Processes*.

62 The SRG has reviewed the detailed descriptions, and considers that they are sufficiently broad to encapsulate the range of research outputs that are anticipated under the new research definitions. However, the SRG is proposing more inclusive language and examples to ensure that submitting staff working in practice- and community-based, Māori, Pacific, and applied research fields in particular can better see how their research relates to these descriptions.

63 The SRG has also clarified and rationalised the detailed descriptions and examples for the Creative Work subtypes in particular, and proposed clarifying where items are more appropriately submitted as research activities or CRE items rather than a research output.

64 The SRG has also made minor adjustments to the guidance on information required about a CRO and information required about a research output submitted as a supplementary item in an ERE or as an OERE. The proposed adjustments are minor in nature but given that CROs, supplementary items, and OEREs are new elements for Quality Evaluation 2026, comments are welcomed.

65 The proposed adjustments to the research output types and detailed descriptions are set out on pages 16 – 26, Appendix 1.

66 Proposed adjustments to information required for CROs is set out on pages 29 – 30, Appendix 1. Proposed adjustments to information required for outputs submitted as supplementary items or OEREs is set out on pages 30 – 31.

67 The SRG seeks the sector's feedback on any matters arising from these proposed changes, which reflect the TEC's in-principle decisions to-date.

Detailed Research Outputs submission requirements guidance – minor adjustments

68 TEC officials have reviewed the EP guidance provided for Quality Evaluation 2018 in relation to submission requirements for research outputs, and have determined that the following elements require minor adjustments to bring them into line with the in-principle changes:

- Eligibility criteria for research outputs
- Quality assurance processes for research outputs

- Research outputs based on joint research
- Research outputs with similar content

Appendix 1 sets out updated information on these elements on pages 13 – 15 and 27 – 30.

69 These adjustments are minor in nature and do not stem from the in-principle decisions to date. They are provided for information only.

Eligible research activity type descriptions

In-principle changes to EP design

70 The new EP design creates a new type of EP item: the research activity. Research activities can be submitted as supplementary items within the ERE component, or as OEREs.

71 Research activities in an EP describe activities and outcomes related to the process of designing, carrying out, disseminating, and sharing research, and includes research outcomes such as collaboration, public or other engagement, recognition, uptake, and impact. The following six types, which previously belonged within the Research Contributions component, are eligible for inclusion in an EP as research activities:

1. Invitations to Present Research or Similar
2. Outreach and Engagement
3. Recognition of Research Outputs
4. Research Funding and Support
5. Research Prizes, Fellowships, Awards and Appointments
6. Uptake and Impact.

Proposed revised research activity detailed descriptions and examples

72 As a consequence of the in-principle new research definitions and EP design, it is necessary to review the eligible research activity type descriptors to ensure alignment.

73 The SRG has reviewed the eligible types, and proposes that the following types should be renamed:

- 'Invitations to Present Research or Similar' should be renamed as 'Presentation, Sharing, and Dissemination of Research or Similar'
- 'Outreach and Engagement' should be renamed as 'Collaboration, Outreach, and Engagement'
- 'Recognition of Research Outputs' should be renamed 'Recognition of Research Outputs, Outcomes, or Activity'.

These proposed changes are intended to signal a broader range of eligible activity.

74 The SRG has also revised the detailed descriptions and examples to reflect the focus on specific research outcomes and activity. The SRG proposed more inclusive language and examples to ensure that submitting staff working in practice- and community-based, Māori, Pacific, and applied research fields in particular can better see how their research relates to these descriptions.

75 The SRG also proposes expanding the detailed descriptions and examples for the Uptake and Impact type in particular, and have clarifying where items should be more appropriately submitted as CRE items.

76 The proposed research activity types and detailed descriptions are set out on pages 33 - 34, Appendix 1.

77 The SRG seeks the sector's feedback on any matters arising from these proposed changes, which reflect the TEC's in-principle decisions to-date.

Detailed Research Activities submission requirements guidance – minor adjustments

78 TEC officials have reviewed the EP guidance provided for Quality Evaluation 2018 in relation to submission requirements for research activities formerly included within the Research Contributions component. Reclassifying those types as research activities within the ERE component requires only minor adjustments to the following elements to bring them into line with the in-principle changes:

- Eligibility criteria for research activities
- Information required about a research activity submitted as a supplementary item in an ERE or as an OERE.

Appendix 1 sets out updated information on pages 33 and 38.

79 These adjustments are minor in nature; however, given the research activity is a new type for Quality Evaluation 2026, any comments are welcomed.

Eligible Contributions to the Research Environment types and descriptions

In-principle new CRE component

80 The in-principle new CRE component has a sharpened focus on activities and outcomes which demonstrate how the submitting staff member has contributed to developing and sustaining a vibrant research culture and environment. The following six types of CRE are eligible:

1. Contribution to Research Discipline, Culture, and Environment (previously Contribution to Research Discipline and Environment)
2. Facilitating, Networking and Collaboration
3. Peer Esteem and Research Recognition

4. Researcher Development, Capability-Building, and Mentoring (previously Researcher Development)
5. Reviewing, Refereeing, Judging, Evaluating and Examining
6. Student Development and Support (previously Student Factors).

Proposed revised Contributions to the Research Environment detailed descriptions and examples

81 To ensure alignment with the in-principle new EP design, and the aim of the component, the SRG has reviewed the eligible CRE types, and proposes that an additional type, 'Other Evidence of Contribution to the Research Environment', should be added. This reflects provisions made in the 2018 Guidelines to ensure that eligible contributions not clearly falling within one of the other six types can be submitted.

82 The SRG has also revised the detailed descriptions and examples to reflect the focus on developing and sustaining the research environment. The SRG proposes more inclusive language and examples to ensure that submitting staff working in practice- and community-based, Māori, Pacific, and applied research fields in particular can better see how their research relates to these descriptions.

83 The proposed adjustments to the CRE types and detailed descriptions are set out on pages 40 – 44, Appendix 1.

84 The SRG seeks the sector's feedback on any matters arising from these proposed changes, which reflect the TEC's in-principle decisions to-date.

Detailed Contributions to the Research Environment submission requirements guidance – minor adjustments

85 TEC officials have reviewed the EP guidance provided for Quality Evaluation 2018 in relation to submission requirements for items now included within the Contributions to the Research Environment component and consider that only minor adjustments are required to the following elements:

- Eligibility criteria for CRE items
- Information required about a CRE item

Appendix 1 sets out updated information on pages 40 and 45.

86 These adjustments are minor in nature and do not stem from in-principle changes to date. They are provided for information only.

Next steps

87 The SRG seeks feedback is sought on the following:

Role of Platform of Research – Contextual Summary

1. Do you support the proposed changes to the Platform of Research – Contextual Summary?

Core Research Output request and supply proposal

2. Do you support the proposed changes to the CRO request and supply processes?

Detailed EP structure and submission requirements

3. Do you have any feedback on the proposed changes to the overall EP structure and submission requirements as set out in the *Proposed detailed EP structure and submission requirements*, the *Proposed guidance to determining ERE submission requirements*, and the Illustrative EP template?

4. Do you have any feedback on the proposed changes to the research output types and descriptions as set out in the *Proposed detailed EP structure and submission requirements* document and the Illustrative EP template?

5. Do you have any feedback on the proposed research activity descriptions as set out in the *Proposed detailed EP structure and submission requirements* document and the Illustrative EP template?

6. Do you have any feedback on the proposed changes to the CRE types and descriptions as set out in the *Proposed detailed EP structure and submission requirements* document and the Illustrative EP template?

7. The SRG welcomes detailed wording suggestions on the *Detailed EP Structure and Submission Requirements* document, the *Proposed guidance to determining ERE submission requirements*, and the Illustrative EP template. These will feed directly into the draft Guidelines drafting process.

88 The consultation period runs until 24 February 2023. Feedback can be provided via the online survey, as well as by submitting track-change comments on the Word versions of the Detailed EP Structure and Submission Requirements documents and the Illustrative EP template. These should be emailed to PBRF.Help@tec.govt.nz.

89 Consultation feedback entailing significant change will be considered by the SRG and recommendations made to the TEC. Detailed feedback on wording will be considered by TEC officials and reflected in the draft Quality Evaluation 2026 Guidelines released for sector consultation in June 2023.

90 TEC officials may arrange further targeted consultation ahead of the publication of the draft Guidelines.

Tertiary Education Commission
Te Amorangi Mātauranga Matua

Appendix 1: Proposed detailed Evidence Portfolio structure and submission requirements for Quality Evaluation 2026

Based on consultation feedback and the Sector Reference Group's recommendations, the TEC has agreed in principle a number of changes to Evidence Portfolio (EP) structure and EP submission requirements for eligible staff members for Quality Evaluation 2026.

As set out in *SRG Consultation 9: Technical Matters/EP structure and submission requirements*, we are providing this document to:

- Provide a clear picture of the overall implications of the changes that have been agreed in principle;
- Seek the sector's feedback on how those changes could affect specific elements of the detailed EP structure and submission requirements for the EP component; and
- Seek the sector's feedback on how those changes could be presented and articulated in the draft Guidelines for Quality Evaluation 2026.

For completeness, the document also sets out some minor updates (such as revised dates or name changes) to the 2018 guidance in areas where significant changes are not required as a consequence of the in-principle decisions and where the TEC is not anticipating further changes. This essentially unchanged information is presented within grey-shaded boxes.

This document is not a draft or final version of the Guidelines for the Quality Evaluation 2026 and it is expected that the organization and wording will be revised following sector feedback on the proposed changes it sets out as TEC prepares a full draft of the Guidelines for consultation in 2023. Further changes are also expected to be made following feedback on that full draft.

The changes in the document compared to 2018 are limited to the areas where TEC has made in-principle decisions. The document does not include changes that may be made as a result of the SRG's recommendations to the TEC on the:

- EP component weightings
- Cross-referral process
- Holistic assessment process
- Any additional measures to recognize the impacts of COVID-19

It also does not include draft guidance on audit evidence requirements for research outputs, research activities, and contributions to the research environment.

We have provided some commentary in square brackets where needed to provide extra context.

We welcome your feedback on the proposed changes to the detailed EP structure and submission requirements and the way the agreed in-principle decisions have been presented in this document. Any feedback we receive will be carefully considered and, as appropriate, reflected in the complete draft of the Guidelines that we will release for final consultation in June 2023.

Please refer back to *SRG Consultation 9*, to which this document is attached as an appendix, for further context and background information on the material set out in this document and the consultation process.

Contents

What is an Evidence Portfolio?

An Evidence Portfolio (EP) is the key element of the Quality Evaluation, and represents an eligible staff member's best examples of research and research-related activity carried out during the assessment period. EPs are submitted on behalf of staff members by participating TEOs where they have determined that a staff member is eligible and likely to achieve a funded Quality Category. It contains all the information that will be assessed by peer review panels.

- An EP has two assessed components:
  - the Examples of Research Excellence (ERE component), which contains between one and three Examples of Research Excellence (EREs), depending on the submitting staff member's circumstances, and up to eight Other Examples of Research Excellence (OERE)
  - the Contributions to the Research Environment (CRE component), which ordinarily includes a minimum of one and up to ten examples.
- An ERE comprises:
  - one Core Research Output (CRO) **(required)** which is submitted for detailed assessment
  - up to three supplementary items **(optional)**, which may be either eligible research outputs or eligible research activities; these are described but not submitted for detailed assessment
  - a brief narrative **(required)** contextualising the CRO and articulating the link between the core output and any supplementary items

The assessment is based on the quality of the research outputs and activities and research-related activities submitted in the EP. All items submitted in the EP will inform the assessment of quality; however, the total number of items included in the EP in and of itself will have no bearing on the assessment. This is in line with the principle that the PBRF Quality Evaluation assesses research quality, not quantity. Staff members should select their best research outputs and research-related activities completed in the assessment period.

What information is in an Evidence Portfolio?

EPs submitted to Quality Evaluation 2026 are made up of the following sections:

- EP Details
- Researcher Details
- Panel Details
- Platform of Research – Contextual Summary
- ERE Component:
  - EREs
  - OEREs (if any) and OERE contextual summary narrative (if included)
- CRE Component
  - CRE items

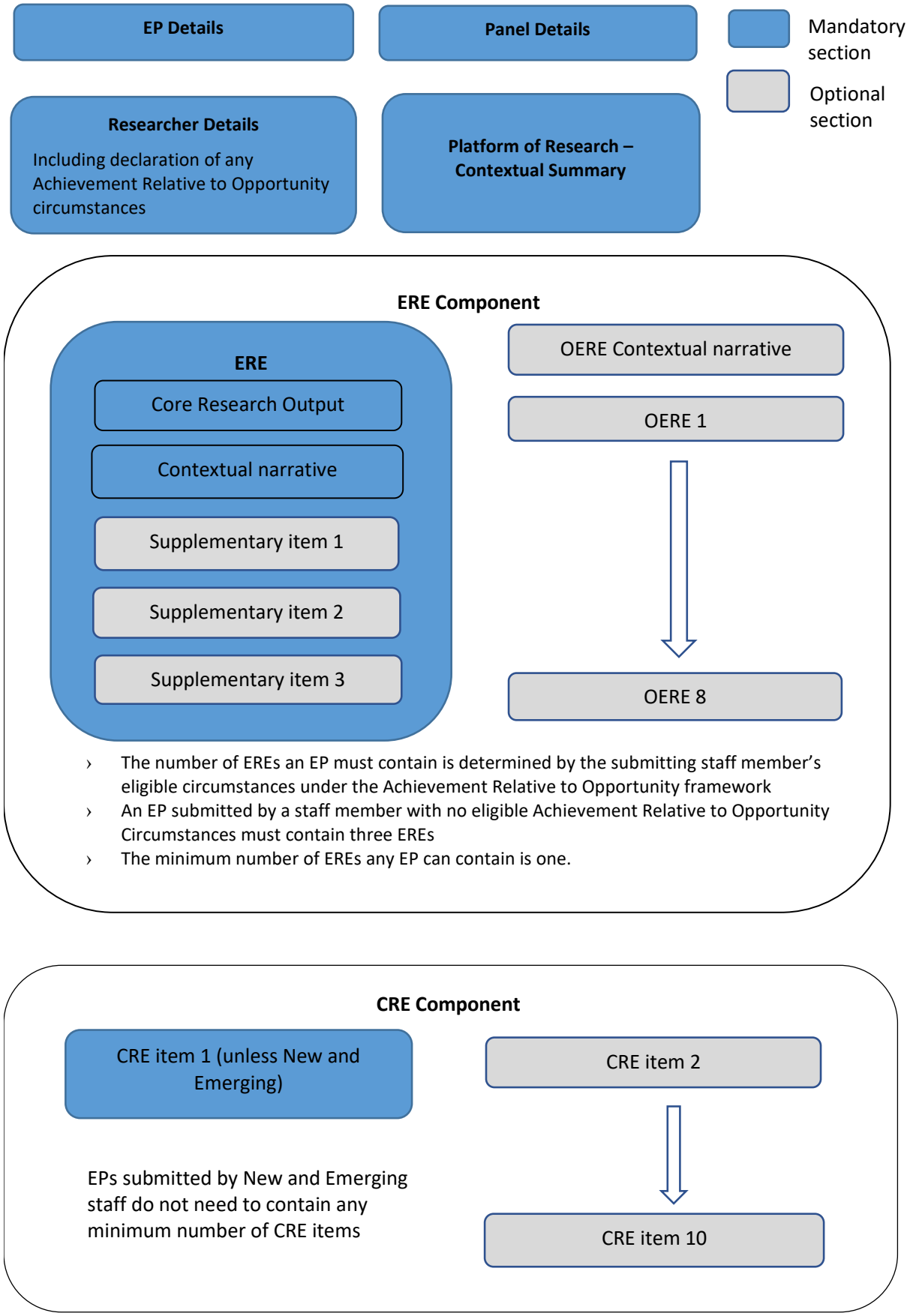
[**Note**: The TEC will develop an EP template that TEOs can use to help the development and completion of EPs with their staff members. A proposed draft of this template, reflecting the draft guidance in this document and the in-principle decisions to date, is attached at the end of this document. It is provided for illustrative purposes only and should not be regarded as the final template. The TEC will also develop a

detailed Evidence Portfolio Schema document to support the technical aspects of completing EPs. This will be provided as part of the draft Guidelines.]

The following guidance provides information on completing each of the different sections of the EP.

Some sections are optional, while other parts are mandatory. The diagram below provides an overview to the EP structure and should be consulted in conjunction with the illustrative EP template.

STRUCTURE OF EVIDENCE PORTFOLIOS FOR QUALITY EVALUATION 2026



Evidence Portfolio and Researcher Details sections

The EP and Researcher Details sections contain information that supports the administrative and procedural aspects of the Quality Evaluation.

Completing the Evidence Portfolio Details section

For each EP, a TEO completes fields to:

- provide a unique EP identifier to help the TEO, the TEC and panellist identify specific EPs
- identify if the EP contains any CROs that are **confidential research** and confirm that permission has been given to allow the output to be assessed
- identify if the staff member wants their Quality Category result sent to them by the TEO.

Completing the Researcher Details section

For each EP, a TEO enters:

- the staff member's PBRF Unique Identifier [**Note:** the source of this number will be confirmed following further work by TEC and Ministry of Education officials on the use of National Student Numbers]
- an individual identifier to help the TEO and the TEC identify the staff member
- the staff member's title and name, including their preferred name
- the staff member's date of birth
- Whether the staff member:
  - meets the criteria to be assessed as a New and Emerging Researcher and, if so, the date at which they first met the eligibility criteria
  - Meets the criteria to be assessed as a part-time employee (as defined by the Achievement Relative to Opportunity framework) and, if so, whether their total proportional employment FTE across the assessment period was between 0.2 – 0.49FTE or 0.5 – 0.8FTE
  - Has declared validated Researcher Circumstance/s, to the TEO and, if so, the type and total duration of impact across the assessment period

It will be possible to select more than one of these Achievement Relative to Opportunity categories where the staff member is eligible. It is intended that, when submitting a staff member's EP through the PBRF IT system, selection of the relevant Achievement Relative to Opportunity categories will cause the system to automatically calculate the number of EREs the EP contains. The IT system will be live a year before the submission dates, so this will allow TEOs to test and identify any queries with regard to submission requirements well in advance.

Completing the Panel Details section

TEOs nominate a peer review panel and subject area for each Evidence Portfolio (EP) they submit to Quality Evaluation 2026.

- There are 14 peer review panels in Quality Evaluation 2026. Each panel is responsible for assessing a specific subject area or areas.
- Each panel will develop panel-specific guidelines that provide further advice on the subject areas it expects to assess.
- TEOs nominate one primary peer review panel. This will be the panel that undertakes the assessment and awards the Quality Category for the EP.
- TEOs nominate one primary subject area from the 43 PBRF subject areas.
- Staff members provide brief information on the primary field of research for the Field of Research Description, reflecting the content of the research in the staff member's EP. This information helps the Co-Chairs to assign the EP appropriately.
- Panel Co-Chairs are able to recommend that the TEC transfers EPs to another panel. If this occurs, the TEO will be advised when it receives the results of the Quality Evaluation.

[**Note**: The final Guidelines will include revised guidance on cross-referral including the process for initiating cross-referral to the Mātauranga Māori and Pacific Research panels.]

Which panel should be nominated as the primary panel?

The nominated peer review panel should be the panel that best matches the majority of the research outputs and activities in the EP submitted. This will be the panel that covers the subject area or discipline that best matches the majority of the research outputs and activities.

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

Where the research outputs and activities in an EP involve interdisciplinary research that is covered by more than one panel, the TEO nominates the panel and the subject area that best matches the majority of the of the research outputs and activities in the EP. In these cases, the TEO notes the interdisciplinary nature of their EP in the Field of Research Description (see below).

What are the peer review panels and subject areas?

The 14 peer review panels and their subject areas are set out in the table below.

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

Panel	Subject areas
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
Mātauranga Māori	Māori knowledge and development **[Note that PBRF subject areas mirror SAC course classifications; as such, the TEC is not proposing to change the subject area name. Panel subject coverage will be elaborated in the Panel-specific guidelines.]**
Mathematical and Information Sciences and Technology	Computer science, information technology, information sciences Pure and applied mathematics Statistics
Medicine	Biomedical Clinical medicine
Pacific Research	Pacific research
Physical Sciences	Chemistry Earth sciences Physics
Public Health	Public health
Social Sciences and Other Cultural/Social Studies	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

Completing the Field of Research Description

This information is used by Panel Co-Chairs to help with assigning the EP to appropriate panel members and to determine whether elements in an EP should be cross-referred to another panel. It is important that TEOs provide:

- a succinct and accurate description of the research field for the majority of the research outputs and activity contained in the EREs submitted; and
- information that describes the staff member's research at the level of a discipline or sub-discipline (for example, educational psychology, molecular biology).

If the staff member's research is interdisciplinary, TEOs should indicate this in the description.

Completing the Platform of Research – Contextual Summary section

The Platform of Research – Contextual Summary section provides an opportunity for staff members to help panel members understand the context for the items they have selected for the ERE and CRE components of their EP.

The Platform of Research – Contextual Summary is a narrative component which provides staff members with the opportunity to present the assessors and the peer review panel with information that will allow them to contextualise the items submitted in the ERE and CRE components.

The Platform of Research – Contextual Summary should provide a clear introduction to the research outputs, activities and research-related activity presented within the EP, and reflect the staff member's overall platform of research. The focus is on how the staff member's overall platform of research and research activity has contributed to their field, discipline, or area, rather than on indicators of esteem or standing.

Staff members can also use this component to provide relevant information on their research context, which may include, for example:

- the specific research environment they are working in, such as applied research or professional practice, relevant norms associated with that environment, and how this informs the type of research outputs and activities they produce
- any changes in the focus of their research within the assessment period
- any information about relevant activity carried out during the assessment period that is not submitted as an item within the EP but that provides important contextual information

Each panel has developed panel-specific guidelines that may provide specific advice on what information should be included in the Platform of Research –Contextual Summary.

[**Note:** For Quality Evaluation 2026 it is proposed that the Contextual Summary – Platform of Research narrative will have a reduced character count relative to Quality Evaluation 2018 (1,000 as opposed to 2,500). This reflects the fact that the new EP design provides other opportunities to give narrative detail and context through the contextual narrative required for each ERE, as well as through the optional OERE summary narrative. The illustrative EP template sets this out.]

Completing the Examples of Research Excellence component

The Examples of Research Excellence (ERE) component is the basis for the peer review panel's assessment of the quality of research outcomes and activity presented in an EP. The primary focus of assessment is the Example of Research Excellence (ERE), which must include a Core Research Output (CRO). Both research outputs and research activities may be included in this component.

- The ERE component has a weighting of [**x percent – TBC following in-principle decisions**] of the total score for theEP.
- Research outputs and research activities that meet the eligibility criteria can be included in an EP.
- The eligibility of items in an EP will be subject to the TEC's data checking and verification audit.

What does the ERE component contain?

- For most staff members, an EP will contain **three EREs**.
- Where a staff member meets one or more of the circumstances set out under the Achievement Relative to Opportunity framework, the number of EREs submitted may be reduced to either two or one. Depending on the circumstances that apply, however, they may still be able to choose to submit three EREs.
- The Achievement Relative to Opportunity section explains how to determine the number of EREs a staff member needs to submit in their EP.
- The ERE component **may** also include up to eight Other Examples of Research Excellence (OEREs), along with a single contextualising summary narrative (**also optional**). OEREs may be either eligible research outputs or eligible research activities. Only bibliographic or equivalent data (if a research output) or a brief description (if a research activity) is required for the assessment of the OEREs.
- The contextualising summary narrative is optional, and its absence or presence will not in and of itself be a factor in the assessment of quality. Staff members may wish to use it to highlight any relevant links or relationships between OERE items, or to address any unusual or unique aspects of OERE items relative to disciplinary norms.
- Each panel has developed panel-specific guidelines that may provide discipline and/or subject area-specific advice on completing the ERE component of EPs.

[**Note**: Information on determining the number of EREs to be submitted by staff members who meet one or more of the circumstances set out under the Achievement Relative to Opportunity framework is attached to this document as Appendix 2. This information will be included under an Achievement Relative to Opportunity framework section in the full draft Guidelines.]

What does an ERE comprise?

- Each ERE contains:
  - a CRO. The CRO is submitted as evidence (referred to as the Main Research Object) for each ERE. The Main Research Object, along with any supplementary items listed and described, and the contextualising narrative, will form the basis of the assessment by panels.
  - A contextualising narrative of up to 1,500 characters, summarising the nature and significance of the ERE as a whole, contextualising the CRO, and articulating the links between the core output and any supplementary items

- In addition, each ERE **may** contain up to three supplementary items, which can be either eligible research outputs or eligible research activities. Only bibliographic or equivalent data (if a research output) or a brief description (if a research activity) is required for the assessment of supplementary items.
- EREs will be assessed on their quality:
  - all research activity including activity related to research impact, 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 its type
  - all items included in the ERE will inform the assessment. The presence or absence of supplementary items, or the number of supplementary items, will not in and of itself play any role in the assessment of the quality of the ERE
  - It is expected that each ERE will comprise a coherent, holistic example of research excellence. Where supplementary items are present, it is expected that they will be linked to the CRO in some way. It is for the staff member to determine and to articulate through the contextualising narrative what the nature of that relationship is. No particular form of relationship will be considered to be of higher quality than another simply because of the nature of relationship.
  - 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 and of itself be taken to imply lower quality.

Eligibility criteria for research outputs

[**Note**: The information below has been updated to reflect relevant dates and changes in terminology but otherwise remains unchanged from the Quality Evaluation 2018 Guidelines. TEC officials do not consider at this stage that any further revisions are necessary as a consequence of existing or forthcoming in-principle decisions and have included this information for clarity.]

A research output is eligible for inclusion as a CRO in an ERE if it meets **all** of the following three criteria:

› it meets the requirements for being a research output under the PBRF Definition of Research, and

› the final version of the research output was first made available in the public domain during the assessment period (**1 January 2018 – 31 December 2025**), and

› the actual research output can be submitted as a Main Research Object for assessment by a peer review panel, and can be audited.

A research output is eligible for inclusion as a supplementary item in an ERE or as an OERE if it meets **all** of the following three criteria:

1. it meets the requirements for being a research output under the PBRF Definition of Research, and
2. the final version of the research output was first made available in the public domain during the assessment period (**1 January 2018 – 31 December 2025**), and
3. the actual research output can be audited.

Determining the date that research outputs are available within the assessment period

[**Note**: The information below has been updated to reflect relevant dates and changes in terminology but otherwise remains unchanged from the Quality Evaluation 2018 Guidelines. TEC officials do not consider at this stage that any further revisions are necessary as a consequence of existing or forthcoming in-principle decisions but have included this information for clarity.]

The basic principle governing the inclusion or exclusion of a research output concerns the date when the final version was first made available in the public domain.

A research output can be included in the ERE component of an EP (either as a CRO, a supplementary item, or an OERE) when the final version was first made available in the public domain during the assessment period of 1 January 2018 – 31 December 2025. Further details are given below.

*Research outputs can only be eligible in **one** Quality Evaluation assessment period. Research outputs first publicly available before 1 January 2018 or after 31 December 2025 cannot be submitted in Quality Evaluation 2026.*

Published research output types

National Information Standards Organization (NISO) standards[1] will be used to test eligibility of journal articles according to the date on which the first Version of Record was made publicly available by the publisher. These standards will also be applied for other published works, wherever possible (such as books, edited volumes, conference proceedings, online peer reviewed commentary), to determine the eligibility date for the first Version of Record.

[1] NISO RP-8-2008, Journal Article Versions (JAV): Recommendations of the NISO/ALPSP JAV Technical Working Group. Retrieved on 15 February 2016 from http://www.niso.org/publications/rp/RP-8-2008.pdf.

For these types of research outputs, the first Version of Record will be considered the 'final version', and the date that the first Version of Record appears in the public domain, regardless of this being in print or online, will be considered the date it is first available.

This also means that, if an output was pre-published on or before 31 December 2017 but has an imprint date within the assessment period, it will not be eligible for submission because it will be considered to have been publicly available before the assessment period.

Any outputs that have imprint dates that fall outside the assessment period but where the final version of the output was first publicly available within the assessment period, i.e. before 31 December 2025, are eligible for submission. This is consistent with the 2018 Quality Evaluation.

Non-published research output types

There are three principles that clarify the eligibility of non-published research output types:

1. Where multiple instances of an output occur in different assessment periods then the output can only be counted in the period when it was first publicly disseminated.

2. Where an output has been publicly disseminated multiple times within the assessment period, and the first public dissemination occurred within the assessment period, the researcher may choose which instance of the output is included. It is expected that the most prestigious, rather than the first, dissemination will be listed.

   This principle applies to a creative output; for example, that may be presented in a local arena, gain momentum and significance and end up at a major international point of dissemination with a resulting change in impact, status and quality.

3. An output that introduces significant new research material or aesthetic refinement (during the assessment period) to an earlier version of the output will be considered as a separate research output.

This principle is consistent with other research output types, such as subsequent editions of books that include significant new research material. A brief description of the new research material or aesthetic refinement undertaken to the output would need to be provided in the Additional Information field for such outputs.

Staff members can explain any variance in dates for a CRO in the Additional Information field of that output. Please note that such an explanation is required only for CROs. It is not required for any of the OEREs or for research outputs submitted as supplementary items.

TEOs may be asked to provide evidence of the date of first public availability for audit purposes.

Information in an output's digital object identifier is not considered as evidence of the publication date.

For the avoidance of doubt:

- *a **c**onfidential research output must have been completed and the final version first made available to those who commissioned the research within the assessment period; and*
- *the eligibility date for intellectual property is the date it was granted for the first time, either in New Zealand or another country. Earlier versions of*

	patents, specifically patent applications and provisional patents, may also be publicly available. However, only the granted patent will be accepted as an eligible research output. This means that if a patent application or provisional patent was publicly available in a previous assessment period but granted for the first time in this assessment period, then it would be an eligible research output. *Research outputs that are repeated reprints or new editions of a book, or multiple exhibitions or performances and do not include significant new research material are not eligible for inclusion as CROs or OEREs. They may be evidence of presentation or sharing of research outputs or outcomes, or recognition of research activity, and submitted as research activities either as supplementary items within an ERE or as an OERE.*	

Types of research outputs

[**Note**: The list of eligible research output types and their descriptions has been revised from those in Quality Evaluation 2018 to reflect the new PBRF Definition of Research and other in-principle decisions to date. Some adjustments have also been introduced to ensure outputs are assigned to the correct type. Changes from wording in the 2018 Guidelines are highlighted for clarity.]

The Quality Evaluation assesses a wide range of research outputs, including but not limited to:

- published or otherwise disseminated academic work such as scholarly books, journal articles, Master's or doctoral theses, or presentations
- published or otherwise disseminated creative work that embodies original research such as works of fiction, artworks, or compositions.
- publicly available or confidential work that embodies original research such as reports, policies, legislation, or designs
- work published or otherwise disseminated in digital, visual, audio, or other non-print media including computer programs, waiata, carving, buildings
- other forms of outputs such as granted patents, materials, products, performances, orations, and exhibitions.

The key factors are:

- Only eligible research outputs can be included in an EP.
- TEOs need to classify each research output submitted in an EP under one of the 16 research output types below.
- Where the research output has been reproduced in another medium, it should be classified according to the research output type of its original form.
- The research output types in the table below are listed in alphabetical order and do not reflect an order of importance.
- All research outputs will be considered on their merit. This means no one specific type will be weighted higher than another.

Research output type	Description
Authored Book	A major work of research or scholarship. The author/s are credited for the entire work, which means authors are not attributed to each chapter. The work would normally be published with an ISBN (in hard copy, bound; CD-ROM, packaged; and/or e-book format on subscription or fee basis). Consists mainly of previously unpublished material and makes a contribution to a defined area of knowledge. Includes: › monographs – a book or treatise on a single subject usually written by a specialist in the field. The treatment of the subject is detailed and scholarly › loose-leaf publications where the author(s)/contributor(s) create or update the entire volume. Excludes: › scholarly editions/literary translations (see Scholarly Edition type below) › textbooks with no research component › books published by professional bodies that do not report original

Research output type	Description
	research findings but report the results of evaluations, or repackage existing information for the benefit of professionals or practitioners › pamphlets › reports for external bodies, such as government department reports (see Report type below) › translations of the academic's own work by another person › edited volumes (see Edited Volume type below) › reprints › updates to a part of a loose-leaf treatise.
Chapter in Book	A contribution to an edited book, consisting of substantially new material. The book should be of a scholarly nature and make a substantial contribution to a defined area of knowledge, and would normally have an ISBN (in hard copy, bound; CD-ROM, packaged; and/or e-book format on subscription or fee basis) . This contribution is complete in itself but is often linked thematically to the other chapters. It is created or co-created by a single author or multiple authors who share responsibility for the chapter. Includes: › scholarly introductions of chapter length where the content of the introduction reports research undertaken by the editor and makes a substantial contribution to a defined area of knowledge › critical scholarly texts of chapter length, for example, in music, medieval or classical texts, or critical reviews of current research › updates to a part of a loose-leaf treatise. Excludes: › forewords › appendices › brief introductions › editorials › scholarly editions/literary translations (see below) › pamphlets › reports for external bodies, such as government departments (see Reports type below) › translations of an academic's own work by another person › edited volumes (see Edited Volume type below) › reprints › conference publications (see Conference Contribution – Published type below).
Conference Contribution – Other	A contribution to a conference that has not been published as a paper or as a published abstract in separate proceedings. An item appearing here cannot also appear in the Conference Contribution – Published category. Note that if a published conference contribution is included in an ERE as a CRO, an assessable form of the presentation such as a recording or a

Research output type	Description
	written form must be submitted. Includes: › an oral presentation at a conference (or symposium, meeting, workshop, forum or summit of national or international importance), with or without an accompanying written form › a poster that appears at a conference as a poster only and that is not published in the proceedings as a paper or abstract › keynote or plenary presentations to a conference, with or without an accompanying written form. Excludes: › role as panel or discussion member (or chair) at a conference › opening or closing addresses that are not keynote or plenary presentations › facilitation of workshops at conferences › presentations at a conference that are summaries of discussions or papers presented at the conference.
Conference Contribution – Published	A conference paper or abstract published in a proceedings and available independently of the conference in which it was presented. Proceedings may be published in various formats, for example, a proceedings volume, a book, a special edition of a journal, a normal issue of a journal, USB flashdrive or online via the conference website, an organisation's website or a research repository. Although published in a journal or other media, the item is still categorised as a Conference Contribution – Published. Papers or abstracts in proceedings would normally undergo editorial selection to be included in the proceedings. An item appearing here cannot also appear in the Conference Contribution – Other category. Includes: › submission of an unpublished abstract, presentation of the paper AND associated or subsequent publication of paper (this is considered one complete publication, not three separate ones) › an abstract published in a proceedings, book of abstracts or journal (or similar publication venue, such as USB flashdrive or website) and available independently of the conference at which it was presented. This form of abstract often is the only published version of the output, appearing as a 'mini-paper' containing an introduction/objective and methods, results and conclusions sections. This type of abstract would normally go through a review process and is not the standard type of abstract submitted with a conference presentation. This form of abstract may be more common in certain disciplines, for example, medicine and geology. Excludes: › papers that are provided only to conference participants (in whatever format) and not the general public or more widely (for example, available for purchase) › unpublished conference presentations (see Conference Contributions

Research output type	Description
	– Other above).
Creative Work	Outputs resulting from creative practice as research, including the following subtypes. ***Artwork, Artefact, Object, Craftwork*** Artworks, artefacts, objects, or craftworks that have been exhibited, commissioned or otherwise presented or offered for distribution or sale in the public domain; for example, visual arts, craft and cultural creations. Specific examples include but are not limited to: › paintings, illustration, sculpture, media installations, ceramics, jewellery, metalwork, whakairo, taonga, raranga, or cultural artefacts such as large permanent public sculptures. A collection of artworks displayed together can be entered as an Exhibition/Curatorial Exercise where the artist/creator was responsible for the curation/design of the exhibition or display. ***Composition*** A published/publicly available score, first performance or first recording by a record label (on CD or DVD) of an original musical composition. Note that the research output is the composition, rather than the performance or recording of that composition (see Performance and Audio-Visual type below). › Specific examples include but are not limited to: compositions created while being played, for example, electronic compositions, jazz improvisation, › published/publicly available scores › first recordings or recordings of first performances › sound component of a film or video, lyrics, or multimedia composition › commissioned works › combinations or developments of the above. Excludes: › repeat performance or repeat recordings of the same work (re-recordings that constitute original research may be submitted under the Audio-Visual subtype; new performances that constitute original research may be submitted under the Performance subtype). ***Design Output*** A creative research/problem-solving output in the form of design drawings, books, models, exhibitions, websites, products, installations or built works. This can include (but is not limited) to: › architectural design including wharenui and specific elements of

Research output type	Description
	wharenui such as whakairo and tukutuku › fashion, textile or artistic design including tāniko, kākahu, and tā moko › graphic design › interior design › multimedia design › other designs ***Dramatic and Literary Texts*** A work of creative prose, poetry, dramatic text or a literary essay. Specific examples include but are not limited to:: › novel/creative non-fiction – a published/publicly disseminated prose narrative of considerable length › play – a published/publicly available script, first performance or first distributed recording of a play created (or co-created) by the author/s › poetry – a published poem or collection of poems, or a poetry recital where the work is new (note that if included as a CRO in an ERE, a poetry recital would need to include a recording or written form to enable assessment) › screenplay – a published/publicly disseminated screenplay or first public showing of the related film created (or co-created) by the author/s › short fiction/creative non-fiction or essay – a published/publicly disseminated shorter work of short fiction/creative non-fiction, or essay › short fiction/creative non-fiction or essay collection – a published/publicly disseminated collection of several short works created or co-created by the author/s › a short literary composition on a particular theme or subject, usually in prose and generally analytic, speculative or interpretative. ***Exhibition/Curatorial Exercise*** A curated display of objects/artworks in a public place (museum, art gallery or other public place) or curatorial work undertaken by an academic to form an exhibition (including catalogues, interpretive material, exhibition space design, and/or essays or other creative or intellectual responses). The objects may have historical, cultural or scientific importance, or alternatively possess aesthetic qualities or extraordinary characteristics. The focus should be on the intellectual and creative work of curation, assembly, display and/or interpretation rather than the artworks or objects themselves. The curator may also be the creator of the artworks/objects in the exhibition, or they may have assembled/arranged/commissioned artworks/objects created by others. Includes: › Exhibitions in regional, national or international galleries, in dealer

Research output type	Description
	galleries or other sites of public presentation › Site-specific exhibitions, installations, actions, interventions, performances Excludes: › Individual artworks, objects or craftworks (may be submitted as 'Artwork, Artefact, Object, Craftwork' sub-types) › The selection or commissioning of artworks, objects or craftworks to appear in an exhibition/curatorial exercise (including biennales and festivals) where the creator was not responsible for the curation/display (may be submitted as a research activity under the Recognition of Research, Invitation to Present Research, or Uptake and Impact types) ***Audio-visual*** Research, creative, or scholarly works in audio-visual form and likely to be first presented in a cinema, on television, on radio, online or as part of an artwork or exhibition. Specific examples include but are not limited to: › Ethnographic films › Documentaries › Short or feature-length films, animations, radio productions, or other creative audio-visual productions or recordings › Original contributions to cinematography, sound design, art direction, production and post-production, direction or other areas of specialty within an audio-visual production › New recordings of compositions, plays, productions etc where the recording itself embodies original research Excludes: › appearances in commercial programmes, documentaries or interviews unless they contain research › Filmed/recorded presentation of research where the audio-visual medium is not an essential component of the output and does not itself embody original research (for example, filmed conference presentations, filmed demonstrations of a product, process, or device, recording of a performance or composition. Such outputs are eligible under other types such as Composition, Conference Proceedings, Performance, Products and Processes, or Oral Presentation) ***Performance*** A live or recorded performance (by, for example, an actor, musician, dancer, conductor, or director) that embodies original research. The research element should inhere in aspects of the performance itself, rather than the composition, play, script, text or other creative output that is being performed (such outputs can be submitted under

Research output type	Description
	Composition or Dramatic and Literary Texts). Specific examples include but are not limited to: › performance in a play, musical, opera, concert, television or radio production › theatre productions (stage play, mime, circus, puppet show, variety act, comedy show) › concerts and recitals (music or dance) › broadcast performances and other modes of presentation › mōteatea, oriori, haka, whaikōrero orations or waiata-a-ringa › artistic direction of a staged production › advisor roles in a theatre production (for example, design, dramaturgy). Excludes: › radio or television interviews › appearances in documentaries.
Discussion/Working Paper	A paper published, circulated or presented for discussion amongst peers (or that seeks public input on ways to address an issue). The paper may be commissioned by an organisation, published for consultation or produced as part of a working paper series to encourage suggested revision before publication.
Edited Volume	A published/publicly disseminated collection of chapters, conference papers, articles or essays by different authors, which have been selected/compiled, organised and/or edited by a single editor or multiple editors. The volume may include chapters, conference papers, articles, essays, introductions or commentaries by the editor(s); the work of soliciting, selecting, organising, and editing the individual chapters/essays/contributions, and the volume as a whole, must embody original research. Includes edited conference proceedings and editing of special issues of journals where the issue editor is not the regular editor. Would normally have an ISBN or ISSN. Excludes: › individual chapters/papers/articles or essays created or co-created by one or more authors, which should be submitted as appropriate as book chapters, journal articles, conference proceedings etc › regular editorial work as a member of an editorial board, which should be listed as a contribution to the research environment item under the Reviewing, Refereeing and Judging type.
Intellectual Property	Granted patents, copyrights, plant breeder's rights, trademarks, or registered designs on specific products or processes. Patents can have been granted in New Zealand or another country and must have been granted for the first time during the assessment period. The principles for non-traditional research output types apply.

Research output type	Description
	Excludes: › multiple rights for the same product or process, or applications for which no determination has been made on patent rights › pending or provisional patent applications (see Products and Processes type).
Journal Article	A substantial work of scholarship published in a scholarly journal that has an ISSN and would normally be peer reviewed. Includes: › original research in a scholarly journal, such as research notes that are refereed, or critical scholarly texts that appear in article format › review articles in scholarly journals that summarise the current understanding of a field (not book reviews, which are included under Other) › invited papers in journals where the journal's standard practice is to referee contributions › refereed research articles in journals that are targeted to scholars and professionals › articles in a stand-alone series. Excludes: › addenda to previous published journal articles › articles designed to inform practitioners in a professional field, such as a set of guidelines or the state of knowledge in a field unless it clearly contains new research findings › articles in newspapers and popular magazines › editorials or letters to the editor › book reviews › case histories that are not full journal articles in themselves › commentaries and brief communications of original research › conference proceedings published in journals or special editions of journals › reviews of art exhibitions, concerts, theatre productions or other media. Note: Sometimes special editions of journals appear as stand-alone books. Contributions to special editions of journals may be counted as either book chapters or journal articles but not both. An item with a parent document that has an ISSN should be categorised as a journal article.
Oral Presentation	An oral research or scholarly presentation delivered at an event or venue that is not considered a conference. The event where the presentation occurs must be arranged for the dissemination of academic research or discussion. Note that if an oral presentation is submitted as a CRO in an ERE, a recording or written form would need to be submitted to enable assessment.

Research output type	Description
	Specific examples include but are not limited to: › invited lecture in a named series that is prestigious within the discipline › whaikōrero › spoken presentations at hui, wānanga › public or industry seminars, forums, workshops or congresses › poetry or creative fiction or non-fiction readings of the author's own work. Excludes: › Professorial lectures or other honorary presentations primarily for the purpose of recognising individual academic achievements rather than disseminating original research. Such presentations can be submitted as CRE items under the Peer Esteem type
Other Form of Assessable Output	Outputs that embody original research and meet the PBRF Definition of Research but do not fit into other categories. This category is only used if the output fits none of the others. Staff members categorising CROs or OEREs under Other Form of Assessable Output must provide an explanation of the research component in the Additional Information field and may want to explain why this was the most appropriate form for the research. Specific examples include but are not limited to : › devices › reviews of books, performances, compositions, films › articles published in daily or weekly newspapers or non-scholarly magazines › editorials, letters to editor › brief introductions or prefaces to edited books › comments, letters in journals › dictionary, encyclopaedia entries › magazine articles › websites › broadcasts › interviews › programme notes, CD insert notes › non-chapter contributions to books, for example, case history, side bar, supplements, summaries and commentaries in books or monographs.
Products and Processes	A product, design, blueprint, or process that embodies or is the result of original research. It may have been commissioned by an external organisation such as a commercial company, professional body, iwi, hapū, or Pacific or other community group to address a specific issue, or it may have arisen as a result of a research programme or project. The product or process may be commercially sensitive or confidential to the

Research output type	Description
	commissioning sponsor. Includes but is not limited to: › Finished and prototype products, devices, and product designs › Architectural, engineering, and industrial designs and blueprints › Professional practice guidelines, processes, and policies › Commercial and industrial guidelines, processes, and policies. Excludes: › Patents, copyrights, and other intellectual property (see Intellectual Property above)
Report	A published document that has been commissioned, has been written by an individual or jointly by several authors and details the results of a research project. Alternatively, it may explore a technical/scientific/policy/practice-based research problem. The report may include recommendations and conclusions. The report details the results of research carried out for the external organisation or individual sponsor that funded or commissioned the research. The report may be confidential only to those authorised to have access or the commissioning sponsor. External organisations may include but are not limited to: charities, commercial companies, iwi and hapū, professional bodies and organisations, local or national governments, local, national or international non-governmental organisations. Excludes: › submissions to select committees › progress or final reports on researcher-initiated projects regardless of funder, for example, progress or final report for a Marsden project › summary reports on activities for a review period, for example, school annual report on activities, or reports relating to consortia activity and performance.
Scholarly Edition/Literary Translation	An edition or translation of another author's original work/body of works or correspondence informed by critical evaluation of the sources (such as earlier manuscripts, texts, documents and correspondence) often with a scholarly introduction and explanatory notes or analysis on the text and/or original author. Scholarly editions may include a translation of the original text(s) as well as significant literature containing interpretations of the text and/or original author and their context. Includes: › critical scholarly texts (for example, literary, music, historical or classical texts) › Translations of a work by another author where the work of translation embodies original research Excludes: › Reprints or subsequent editions which do not contain significant new

Research output type	Description
	research or critical evaluation
Software	Originally researched, created and published or otherwise publicly disseminated software (computer programs and their associated documentation, consisting of a set of instructions written by a programmer) or database products of commercial quality and offered for sale or distributed as shareware through a recognised publisher or distributor. Includes: › operating systems › utilities › application programs › interactive multimedia › video games › logic systems. Excludes: › programmed code scripted to enhance existing commercial software applications, programmes or procedures › databases of references or material for supporting research programmes of individual researchers.
Thesis	A doctoral thesis advancing an original idea through research and leading to the award of a PhD or equivalent qualification at a recognised New Zealand or international university. A Master's thesis of 90 points or above that advances an original idea through research and leading to the award of a Master's or equivalent qualification at a recognised New Zealand or international university. Other relevant professional qualification thesis. Excludes: › honorary doctorates › Taught doctorates which do not require a single research-based thesis › Master's courses or papers of less than 90 points (for example, research project, dissertation).

Quality assurance

[**Note**: That the information below has been updated to reflect relevant dates and changes in terminology but otherwise remains unchanged from the Quality Evaluation 2018 Guidelines other than the suggested inclusion of curators (highlighted below). TEC officials do not consider at this stage that any further revisions are necessary as a consequence of existing or forthcoming in-principle decisions but have included this information for clarity.]

Each eligible research output included in the ERE component is classified as either quality assured or non-quality assured. Both quality-assured and non-quality-assured research outputs can be included in an EP.

A **quality-assured research output** is defined as any research output that successfully completed a formal quality-assurance process before its final version was first made available in the public domain.

This means the output has been subject to formal, independent scrutiny by those with the necessary expertise or skills or both, to assess its quality. This may include, for example, its rigour, logic, clarity, originality, intellectual significance, impact, applications and artistic merit.

Formal quality-assurance processes vary between different disciplinary areas and output types. 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, publishers, or curators
- the selection of conference papers or abstracts and the refereeing of conference papers
- review processes specific to Māori or Pacific research processes or methodologies
- review processes undertaken by major galleries, museums and broadcasters
- review processes employed by users of commissioned or funded research (including confidential research) including commercial clients and public bodies.

If the formal quality-assurance process is not standard within the discipline or for the type of output, then this should be explained in the Additional Information section for the output.

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

- has not been subject to a quality-assurance process
- is currently in the process of being quality assured
- has been unsuccessful in completing a formal quality-assurance process (for example, it has been peer reviewed and rejected).

A non-quality-assured CRO may be subject to greater scrutiny by the panel than a quality-assured CRO.

Outputs involving joint research

[**Note**: The information below has been updated to reflect relevant dates and changes in terminology but otherwise remains unchanged from the Quality Evaluation 2018 Guidelines. TEC officials do not consider at this stage that any further revisions are necessary as a consequence of existing or forthcoming in-principle decisions but have included this information for clarity.]

Joint research is common in the modern research environment, with research resulting from the joint efforts of two or more researchers and will normally be either co-authorship or co-production.

The principles guiding the Quality Evaluation approach to submitting and assessing joint research are:

- the PBRF Quality Evaluation process assesses the work of individual academics, regardless of whether or

not they are the sole authors or producers

› the PBRF Quality Evaluation process is solely concerned with the quality of the output and the relative contribution of the staff member not with where the other co-authors or producers are based

› only those joint research outputs for which there is attributed authorship (or equivalent) will be considered in the Quality Evaluation process.

Panels will assess joint research on a qualitative basis. Judgements on a staff member's contribution to a research output are based on information about co-authorship or co-production entered in the Individual Contribution field in the EP.

*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)*
- *be counted pro rata (for example, five authors will not be taken to imply that each person has contributed the same proportion).*

Completing the Individual Contribution field for a Core Research Output

Researchers provide a clear description explaining their substantial and distinctive contribution. Qualitative descriptions are recommended because they are more likely to give panels the detailed information they need to assess an individual's contribution to a research output. Percentages should be avoided if these do not explain the substantial and distinctive contribution.

Some journals require co-authored articles to include a statement on the relative contribution of each author. These statements can be used in the Individual Contribution field if available.

The Individual Contribution field should include:

› brief comments on the **significance** of the staff member's contribution to the output, for example, whether they took a leadership role or the extent of their contribution. Comments may include a statement about the status of co-authors (for example, 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 or output, or the supervision of other authors.

The names of the authors or producers as listed in the research output should be included in the Author field of the CRO. If this exceeds the 2,000 character limit then a record of the number of other authors or producers should be included in the Author field.

Submitting joint research outputs

In selecting their CROs, 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 or sole-produced work, when deciding on their CROs. Panels will recognise that in many disciplines co-authorship or co-production is the norm.

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

Co-authors or co-producers do not need to be formally aware of one another's submissions of the same research output. To ensure, however, that there is no conflict in the information provided by each co-author or co-producer, they are encouraged to check the details of their contribution statements with one another.

Each panel has developed panel-specific guidelines that may provide specific advice on what information should be included in the Individual Contribution section of CROs.

Outputs with similar content

[**Note**: The information below has been updated to reflect relevant dates and changes in terminology but otherwise remains unchanged from the Quality Evaluation 2018 Guidelines. TEC officials do not consider at this stage that any further revisions are necessary as a consequence of existing or forthcoming in-principle decisions but have included this information for clarity.]

Staff members should not include research outputs that have virtually identical content as other research outputs in their EP. For example:

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

TEOs need to advise staff members that, when selecting research outputs, those that contain content virtually identical to other research outputs should not be selected. If there is overlap between the research outputs presented in the EP, these should be noted in the Platform of Research – Contextual Summary, or the Additional Information field of the relevant CROs.

Information required in an Evidence Portfolio about a Core Research Output

[**Note**: The information below has been updated to reflect relevant dates and changes in terminology. In addition, the former 'Description' section has been changed to the 'Additional Information section', the suggested information has been adjusted, and it is no longer compulsory. This reflects the fact that EREs will contain contextual narratives which duplicate some of the function of the former 'Description' section.]

TEOs provide the following information for each CRO listed in an ERE.

CRO field	Information required	Character limit
Research Output Type	Chosen from the list of 16 research output types.	N/A
Quality Assured	An indicator that shows if the research output has been through a process that meets the definition of quality assured for the PBRF.	N/A
Title	The title of the research output as it appears on the output.	1,000
Authors	Listed in the order and as they appear on the output.	2,000

CRO field	Information required	Character limit
Year Available	The year that the output was produced (2018 – 2025 inclusive).	N/A
Output Source	Bibliographic information that can be used to identify where an item is published or made available. It can contain information such as parent document, volume, issue, article, chapter, session number, pagination, publisher, place (normally the citation), and ISBN or ISSN where relevant. Which edition of a book should also be included, if an earlier edition was assessed in a previous Quality Evaluation.	1,000
Individual Contribution (optional)	Researchers provide a clear description explaining their substantial and distinctive contribution unless they are the sole author/creator/producer of the output. *Qualitative descriptions will give panels the detailed information they need to assess an individual's contribution to a research output. Some journals require co-authored articles to include a statement on the relative contribution of each author. These statements can be used in the Individual Contribution field if available.*	1,050
Additional information (optional)	The nature of the quality assurance process, particularly where this may not be standard within the discipline for this type of output or where the quality assurance process can vary or is not easily recognised. If necessary: – a brief description of the research content or how the output meets the PBRF Definition of Research, where this is not evident from the output itself (particularly outputs submitted under the Other Form of Assessable Output type) – a brief description of the new research material or aesthetic refinement undertaken during the assessment period where an earlier version of the output exists. Any other information specific to the research output type.	1,000

Information required in an Evidence Portfolio about a Research Output submitted as a supplementary item or an Other Example of Research Excellence

[**Note**: The Information below has been updated to reflect relevant dates and changes in terminology but otherwise remains unchanged from the Quality Evaluation 2018 Guidelines. TEC officials do not consider at this stage that any further revisions are necessary as a consequence of existing or forthcoming in-principle

decisions. However, given that supplementary items are a new item for Quality Evaluation 2026, this section is presented for sector comment.]

TEOs provide the following information for each research output submitted as a supplementary item or OERE listed in an EP.

Field	Information required	Character limit
Research Output Type	Chosen from the list of 16 research output types.	N/A
Order of Presentation	**Supplementary items:** A number from 1 to 3 to specify the order in which supplementary items will be presented for assessment following the CRO. **OEREs:** A number from 1 to 8 to specify the order in which the OEREs will be presented for assessment. *OEREs must be clustered by research output type. The ordering of OERE types and the ordering of the OEREs within each type will be in accordance with the staff member's preference.* *The order submitted by the TEO will be how the panel member sees the research outputs when they assess the EP.*	N/A
Quality Assured	An indicator that shows if the research output has been through a process that meets the definition of quality assured for the PBRF.	N/A
Bibliographic or equivalent details	Only bibliographic information, including that relevant to creative research types, can be included. Information must be entered in a recognised 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 (for example, publication, publisher, publication year and place of publication, or the equivalent details for other output types such as creative works, such as names of galleries or venues and locations, number of pieces exhibited). No additional comments outside the scope of this, such as information on the quality or significance, can be included.	1,000

Assessing Core Research Outputs

[**Note**: The information below is intended to address the specific issue of Core Research Output (CRO) request and supply processes. The process was identified by some Quality Evaluation 2018 panellists as requiring review. As such, the proposed approach outlined below relates specifically to CRO request and supply processes, and does not cover other aspects of assessing and auditing CROs, or of auditing OERE or CRE items. Full guidance will be provided as part of the draft Guidelines and the draft Audit Methodology.]

For each EP, TEOs ensure that:

› all CROs listed in an EP are available for assessment by a panel

› the actual research output is provided as evidence for this assessment.

Submitting evidence of the Core Research Output

The evidence of the actual research output must be submitted electronically wherever possible. The EP asks TEOs to identify how the actual research output (the Main Research Object) is being supplied. TEOs choose **one** of the three options available, which are:

› a **direct link** to an electronic version of the research output to be assessed – this could be a website, a filestore maintained by the TEO or an external filestore, but the link must take the panel member directly to the actual research output to be assessed not to a landing page that includes a link to the actual research output

› an **upload to the TEC's filestore** of an electronic version of the research output to be assessed

› Where electronic submission is either not possible, or would be prejudicial to a fair and robust assessment, a **physical version** of the research output to be assessed can be provided if requested by the panel member. TEOs must provide the physical location of the research output if they choose this option, and must additionally complete the 'physical submission rationale' field in the EP (see Illustrative EP template).

TEOs are also able to submit up to four additional Uniform Resource Identifier (URI) links of **supporting information** for the main research object. This is optional, and panel members are not required to assess this information in the same manner as the main research object.

For each EP, TEOs:

› ensure CROs are digitally available, except where this is not possible or would be prejudicial to fair assessment. The TEC and the panels' expectation is that Main Research Objects will be available electronically for all CROs for which there is not an exceptional justification for physical submission. Justifications should be set out in the 'physical submission rationale' field. Exceptional justifications could include but are not limited to:

  – the CRO is a physical artwork/object/artefact etc and the submitting TEO does not have the capacity to provide a sufficiently high-quality audio-visual or digital documentation

  – the CRO is a physical artwork/object/artefact etc that has sensory, spatial, or other aspects which cannot be effectively captured through audio-visual or digital documentation

  – the CRO is a physical artwork/object/artefact/installation/building that is location-specific and which requires a site visit in order to be fairly assessed. Note that in such instances, the TEC may not be able to facilitate site visits that require significant travel or logistics. Staff members may wish to consider submitting other outputs.

› ensure any large video or sound files are identified. This will allow the panel members accessing the CRO to make sure they have high-quality internet access and latest versions of relevant software

› ensure that if a direct link is provided to a CRO, this link does not require the panel member to provide authentication, such as a membership or subscription to the website or login information. If this

happens, the TEC will consider it an invalid evidence submission and panel members will not be required to assess that evidence

- ensure that if an **Accepted Manuscript** (defined by NISO standard RP-8-2008) is submitted as **evidence of an eligible** CRO, the publication date of the final version of the research output is within the assessment period. An Accepted Manuscript will only be accepted as evidence of an eligible core research output. Accepted Manuscripts are not eligible CROs in their own right.

Providing physical versions of Core Research Outputs for assessment

If the TEO has identified that they will provide a physical version of a CRO for assessment, this is requested by the panel member if they choose to assess that output. These requests are provided through the PBRF IT System and do not identify the panel member requesting the CRO.

Several conditions apply to TEOs that supply physical copies. These are:

- The TEO must provide the CRO to the TEC within 15 working days of receiving the request. If the CRO is not received within 15 working days it will not be considered in the panel's assessment of the EP.
- The TEO will pay the cost of supplying a requested CRO to the TEC.
- TEOs must indicate whether copies of CROs they provide to the TEC need to be returned to them. The TEC will meet the costs of returning requested CROs to the TEO.
- The TEC will insure a requested CRO between its arrival at the TEC and its return to the TEO to a maximum value of $200 per research output. The TEO would need to decide if it insures any requested CROs that it values in excess of $200.
- If a CRO is lost or damaged during the assessment process or in transit back to the TEO, the TEO must advise the TEC as soon as the loss or damage has been identified.
- If a CRO is lost in transit to the TEC, the TEO should pursue a claim through the courier company concerned.
- If a CRO requires a site visit for assessment, this must be identified in the 'physical submission rationale' field. The TEC will facilitate site visits with panel members where this is possible. Staff members should note that site visits requiring significant travel and logistics cannot be guaranteed.

In order to ensure timely requests, panel members will make CRO physical version requests or site visit requests within 15 working days of EP assignment by Panel Co-Chairs. The PBRF IT system will alert panel members to the presence of physical or site-specific CROs within EPs assigned to them.

Research activities

For Quality Evaluation 2026, submitting staff can choose to include research activities in the ERE component of their EPs. Research activities may be included as supplementary items within an ERE, or as OEREs. Research activities cannot be submitted as CROs within an ERE.

Research activities describe activities and outcomes related to the process of designing, carrying out, disseminating, and sharing research, and includes research outcomes such as collaboration, public or other engagement, recognition, uptake, and impact.

Eligibility criteria for research activities

A research activity is eligible for inclusion in the ERE component, either as a supplementary item or an OERE, if it meets **all** of the following criteria:

- it falls within one of the six research activity types below
- It has taken place in the assessment period between 1 January 2018 and 31 December 2025 inclusive. Where the research activity relates to a particular research output or outputs, the underpinning research output/s do not need to have been first published/publicly disseminated during the assessment period.

Definition of research activities

[**Note**: Research activities are a new type for Quality Evaluation 2026, but are based upon six categories that were eligible for inclusion as Research Contribution types in Quality Evaluation 2018. As such, the eligible types and descriptions below are presented with changes highlighted to enable comparison against the 2018 types].

Quality Evaluation 2026 will assess a range of research activities, including:

- Presentation, dissemination or sharing of research outputs, outcomes, or work in progress in scholarly, industry or sector-based, iwi, community or public fora
- External support for research projects and activity, including competitive or other funding, contracts or commissions, public or private sector collaborations or partnerships, and community, iwi, or marae support
- Research fellowships, prizes, awards, or secondments that recognise the quality of research outputs and/or activity.
- Recognition of research activity and/or outputs in the form of commissions, commendations, citations, other metrics, or other indicators of peer or external esteem
- Collaboration, outreach and engagement with non-academic communities and stakeholder groups
- Research uptake or impact demonstrating how non-academic stakeholders and end-users have utilised and benefitted from research outcomes and activity, and flow-on positive changes beyond academia as a consequence.

The key factors are:

- All research activities must be eligible to be included in an EP
- TEO/staff members need to classify each research activity submitted in an EP under one of the 6 research activity types below. Some activities may fit within multiple types, in which case TEOs/staff members should choose the type that best showcases the item's excellence and best fits how they wish to present their research.
- The research activity types in the table below are listed in alphabetical order and do not reflect an order of importance.
- All research activities will be considered on their merit. This means no one specific type will be weighted higher than another.

Research activity type	Description
Presentation, Sharing, and Dissemination of Research or Similar	Presentation, sharing, and dissemination of research outputs, outcomes, and activity includes events and activities both within and outside of academia. Both the presentation of research and invitations to present research are included. Examples include but are not limited to: › giving a keynote address or plenary, or invitations to be a principal speaker or invited speaker › presentation of research at an academic, professional, or industry

Research activity type	Description
	conference › presentation of research to professional groups or organisations, industry bodies, community groups or public audiences › participation in overseas research or professional organisations or events › visiting fellowships or other invitations to work in an overseas institution › commissions to create, perform or produce creative work › contributions, including invitations to contribute, to Māori conferences, Māori development panels, Māori research hui and Māori advisory boards › contributions, including invitations to contribute, to Pacific conferences, Pacific development panels, Pacific research fono and Pacific advisory boards › presentation of research, including invitation to present research, to other non-professional groups, community interest groups, ethnic or cultural representatives.
Collaboration, Outreach and Engagement	Projects, activities, or events aimed at engaging or collaborating with stakeholders, groups, and communities outside of academia on research projects or initiatives, or sharing research design, activity, and outcomes with such groups. Outreach and engagement can, but need not, lead to impact, and staff may wish to submit outreach and engagement activities under the Uptake and Impact type where preferred. Examples include but are not limited to: › public or community engagement and outreach activities such as public lectures, talks, seminars, workshops, performances or exhibitions › membership of or participation in an advisory, strategy, reference or working group, task force, or steering committee for an external organisation › co-development of research projects or initiatives with non-academic stakeholders including commercial, professional, community or public groups and organisations › co-development of iwi, Māori or Pacific community-based projects or initiatives › developing public awareness and understanding of research topics or outcomes through production of or contributions to publications and other outputs aimed at a popular audience › contributions to public awareness and understanding of research topics or outcomes through media and press engagement or appearances › acting as 'critic and conscience' of society and participation in public debate in relation to specific research projects, outcomes, or outputs › media coverage of research projects, outcomes, or outputs.
Recognition of Research	Reflects the esteem in which research activity, outcomes, or outputs are

Research activity type	Description
Outputs, Outcomes or Activity	held by peers and stakeholders within and outside academia. Indicators of this esteem can include but are not limited to: › positive commendations and/or reviews for the staff member's research outcomes or activities › metrics that relate to the assessment period, such as citation counts (excluding self-citation) › other metrics, for example, those that relate to different forms of media, such as social media, number of downloads, Google Analytics › acknowledgment by iwi and Māori leaders, kaumātua and kuia of contributions to Māori economic, social and cultural advancement › acknowledgment and support by Pacific stakeholders of contributions to Pacific economic, social and cultural advancement › selection or commission of research outputs to appear in an exhibition, festival, or biennale › reprints of research outputs or repeated or extended exhibitions or performances due to demand. Excluded are indicators of esteem which relate to the researcher's career as a whole or achievements not linked to specific research programmes, projects, outcomes or outputs. Such items can be submitted as Contributions to the Research Environment under the Peer Esteem type.
Research Funding and Support	Indicates the value ascribed to research projects, activities, or outcomes by research communities, stakeholders, and end-users, and includes all forms of funding and support for research, including non-financial and in-kind support. Examples include but are not limited to: › securing external contestable research grants › competitive funding from the staff member's own organisation › funding or in-kind support from external organisations, companies, community or iwi groups, or government bodies to carry out research including contract research and consultancies › start-up or spin-off funding or investment › funding for research facilities or gaining competitive access to facilities › contracts for research › competitive travel grants › in-kind or pro-bono support to facilitate delivery of research projects including expertise, resources, equipment and materials.
Research Prizes, Fellowships, Awards and Appointments	Indicates the esteem in which research activities and outcomes are held by peers and as such should relate to a particular project, activity, or output. Only elected/awarded memberships, fellowships, awards, and appointments etc should be included. Examples can include but are not limited to:

Research activity type	Description
	› best paper, poster or presentation prizes › prizes, honours or awards for research projects, activities or outputs including creative, industry, or other awards › research fellowships › industry, public sector or third sector secondments › appointments to community, cultural leadership or iwi roles where this relates to a specific research project, activity or outcome Excluded are: › awards, prizes, fellowships, elected memberships, roles or honours recognising personal esteem or career achievements (as opposed to a particular research project, activity, or outcome). Such items can be submitted as Contributions to the Research Environment under the Peer Esteem type.
Uptake and Impact	Includes activities, items, or outcomes which indicate uptake of the staff member's research by stakeholders or end users outside academia, and/or the impact that has occurred as a consequence. For the purposes of the Quality Evaluation, impact is defined as a positive effect on, change, or benefit to society, culture, the environment, or the economy at any level, outside the research environment. Note: Research impacts must have occurred in the assessment period to be included in the EP, but the underpinning research does not need to have taken place within the assessment period. Examples include but are not limited to: › uptake/adoption of research by industry, iwi, Pacific, community, practitioner or professional bodies to inform or change standard practice or policy › providing research-led advice to the public sector, communities and/or the private sector which has demonstrably informed or influenced existing or new policy, practice, guidance or legislation › research findings leading to new or improved commercial products, processes or designs › Demonstrable changes in public perception, understanding, or behaviour in relation to a specific issue or topic, often as a consequence of outreach and engagement activity › Cultural or creative output leading to public or commercial benefit › Economic, social, environmental or health benefits through design and delivery of tools, products, or services › Research commercialisation leading to commercial or public benefits › contributions to Māori social, economic and cultural advancement › contributions to Pacific social, economic and cultural advancement › expert witness or testimony including invitations to provide expert evidence before Select Committee or other government enquiry or

Research activity type	Description
	commission

Information required in an Evidence Portfolio about a Research Activity submitted as a supplementary item or an Other Example of Research Excellence

TEOs must provide the following information for each supplementary items or OERE listed in an EP.

Field	Information required	Character limit
Research Activity Type	Chosen from the list of 16 research output types.	N/A
Order of Presentation	**Supplementary items:** A number from 1 to 3 to specify the order in which supplementary items will be presented for assessment following the CRO. **OEREs:** A number from 1 to 8 to specify the order in which the OEREs will be presented for assessment. *OEREs must be clustered by research activity type. The ordering of OERE types and the ordering of the OEREs within each type will be in accordance with the staff member's preference.* *The order submitted by the TEO will be how the panel member sees the research outputs when they assess the EP.*	N/A
Description	A comprehensive description of the nature and significance of the activity that includes sufficient information and evidence of the quality and prestige of the underpinning research, the research activity and/or outcomes. This should also provide information to evidence the claims, including key details of the activity, such as dates and organisation(s) or others involved.	1,500

Completing the Contributions to the Research Environment component

The Contributions to the Research Environment (CRE) component of an Evidence Portfolio (EP) describes the research-related contributions the staff member has made to sustaining, developing, and/or growing the research environment and culture.

- The CRE component has a weighting of [**x percent – TBC following in-principle decisions**] of the total score for the EP.
- Each EP contains a minimum of one item, and may contain up to ten items in the CRE component. EPs submitted by New and Emerging Researchers do not need to include a minimum of one item, but may contain up to ten items.
- TEOs should help their staff to identify their best research-related activities or outcomes to be recorded as CRE items, and then categorise these items according to the seven CRE types.
- The contribution types are an organising principle only. It is not expected that EPs will include activities in every contribution type. More than one item may be included in any one contribution type.
- All items in the CRE component must describe research-related activities and outcomes that have occurred within the assessment period (**1 January 2018 – 31 December 2025 inclusive**)
- All types of CRE will be considered on their merits. This means no one specific type will be weighted higher than another.
- Each panel has panel-specific guidelines that provide discipline- or subject-area specific advice on the completing the CRE component of EPs.

Definition of a Contribution to the Research Environment

The underpinning principle of the definition is that the CRE component should reflect the broad range of activities and outcomes undertaken and/or achieved by a researcher relative to opportunity, and be appropriate to an individual's research discipline.

The CRE component of an EP describes the contribution a staff member has made to sustaining, developing, and/or growing the research environment and culture of which they are a part. The component allows for recognition of activities and outcomes that are indicative of a vital, high-quality, sustainable research environment that may exist across academic, community, industrial, public, and commercial domains. Research environments and the activity that sustains and grows them may be local, regional, national or international in orientation, and no quality distinctions will be made on the basis of geographical scale or reach in and of itself.

Eligibility criteria for contributions to the research environment

An item is eligible for inclusion in the CRE component if it meets all of the following criteria:

- it falls within one of the seven CRE types below
- It has taken place in the assessment period between 1 January 2018 and 31 December 2025 inclusive.

Types of Contribution to the Research Environment

[**Note**: The list of eligible CRE types and their descriptions has been revised from those in Quality Evaluation 2018 to reflect the new PBRF Definition of Research and other in-principle decisions to date including the decision to reduce the number of eligible types. Some adjustments have also been introduced to ensure outputs are assigned to the correct type. Changes are highlighted for clarity.]

The Quality Evaluation assesses a range of research-related activities and outcomes related to the development and maintenance of the research environment, including:

- Contributions to the research discipline, culture or environment through leadership, advocacy, oversight, or awareness-raising roles and activity
- Facilitation, network and collaboration activity that contributes to the research environment activities such as setting up or participating in research centres, groups, wananga, fono, or networks
- Researcher development and capability activity such as mentoring or other staff development roles
- Reviewing and evaluating activity
- Student development and support activity which contributes to growing a vibrant and inclusive research workforce
- Peer esteem and research cognition factors which reflect the staff member's esteem within their field or wider research environment;
- Other types of relevant activity or outcome which do not fit within the types above.

The key factors are:

- TEOs need to classify each CRE item submitted in an EP under one of the seven research contribution types below.
- The types are listed in alphabetical order and do not reflect an order of importance.
- All CRE items will be considered on their merit. This means no one specific type will be weighted higher than another.
- Panel-specific guidelines may provide further examples of discipline-specific, research-related activities and research outcomes.

Research Contribution Type	Description
Contribution to Research Discipline, Culture and	Contribution to research discipline, culture and environment items reflect the staff member's contribution to the development of their discipline or improvements to research capability and/or the research environment inside

Research Contribution Type	Description
Environment	and/or outside of academia. Examples can include but are not limited to: › developing or contributing to new discipline methodologies, knowledge, standards, or protocols including standard reference publications, encyclopedia entries, or literature reviews/year-in-review publications › developing new laboratories, facilities or equipment, or other research infrastructure › leadership positions that increase capability, for example: – director of a laboratory or research facility – head deputy head, or other senior role in a school, department, centre or research group with a focus on research development or initiatives in that role › roles or initiatives that are aimed at developing research capability outside of academia and facilitating knowledge exchange, such as developing incubators, commercialisation, engagement, impact, or industry liaison roles › initiatives to grow mātauranga Māori and kaupapa Māori knowledge bases and capacity and to foster links with iwi, hapū, or marae › initiatives to grow Pacific knowledge bases and capacity, including those that build non-Pacific researchers' knowledge and understanding of Pacific research and paradigms › membership of research, research ethics, postgraduate or other committee, at either an institutional or intra-institutional level › support of or advocacy for research and development within professional bodies and industry › Public advocacy, expert opinion, or 'critic and conscience' activity aimed at raising the profile of the discipline, field, or environment › organising or participating in departmental or institutional research seminars.

Research Contribution Type	Description
Facilitation, Networking and Collaboration	Facilitating, networking and collaboration items provide an indicator of the contribution the staff member makes to the research environment specifically through developing and supporting research networks and collaborations that develop their discipline or improve research capability inside and outside of academia. Examples can include but are not limited to: › facilitating or organising conferences or other formal networks, such as symposia, meetings, workshops, seminar series, hui, fono, wānanga, online forums › participating as a conference chair, track chair or session chair › partnering with iwi and Māori entities on shared research priorities or to increase research capability in Māori research and researchers › partnering with Pacific entities and Pacific organisations on shared research priorities or to increase research capability in Pacific research and researchers › membership of a conference programme committee, technical programme committee or conference panel › director of a consortium or research group › member of collaborations and consortia › internal or external research collaboration › fostering internal or external linkages, cooperation, collaborative research and development with other departments or organisations › activities that improve research opportunities, such as working in collaborations or consortia › hosting esteemed visitors.
Other Evidence of Contribution to the Research Environment	Other evidence may include items that do not fit within the other types but that demonstrate contributions made to a research environment by a staff member and the esteem in which they are held within or outside of academia. Indicators of this esteem and/or contribution can include but are not limited to: › requests to provide or providing tenure references › the offer of a staff position for a new and emerging researcher.
Peer Esteem and Research Recognition	Peer esteem and research recognition items indicate the staff members' individual standing and peer esteem either within their discipline, within or outside academia. Examples can include but are not limited to: › Awards, prizes, and honours associated with a career or with a significant research focus advanced over many years › Honorifics and titles, such as named Chairs or other roles, honorifics bestowed by international, national, or local authorities, iwi, hapū, marae,

Research Contribution Type	Description
	Pacific groups or other groups › invitations to produce a journal article, review paper, chapter or reprints specifically based on the staff member's research reputation › mandated iwi and Māori authority leadership roles › mandated cultural leadership roles (for example, chairperson, church minister or honorific chiefly title) › fellowship of a professional body, for example, Fellow of the Institution of Professional Engineers New Zealand or Fellow of the Royal Society of New Zealand › membership of a society or academy with restricted or elected admission, for example, the British Society of Audiology. Activity as part of a standard membership of a society must be listed under 'Contribution to research discipline and environment'. Membership of funding committees must be listed under 'Reviewing, refereeing, judging, evaluating and examining'. Esteem indicators and recognition associated with a specific research project, activity, or outcomes, should be submitted as a research activity within the ERE component of the EP.
Researcher Development, Capability-Building and Mentoring	Researcher development, capability-building and mentoring items reflect the staff member's contribution to building a sustainable and equitable research workforce and supporting colleagues. Examples can include but are not limited to: › mentoring and supervising other staff members including new and emerging researchers at a departmental, institutional, or intra-institutional level › formal mentoring or advocacy/representative roles for specific career stages at a departmental, institutional, or intra-institutional level › initiatives or roles aimed at supporting and developing Māori researchers, and growing the Māori research workforce › initiatives or roles aimed at supporting and developing Pacific researchers, and growing the Pacific research workforce › supervising postdoctoral fellows or research associates › contributions to promotions processes and appointments panels › head of department or other senior role where there is a focus on researcher development activities while in the role › research mentoring.
Reviewing, Refereeing, Judging, Evaluating and	Reviewing, refereeing, judging, evaluating and examining activity demonstrates the staff member's contributions to developing or sustaining their discipline or field through reviewing, refereeing, judging, evaluating and examining the work of their peers. Invitations to undertake such activity may also indicate the staff member's standing or peer esteem within the field or discipline.

Research Contribution Type	Description
Examining	Examples can include but are not limited to: › membership of institutional, national, or international funding committee that reviews or evaluates funding proposals or grant applications › provision of specialist or expert advice, assessment or review to a relevant committee, task force, steering group, community, or iwi group, either within or outside academia › membership of an editorial or commissioning board for a journal, series, publisher, festival, gallery or other institution › external thesis examiner › invitation to edit or guest edit a journal or edited volume › membership of a selection panel, or role as sole judge, for awards and prizes › peer review of a journal article, conference paper, book manuscript › reviewing abstracts (as part of the selection of presenters) and conference proceedings (following selection) › peer or external reviewer for industrial, commercial or government organisations
Student Development and Support	Student development and support items demonstrate the staff member's contributions to developing or growing research capacity and capability through supervision, mentoring, support, evaluation or review of research students, as well as esteem and recognition factors associated with a staff member's research student supervisees. Examples can include but are not limited to: › attracting, supervising and supporting students including but not limited to: – doctoral, Master's, honours research students – Māori and Pacific students – summer research students and visiting research students – other high-quality postgraduate students › assisting student publishing, exhibiting or performance › arranging or leading research student placements › initiatives aimed at attracting and support Māori research students › initiatives aimed at attracting and supporting Pacific research students › roles related to student progression and support such as head of graduate school, research degrees committee › supporting students to gain scholarships, prizes, awards, or industry or other placements › supporting students to gain positive employment outcomes.

Information required in an Evidence Portfolio about Contributions to the Research Environment items

[**Note**: The information below has been updated to reflect relevant dates and changes in terminology but otherwise remains unchanged from the comparable requirements for the Research Contributions component in the Quality Evaluation 2018 Guidelines. TEC officials do not consider at this stage that any further revisions are necessary as a consequence of existing or forthcoming in-principle decisions. However, given that the CRE component is new for Quality Evaluation 2026, this section is presented for sector comment.]

TEOs must provide the following information for each CRE item listed in an EP.

Field	Information required	Character limit
Research Contribution Type	Chosen from the list of seven research contribution types.	N/A
Order of Assessment	A number from 1 to 10 to specify the order in which the CRE items will be presented for assessment. *CRE items must be clustered by contribution type. The ordering of CRE types, and the ordering of the items within each type, will be in accordance with the staff member's preference.* *The order submitted by the TEO will be how the panel member sees the CRE items when they assess the EP.*	N/A
Description	A comprehensive description of the nature and significance of the item that includes sufficient information and evidence of the quality and prestige of the research-related activity and/or outcomes. This should also provide information to evidence the claims, including key details of the activity, such as dates and organisation(s) or others involved.	1,500

Appendix 2: Illustrative EP template

This illustrative Evidence Portfolio template has been designed to assist staff members and TEOs to understand the new EP submission requirements for Quality Evaluation 2026. It is based on the template provided for the 2018 round.

Note that this EP template is illustrative only and is not to be used as the basis for designing your submissions. It is subject to change based on feedback we receive from the sector as we work through the process of finalising the main PBRF Quality Evaluation Guidelines. A finalised version of this template will be made available when the Guidelines for the Quality Evaluation 2026 are published in 2023.

*Evidence Portfolio Details

All fields marked with * are mandatory

*Evidence Portfolio Identifier (max 10 characters)	Click or tap here to enter text.
*Contains Confidential Research	Choose an item [yes/no]
*Release Permission Obtained	Choose an item [yes/no]
*Send Quality Category to Researcher	Choose an item [yes/no]

*Researcher Details

*PBRF Identifier	Click or tap here to enter text.
Local Identifier	Click or tap here to enter text.
Title	Click or tap here to enter text.
*First Name	Click or tap here to enter text.
Middle Names	Click or tap here to enter text.
*Last Name	Click or tap here to enter text.
*Date of Birth (DD-MM-CCYY)	Click or tap here to enter text.
*New and Emerging Researcher	Choose an item [yes/no]
Date at which NER status first met	DD-MM-YY
*Part-time researcher (per Achievement Relative to Opportunity definition)	Choose an item [yes/no]
Total part-time FTE fraction across period	Choose an item [EITHER 0.2 – 0.49 OR 0.5 – 0.8]
*Researcher Circumstances	Choose an item [None/Career break/Caring responsibilities/Force majeure/Long-term illness/Personal leave] Note it will be possible to select

	more than one item
Total period of impact across period	Choose an item [EITHER 6 months – 4 years OR more than 4 years]

*Panel Details

*Primary Panel	Choose an item.
*Primary Subject Area of Research (this should be a subject area that is assessed by the Primary Panel)	Choose an item.
*Field of Research Description (max 200 characters)	Click or tap here to enter text.

[Mātauranga Māori and Pacific Research panels cross-referrals processes to be updated following in-principle decisions]

*Platform of Research –Contextual Summary

*Contextual narrative (max 1000 characters)	Click or tap here to enter text.

Examples of Research Excellence

When the PBRF IT system is live, the number of EREs required will be automatically generated by the system upon completing the Achievement Relative to Opportunity fields in the Researcher Details section.

Please refer to the tables in Appendix 2 to determine how many EREs will be required for submitting staff members with eligible Achievement Relative to Opportunity circumstances. A minimum of one ERE is required for all EPs, regardless of Achievement Relative to Opportunity circumstances.

Submitting staff who have no Achievement Relative to Opportunity circumstances submit three EREs in their EP.

*Example of Research Excellence

Complete for up to three EREs.

*Component Id	Choose an item [ERE 1/ERE 2/ERE 3]
*Preferred order	Choose an item [1 – 3 depending on required number]
*Contains confidential Research Output or Research Activity	Choose an item [Yes/N]
*Contextual narrative (max 1500)	Click or tap here to enter text
***Core Research Output**	
*Research Output Type	Choose an item [Research Output types drop-down]
*Title (max 1000)	Click or tap here to enter text.
*Authors (max 1000)	Click or tap here to enter text.
*Main Research Object (this should be the actual research for assessment i.e. the book, or the composition, or the journal article)	Choose an item [details TBC]
Physical submission rationale (max 1000) (this should be a brief description of why digital submission is not possible)	
Is this a large sound or video file?	Choose an item [Yes/No]
*Quality Assured	Choose an item [Yes/No]
*Year Available (2018 to 2025)	Choose an item [2018 -2025]
*Output Source (This is bibliographic information, max 1000)	Click or tap here to enter text.
Individual Contribution (max 1050)	Click or tap here to enter text.
Additional information (max 1000)	Click or tap here to enter text.

Supplementary Item 1	
Supplementary item type	Choose an item [Research Output/Research Activity]
Supplementary item subtype	Choose an item [Depending on item selected above, either Research Output or Research Activity drop-down]
Preferred order	Choose an item [1-3]
Quality Assured	Choose an item [yes/no – note option will only be available if Research Output type selected]
Bibliographic or equivalent details/ description (max 1000)	Click or tap to enter text
Supplementary Item 2	
Supplementary item type	Choose an item [Research Output/Research Activity]
Supplementary item subtype	Choose an item [Depending on item selected above, either Research Output or Research Activity drop-down]
Preferred order	Choose an item [1-3]
Quality Assured	Choose an item [yes/no – note option will only be available if Research Output type selected]
Bibliographic or equivalent details/ description (max 1000)	Click or tap to enter text
Supplementary Item 3	
Supplementary item type	Choose an item [Research Output/Research Activity]
Supplementary item subtype	Choose an item [Depending on item selected above, either Research Output or Research Activity drop-down]
Preferred order	Choose an item [1-3]
Quality Assured	Choose an item [yes/no – note option will only be available if Research Output type selected]
Bibliographic or equivalent details/ description (max 1000)	Click or tap to enter text

Other Examples of Research Excellence

Complete for up to eight Other Examples of Research Excellence (OERE).

1. Other Example of Research Excellence

Component Id	Choose an item [OERE 1 -8]
OERE Type	Choose an item [Research Output or Research Activity]
OERE subtype	Choose an item [Depending on item selected above, either Research Output or Research Activity drop-down]
Preferred Order	Choose an item [1-8]
Quality Assured	Choose an item [yes/no – note option will only be available if Research Output type selected]

Bibliographic or equivalent details details/description (max 1000 characters)	Click or tap here to enter text.

Contributions to the Research Environment

Complete for a minimum of 1 and up to 10 Contributions to the Research Environment (CRE) items
CREs should be clustered by type.

EPs submitted by New and Emerging Researchers do not need to include a minimum of 1 CRE. The PBRF IT will require a CRE item for all other EPs

1. *Contributions to the Research Environment

*Component Id	Choose an item [CRE 1 – 10]
*CRE type	Choose an item [CRE type drop down]
*Preferred Order	Choose an item [1 – 10]
*Description (max 1500 characters)	Click or tap here to enter text

Appendix 3: Proposed guidance to determining ERE submission requirements

How many EREs should an eligible staff member submit?

The number of EREs an eligible staff member includes in their EP depends on three criteria that inform the Achievement Relative to Opportunity framework. The number of EREs included in an EP will be either one, two, or three. All EPs must include a minimum of one ERE.

Most staff members will include three EREs in their EP. However, under the framework, there are three types of circumstances that may affect the number of EREs an eligible staff member submits.

Staff members who meet one or more of the following criteria have the option to submit fewer than three EREs:

- They first met the eligibility criteria for a New and Emerging Researcher during the assessment period
- They were employed part-time up to a maximum of 0.8 FTE across the whole assessment period

Staff members who fall into one or both of these categories can still submit three EREs in their EP. However, they also have option to submit either one or two EREs, depending on when during the assessment period they first met the criteria for New and Emerging and/or whether or not their average FTE was more than 0.49 FTE over the assessment period.

If a staff member declares Researcher Circumstances, they cannot include three EREs in their EP. Depending on the duration of impact of the Researcher Circumstances they have declared, these staff members submit either two EREs (where the impact was between six months and four years) or one ERE (where the impact was for more than four years) in their EP.

More detailed information about the submission requirements for staff members who meet these criteria is provided below. Where a staff member has not experienced any of these eligible circumstances, they include three EREs in their EP.

New and Emerging Researchers

Under the Achievement Relative to Opportunity framework, New and Emerging staff members have a choice about the number of EREs they include in their EPs, depending on when in the assessment period they first met the criteria for New and Emerging Researchers. This includes the option to include three EREs.

Date of eligibility as a NER	Number of EREs in EP
1 January 2018 – 31 December 2021 (inclusive)	Minimum of **two** EREs Option to submit **three** EREs
1 January 2022 – 31 December 2025	Minimum of **one** ERE Option to submit **up to three** EREs

Part-time employment

Under the Achievement Relative to Opportunity framework, Part-time staff members have a choice about the number of EREs they include in their EP, depending on the total proportion of FTE they worked across the assessment period. This includes the option to include three EREs.

Proportion of FTE employment across assessment period	**Number of EREs in EP**
0.5–0.8 FTE total	Minimum of **two** EREs Option to submit **three** EREs
0.2–0.49 FTE total	Minimum of **one** ERE Option to submit up to **three** EREs

FTE calculations for Part-time staff are based on 1 FTE = 37.5 hours per week.

Researcher Circumstances

The purpose of providing staff members with the ability to declare Researcher Circumstances is to allow them to account for circumstances that have led to reduced research outputs and activity during the assessment period. This is a voluntary option and a choice for each staff member to make, depending on their circumstances and the effect these have had on their ability to carry out research during the assessment period.

For this reason, when a staff member declares Researcher Circumstances this creates fixed submission requirements in terms of the number of EREs in their EP. Unlike other staff members, they no longer have the option of submitting three EREs. This applies in all cases. including when Researcher Circumstances are combined with other circumstances such as being New and Emerging Researcher and/or being Part-time.

This means that a staff member who has declared eligible and validated Researcher Circumstances to their TEO will either submit one or two EREs in their EP.

The number of EREs submitted depends on the total duration of impact, taking into account all eligible Researcher Circumstances experienced, across the submission period.

Total duration of Researcher Circumstance/s impact across assessment period	**Number of EREs in EP**
Six months – four years' total duration	**Two** EREs
More than four years' total duration	**One** ERE

Staff members who have been affected by multiple eligible circumstances

Some staff members may have been affected by more than one of these eligible circumstances. For example, they may be New and Emerging and also be Part-time; or they may be New and Emerging and also have declared Researcher Circumstances. In these cases, each factor is taken into account in determining the number of EREs required. However, for an assessment to take place an EP cannot contain less than one ERE.

In some instances where PBRF-eligible staff members have been affected by multiple circumstances, the cumulative impact may be such that the TEO may wish to consider whether the most appropriate outcome is that that the staff member is not expected to submit an EP for Quality Evaluation 2026. These are:

› Staff members who declare Researcher Circumstances with an impact lasting more than 4 years, who also meet any other eligible circumstances. Such staff would submit only one ERE.

› Staff members who declare Researcher Circumstances with an impact lasting less than 4 years, who also meet two other eligible circumstances. Such staff would submit a minimum of one ERE but would have the choice to submit up to two EREs.

The tables below explain the different ERE requirements for all staff, including those staff who are affected by multiple circumstances.

Staff members who don't have Researcher Circumstances declarations

<table>
<tr><th></th><th></th><th>FULL-TIME</th><th colspan="2">PART-TIME</th></tr>
<tr><th></th><th>Staff member…</th><th>Full-time at 1 FTE</th><th>0.5 –0.8 FTE total across assessment period</th><th>0.2 –0.49FTE total across assessment period</th></tr>
<tr><td rowspan="3">NEW AND EMERGING</td><td>Is not NER</td><td>3</td><td>Up to 3, minimum of 2</td><td rowspan="3">Up to 3, minimum of 1</td></tr>
<tr><td>First met NER criteria between 1-Jan-2018 and 31-Dec-2021</td><td>Up to 3, minimum of 2</td><td rowspan="2">Up to 3, minimum of 1</td></tr>
<tr><td>First met NER criteria between 1-Jan-2022 and 31- Dec-2025</td><td colspan="2"></td></tr>
</table>

Staff members with Researcher Circumstances where the impact is 6 months – 4 years

<table>
<tr><th></th><th></th><th>FULL-TIME</th><th colspan="2">PART-TIME</th></tr>
<tr><th></th><th>Staff member…</th><th>Full-time at 1 FTE</th><th>0.5 –0.8 FTE total across assessment period</th><th>0.2 –0.49FTE total across assessment period</th></tr>
<tr><td rowspan="3">NEW AND EMERGING</td><td>Is not NER</td><td colspan="2">2</td><td>Up to 2, minimum of 1</td></tr>
<tr><td>First met NER criteria between 1-Jan-2018 and 31-Dec-2021</td><td>Up to 2, minimum of 1</td><td colspan="2" rowspan="2">Up to 2, minimum of 1; however, TEOs may wish to consider whether cmost appropriate outcome is that staff member does not submit an EP</td></tr>
<tr><td>First met NER criteria between 1-Jan-2022 and 31- Dec-2025</td><td>Up to 2, minimum of 1</td></tr>
</table>

Staff members with Researcher Circumstances where the impact is more than four years

Staff members with Researcher Circumstances of more than four years' impact who are affected by **any** other eligible circumstance submit only one ERE. However, TEOs may wish to consider in such instances whether the most appropriate outcome is that the staff member is not expected to submit an EP.