



Performance-Based Research Fund

Guidelines for tertiary education
organisations participating in the
2018 Quality Evaluation

**Tertiary
Education
Commission**
Te Amorangi
Mātauranga Matua



Published by the Tertiary Education Commission
Te Amorangi Mātauranga Matua
National Office
44 The Terrace
PO Box 27048
Wellington, New Zealand

First published June 2016
Updated April 2018

Photo credit: Kieren Scott, NZ Story
ISBN 978-0-478-32051-0 (electronic)

Authors

The Tertiary Education Commission

Every effort is made to provide accurate and factual content. The TEC, however, cannot accept responsibility for any inadvertent errors or omissions that may occur.



This work is licensed under the Creative Commons Attribution 4.0 International licence. You are free to copy, distribute, and adapt the work, as long as you attribute the work to the Tertiary Education Commission and abide by the other licence terms. Please note you may not use any departmental or governmental emblem, logo, or coat of arms in any way that infringes any provision of the Flags, Emblems, and Names Protection Act 1981.

Contents

Contents	1
Preface from the Chief Executive	4
How to use these guidelines	5
Structure of the guidelines	5
Changes to the guidelines	7
An overview	8
What happens in the Quality Evaluation?	9
Key dates for the 2018 Quality Evaluation	11
Which organisations are eligible for funding from the PBRF?	12
What is research?	13
What counts as research in the 2018 PBRF Quality Evaluation?	14
PBRF Definition of Research	14
Who is eligible to participate?	15
Who is eligible to participate in the 2018 Quality Evaluation?	16
Staff-eligibility criteria for the 2018 Quality Evaluation	17
Additional information on dates relating to the staff-eligibility criteria	23
Additional information on determining staff eligibility	24
Eligibility of staff members employed by two or more tertiary education organisations or who leave in the year before 14 June 2018	26
PBRF Staff Data file	28
How to complete an Evidence Portfolio	31
What is an Evidence Portfolio?	32
What information is in an Evidence Portfolio?	32
Evidence Portfolio and Researcher Details sections	34
Completing the Evidence Portfolio Details section	34
Completing the Researcher Details section	34
Completing the Panel Details section	35
Which panel should be nominated as the primary panel?	35
What are the peer review panels and subject areas?	36
Completing the Field of Research Description	37
Completing the Māori and Pacific Research elements	38
What are research outputs and research contributions?	40
Completing the Platform of Research – Contextual Summary section	41
Completing the Research Output component	42

Eligibility criteria for research outputs	42
Determining the date that research outputs are available within the assessment period	43
Types of research outputs	46
Quality assurance	56
Outputs involving joint research	57
Outputs with similar content	58
Information required in an Evidence Portfolio about a Nominated Research Output	60
Information required in an Evidence Portfolio about an Other Research Output	62
Assessing Nominated Research Outputs	63
Forms of evidence required for assessing and auditing research outputs	66
Evidence required for assessment and audit	67
Research output evidence requirements	68
Completing the Research Contribution component	80
Definition of a Research Contribution	80
Types of research contribution	82
Information required in an Evidence Portfolio about research contribution items	89
Evidence required for auditing research contribution items	89
Evidence of research contribution items	90
What are extraordinary circumstances?	91
Claiming extraordinary circumstances	92
Eligibility of extraordinary circumstances	92
General extraordinary circumstances	92
Canterbury extraordinary circumstances	93
Describing extraordinary circumstances	93
Validating claims under the extraordinary circumstances provisions	94
Conflicts of interest	95
Submitting conflict of interest notices for staff members	96
What is a conflict of interest?	96
Submitting a conflict of interest notice	96
Consideration of a conflict of interest notice	97
Notification to tertiary education organisations	97
Auditing process for tertiary education organisations	98

What happens in the audit process?	98
Underpinning principles of the audit process	99
Objectives of the audit process	100
Stages of the audit process	100
Process for managing errors	105
Sanctions	106
Reporting of audits	107
How will the results be reported?	108
Reporting the results of the 2018 Quality Evaluation	109
Principles underpinning the reporting framework	109
Reporting on the 2018 Quality Evaluation	110
Calculating the Average Quality Score measures	113
Calculating PBRF allocations	116
Individual staff members' Quality Categories	118
Protocol for tertiary education organisations on the treatment of PBRF Quality Categories	119
Recommended protocol	119
Staff requesting their own results	121
Requesting results	121
Submitting requests for results	122
Processing of requests	122
Information that will be released	122
How to make a complaint about errors	123
Complaints about administrative and procedural errors	124
Making a complaint	124
Processing complaints	125
Possible outcome from complaints	125
Glossary	126
Tertiary Education Organisation Audit Declaration	132

Preface from the Chief Executive

Tēnā koutou

The Tertiary Education Commission is pleased to publish the guidelines for the 2018 PBRF Quality Evaluation following two years of engagement and support from the tertiary sector and other key stakeholders. These guidelines have been developed well in advance to provide the information and guidance needed by all those involved in the preparation for the 2018 Quality Evaluation.

The PBRF encourages and rewards the breadth and diversity of research excellence and its role in supporting and developing New Zealand and our tertiary education sector. As a result, we've aimed to create guidelines that support the evaluation of quality research in all its forms. We hope that researchers – regardless of the focus of their research – can see their work reflected in the 2018 Quality Evaluation processes.

Stakeholder feedback during the process of developing the guidelines has been vital and it has been rewarding to see the level of interest and engagement from both organisations and individuals. We have listened to our stakeholders and taken a new approach to the guidelines, with an overarching goal to make them more user-friendly, concise, and accessible.

A number of significant changes have been introduced into the 2018 Quality Evaluation. One of the key changes for the 2018 Quality Evaluation is the addition of the Pacific Research peer review panel to support and encourage the ongoing strengthening of Pacific research excellence.

I would like to thank our PBRF Sector Reference Group for contributing considerable time and expertise to the work and for developing thoughtful and considered solutions to a range of issues. I would also like to thank the peer review panel Chairs and initial cohort of panel members who have developed the panel-specific guidelines very early in the process to ensure that those participating in the 2018 Quality Evaluation have the full range of information to support their submissions. These groups and TEC staff have worked hard to make the 2018 Quality Evaluation processes transparent and fit-for-purpose.

We know that the guidelines cannot provide rules and details that would address all possible circumstances that may arise during the Quality Evaluation process; however we do expect that the intent and principles are applied by researchers and organisations as they prepare for and participate in the 2018 Quality Evaluation. The integrity of the PBRF and its international reputation can be ensured by all participating organisations demonstrating their willingness to support the Quality Evaluation process both in spirit and in detail.



Tim Fowler
Chief Executive
Tertiary Education Commission

How to use these guidelines

For the Performance-Based Research Fund (PBRF) 2018 Quality Evaluation, the guidelines that provide different participants with all relevant information have been split into three audience-specific documents:

- [Guidelines for tertiary education organisations participating in the 2018 Quality Evaluation](#)
- [Guidelines for the 2018 Quality Evaluation assessment process](#)
- [A guide for staff members participating in the 2018 Quality Evaluation.](#)

This document, *Guidelines for tertiary education organisations participating in the 2018 Quality Evaluation*, provides information that tertiary education organisations (TEOs) need to determine staff eligibility, complete Evidence Portfolios (EPs), understand and participate in the Tertiary Education Commission (TEC) audit process, and understand the reporting of results. It also provides information about other related processes, such as submitting conflict of interest notices and complaints to the TEC.

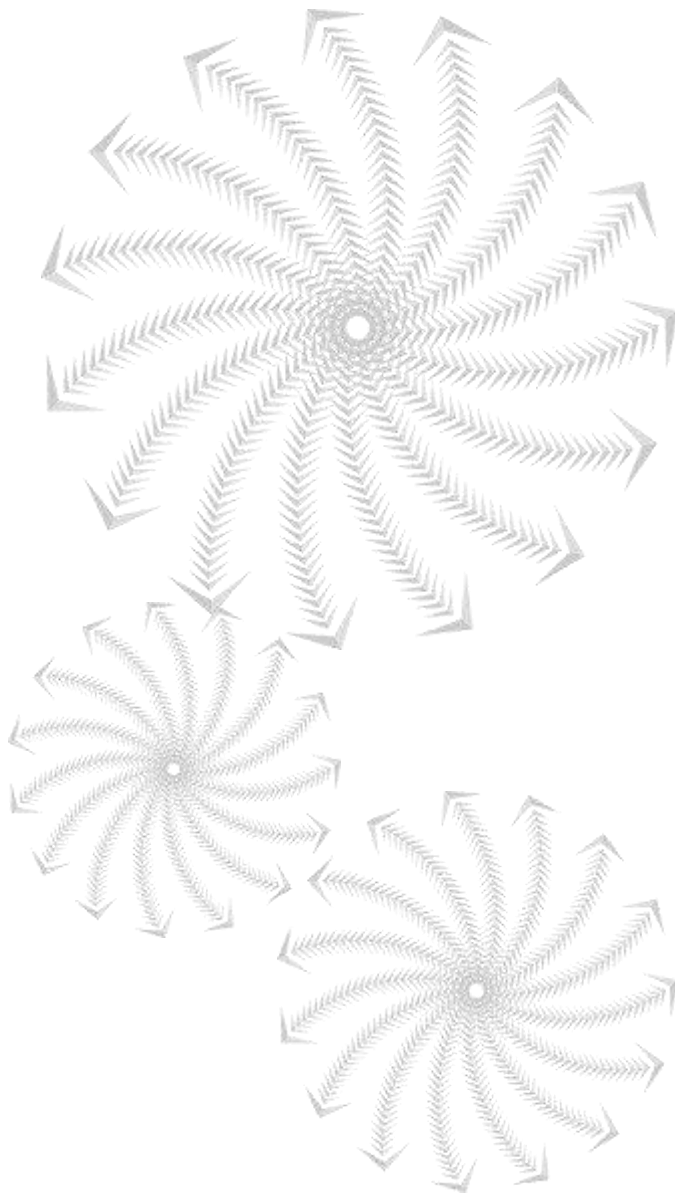
The document, [Guidelines on the 2018 Quality Evaluation assessment process](#), provides information about the assessment process undertaken by the 13 peer review panel members. This includes information on the responsibilities of the panels, the scoring system and detailed scoring descriptors for EPs, the stages in the assessment process, the moderation process and information about conflicts of interest and confidentiality.

The document, [A guide for staff members participating in the 2018 Quality Evaluation](#), provides staff members with an overview of the process, their responsibilities and the responsibilities of their employing TEO and the TEC. It also identifies the key areas of the Quality Evaluation process that relate to them and who can provide support. The guide is designed to be an overview of the process and it directs staff members to the relevant areas of the other guidelines.

The 13 peer review panels have developed guidelines (panel-specific) to provide subject and discipline-specific information to help staff as they develop their EPs.

The table below shows the main audience for each document. A tick (✓) indicates that the document also contains information relevant for that particular audience.

Audience	Guide for staff	Guidelines for TEOs	Guidelines for the assessment	Panel-specific guidelines
TEOs	✓	Main audience	✓	✓
Peer review panels			Main audience	✓
Staff members	Main audience	✓	✓	✓



2018 Quality Evaluation

An overview

Structure of the guidelines

These guidelines are divided into sections that focus on the different parts of the process. The sections and specific topics are listed in the table of contents.

Information on the background and purpose of the PBRF can be found on the PBRF pages of the TEC's website www.tec.govt.nz

The online version of these guidelines contains internal links to help you navigate the document. The links within the text are shown as underlined. Links can also be recognised by the fact that when the cursor passes over them, a text box appears saying 'Ctrl + click to follow the link'. You can also find links in the table of contents.

Changes to the guidelines

Any changes to the guidelines released on 30 June 2016 are set out in the table below. These changes may be included as a result of sector requests for clarification, or agreed changes to the process.

Change	Page reference	Date of update
New information provided regarding research submitted in languages other than an official New Zealand language.	p.37	November 2016 September 2017
Updates to the section 'How will the results be reported?' to reflect changes to the reporting of the staff-based Average Quality Score (AQS(S)) and staffing data used in the denominator.	pp.109-115	February 2017
Clarification of eligibility of staff employed in wholly owned subsidiaries.	p.15	May 2017
Additional advice on the strengthened substantiveness test for non-TEO staff.	p.19	September 2017
Additional advice on supervised or support roles as it relates to the new and emerging researcher criteria.	p.20	September 2017
Provided additional advice on new and emerging researchers and removed the footnote associated with criterion 3.	p.20	September 2017
Additional advice of calculating FTE.	p.25	September 2017
Additional advice on secondments.	p.26	September 2017
Added new and emerging researcher decision tree.	p.30	September 2017
Removing the suggested default date of birth as different default dates may be used.	p.34	September 2017

Change	Page reference	Date of update
Additional advice on completing information fields for NROs and OROs written in a foreign language.	p.61 p.63	September 2017
Clarification of URI name format for files uploaded to the TEC's filestore.	p.64	September 2017
Additional advice on copyright for output types, such as film, music or games.	p.64	September 2017
Clarified that either whole or relevant parts of video can be provided as the main research object.	p.72	September 2017
Updated language in the conflicts of interest notice process.	p.96	September 2017
Clarification on the AQS(E) denominator for the 2003, 2006 and 2012 Quality Evaluations.	p.115	September 2017
Updating the email address for complaints about administrative and procedural errors to be sent to.	p.124	September 2017
Updated language in item 2(c) of the tertiary education organisation audit declaration.	p.132	September 2017
Clarified evidence requirements for NRO type - Creative Work - Artefact, object, craftwork. Removed inclusion of a portfolio as evidence.	p.69	April 2018
Clarified evidence requirements for NRO type – Reports.	p.77	April 2018
Removed reference to identifying confidential Research Contributions.	p.90	April 2018
Amended language in CEO/VC declaration to reflect requirement for TEOs to comply with processes post-submission.	p.133	April 2018

What happens in the Quality Evaluation?

The primary purpose of the Performance-Based Research Fund (PBRF) is to ensure that excellent research in the tertiary education sector is encouraged and rewarded.

The Quality Evaluation is an assessment of the research performance of staff at eligible tertiary education organisations (TEOs).

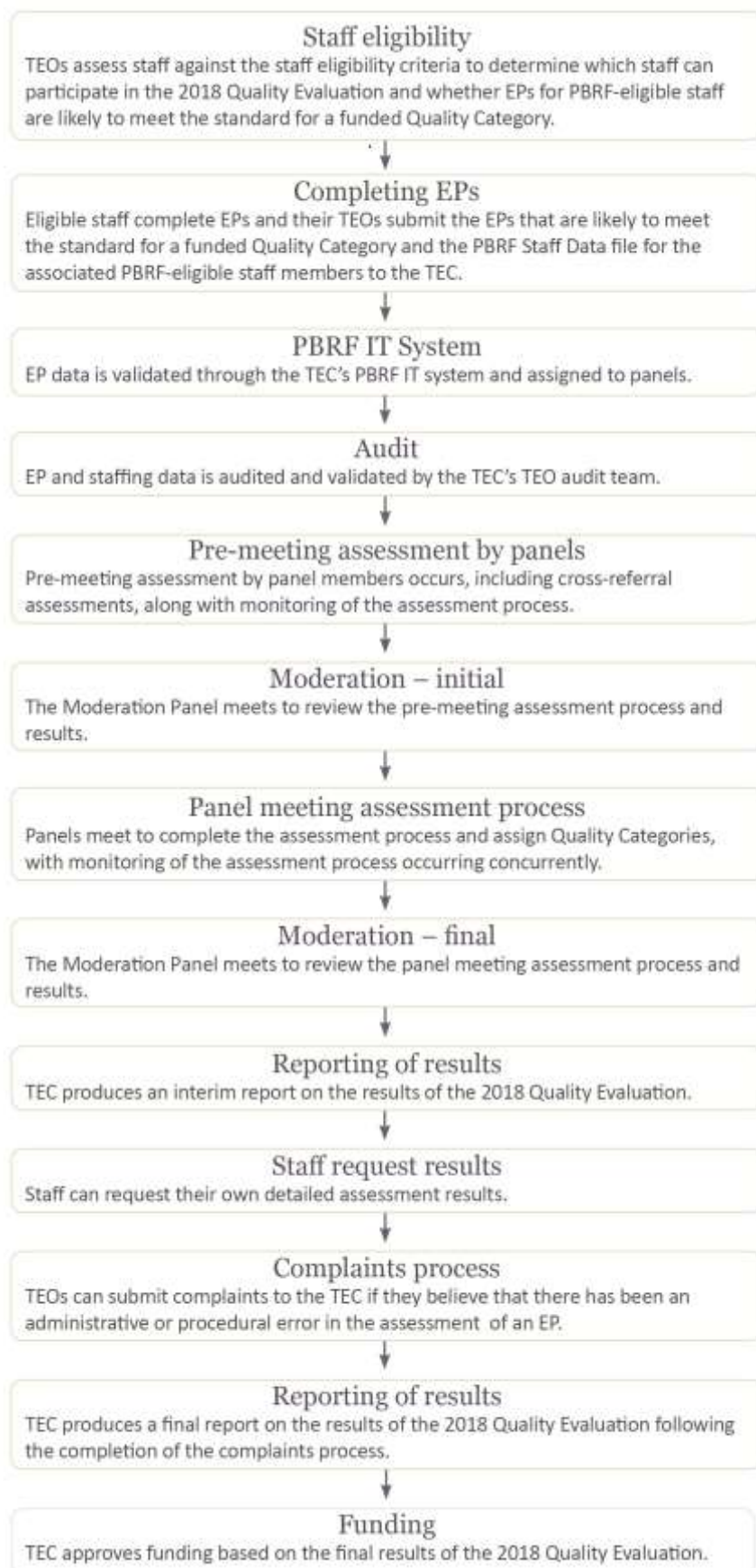
TEOs determine which of their staff members are eligible to participate and then decide if each staff member's research is likely to meet the standard for a funded Quality Category. TEOs then compile Evidence Portfolios (EPs) and submit them to the TEC through the PBRF IT System. EPs that are not likely to meet these requirements are not submitted for assessment.

TEOs complete detailed information on staff submitting EPs for the TEC. This information will be submitted through the PBRF IT System and audited by the TEC to ensure that staff meet the eligibility criteria and the information is accurate. This information will be used in the reporting of results and form the basis of the funding calculation.

The peer review panels complete the assessment and assign one of six Quality Categories to each EP. The process is overseen by a Moderation Panel that ensures standards and processes are applied consistently across all panels.

The TEC administers the submission and assessment process through the PBRF IT System, provides support for panels and TEOs, and considers and approves the findings of the Quality Evaluation for funding and reporting of results.

The stages of the 2018 Quality Evaluation process



Key dates for the 2018 Quality Evaluation

Phase	Deadline/activity	Date
Audit – process	TEO process assurance audit	May – December 2017
Eligibility periods	Eligibility period for ROs and RC items (the PBRF assessment period)	1 January 2012 – 31 December 2017
	Staff must be employed or contracted within this period to be considered PBRF-eligible	15 June 2017 – 14 June 2018
PBRF staff-eligibility date	Staff must be employed or contracted on this date to be eligible to submit an EP	14 June 2018
EP and Staff Data submission	Preliminary submission date for EP data and PBRF Staff Data files	6 July 2018
	Period for final review and correction of EP data and PBRF Staff Data files	6 July 2018 – 4.00pm 13 July 2018
	Close-off date for resubmission of EP data and PBRF Staff Data files	4.00pm 13 July 2018
	Deadline for Vice-Chancellor's/Chief Executive Officer's declaration to confirm accuracy of data and process of assessment within the TEO	4.00pm 16 July 2018
Notices of conflicts of interest	Deadline for TEOs submitting notices of conflicts of interest in relation to panellists	4.00pm 31 July 2018
Audit – data	Data evaluation audit	July – December 2018
Assignment	Assignment of EPs for assessment	14 July – 26 August 2018
Pre-meeting assessment and moderation	Pre-meeting panellist assessment of EPs	27 August – 2 November 2018
	<i>Deadlines for panellist requests for additional cross-referrals</i>	<i>21 September 2018</i>
	<i>Deadline for completion of preparatory scores by all panellists including cross-referral assessors</i>	<i>18 October 2018</i>
	<i>Deadline for completion of preliminary scores</i>	<i>2 November 2018</i>
	Initial Moderation Panel meeting	November 2018

Phase	Deadline/activity	Date
Panel assessment and moderation	Panel meetings	19 November 2018 – 7 December 2018
	Second Moderation Panel meeting	December 2018
Reporting	Interim report on 2018 Quality Evaluation results released with indicative funding allocations	April 2019
Final Quality Categories and complaints	Final Quality Categories reported to TEOs	April 2019
	Staff requests for 2018 Quality Evaluation results start	April 2019
	35-day period for TEOs to lodge complaints	April 2019 – May 2019
	60-day period for the TEC to investigate complaints	May – July 2019
Reporting and funding allocations	Final report on 2018 Quality Evaluation results released	September 2019
	Funding allocations for 2019 finalised	October 2019

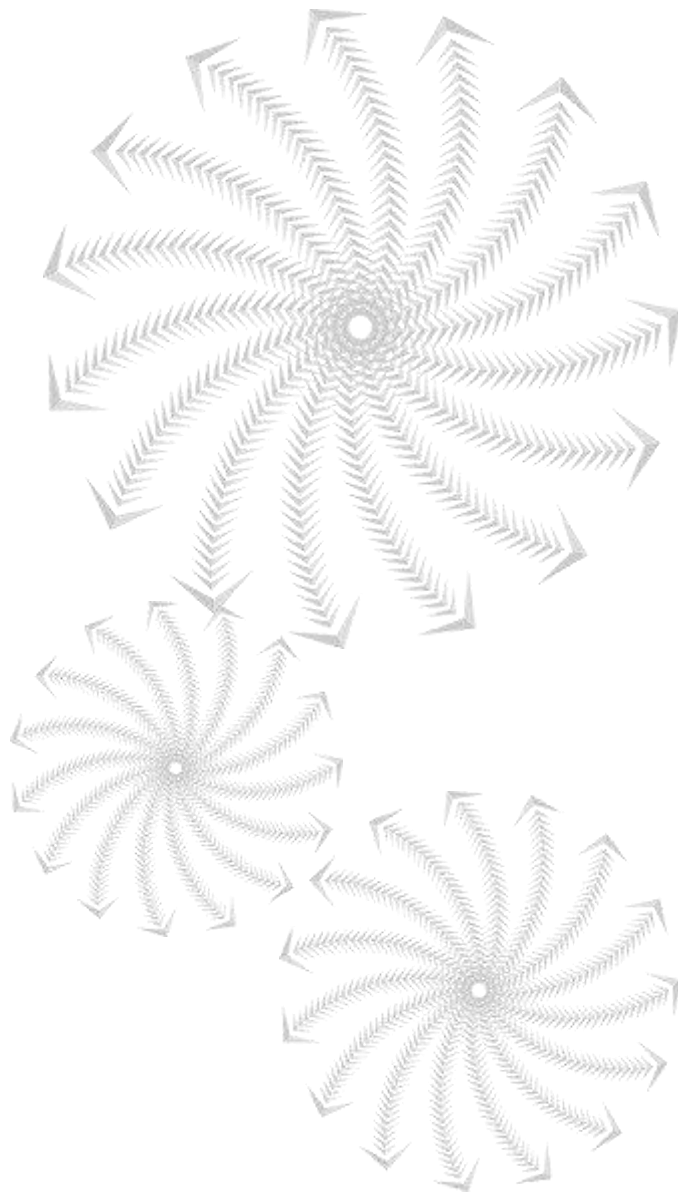
Note: EP = Evidence Portfolio; PBRF = Performance-Based Research Fund; RC = Research Contribution; ROs = Research Outputs; TEO = tertiary education organisation.

Which organisations are eligible for funding from the PBRF?

TEOs that want to participate in the 2018 Quality Evaluation must meet both of the following criteria:

1. receive Student Achievement Component funding from the TEC
2. have degree-granting authority on 14 June 2018.

The next funding cycle for the PBRF is for 2019 to 2024. TEOs that want to seek funding from the PBRF must participate in the 2018 Quality Evaluation. TEOs cannot receive PBRF funding from 2019 to 2024 through either the Research Degree Completion or External Research Income elements of the PBRF unless they have participated in the 2018 Quality Evaluation.



2018 Quality Evaluation

What is research?

What counts as research in the 2018 PBRF Quality Evaluation?

The PBRF Definition of Research is intended to be a broad characterisation that includes original investigation in all domains, including that of a creative, professional or applied nature. The PBRF Quality Evaluation explicitly recognises that high-quality research is not restricted to theoretical inquiry alone but occurs across the full spectrum of original investigative activity.



The PBRF Definition of Research has been expanded to ensure that it better reflects applied, commercial and creative research.

PBRF Definition of Research

For the purposes of the PBRF, research is original, independent investigation undertaken to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement.¹

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

Research includes work of direct relevance to the specific needs of iwi, communities, government, industry and commerce. In some disciplines, research may be embodied in the form of artistic works, performances or designs that lead to new or substantially improved insights. Research may include:

- › contributions to the intellectual underpinning of subjects and disciplines (for example, dictionaries and scholarly editions)²
- › the use of existing knowledge in experimental development to produce new or substantially improved, materials, devices, products, communications or processes
- › the synthesis and analysis of previous research to the extent that it is new and creative.

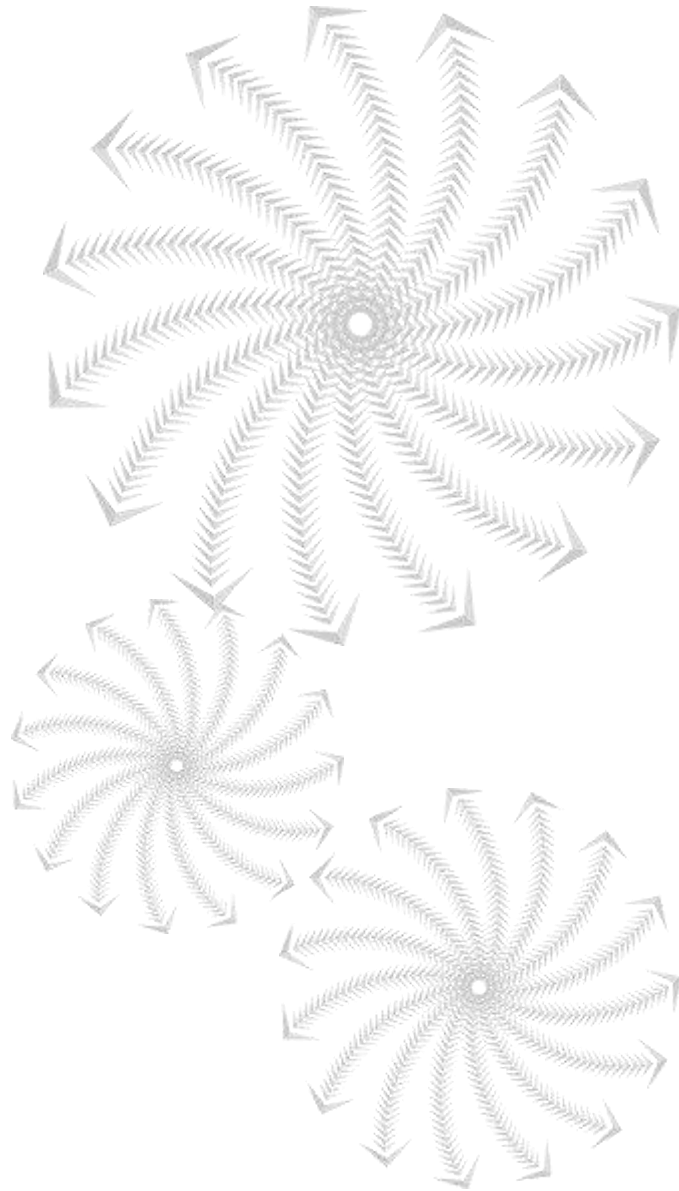
Research findings must be open to scrutiny or formal evaluation by experts within the field. This may be achieved through various forms of dissemination including, but not limited to, publication, manufacture, construction, public presentation, or provision of confidential reports.

Activities that are part of routine standard practice and do not embody original research are excluded, such as:

- › routine testing
- › data collection
- › preparation for teaching
- › the legal and administrative aspects of intellectual property protection and commercialisation activities.

¹ The term 'independent' does not exclude collaborative work.

² The term 'scholarly' is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.



2018 Quality Evaluation

Who is eligible to participate?

Who is eligible to participate in the 2018 Quality Evaluation?

The staff-eligibility criteria must be used by tertiary education organisations (TEOs) to determine which staff members are eligible to participate in the 2018 Quality Evaluation.

- › The 2018 Quality Evaluation will assess the quality of research at all participating TEOs.
- › The principle that underpins the staff-eligibility criteria for the 2018 Quality Evaluation is that the individual is expected to make, or has made, a substantial and independent contribution to:
 - degree or postgraduate level teaching at a New Zealand TEO; or
 - research activity at a New Zealand TEO, or both.
- › Each participating TEO must assess all employed or contracted individuals involved in teaching at degree or postgraduate level, or research, or both, against the PBRF staff-eligibility criteria. For the purposes of the Quality Evaluation, these individuals are referred to as staff members.
- › Staff employed or otherwise contracted in wholly owned subsidiaries such as commercialisation companies and in fully controlled trusts of the TEO are PBRF-eligible (if they satisfy the other eligibility criteria), since these bodies operate under the control of the participating TEO.
- › TEOs can only submit the Evidence Portfolios (EPs) of staff members who are PBRF eligible and employed or otherwise contracted by that TEO on the **PBRF staff-eligibility date** of 14 June 2018.
- › There are special requirements for staff to be eligible as new and emerging researchers.
- › Different eligibility requirements apply to staff contracted to a TEO by a non-TEO.
- › TEOs must submit the preliminary EPs and the Staff Data file through the PBRF IT System by **4.00pm 6 July 2018** and complete the resubmission process of any EPs and the Staff Data file by **4.00pm 13 July 2018**.

The staff-eligibility criteria are set out and explained in detail below, with a flowchart of the steps TEOs need to follow in determining staff eligibility.



Examples of New Zealand-based staff

Staff member A is employed at 0.6 FTE by an NZ TEO from 15 June 2017 for two years. They live in NZ for three months each year, to teach and in the UK for the remainder of the year, where they are retired. They are a UK citizen with an NZ work visa. They are considered NZ-based.

Staff member B is an NZ citizen who is permanently employed at 1 FTE by an NZ TEO but they live permanently in Singapore undertaking teaching and research at an overseas campus of the TEO. They are considered NZ-based.

Staff member C is employed at 0.5 FTE by an NZ TEO from 1 January 2016 until 30 December 2018. They also have a 0.5 FTE permanent position at a Canadian university. They have dual residency and live in NZ for six months of each year. They conduct research and teaching in both countries. They are considered NZ-based.

Staff-eligibility criteria for the 2018 Quality Evaluation

Only staff members who are considered to be **based in New Zealand** are eligible to participate in the 2018 Quality Evaluation (PBRF eligible).

Staff members are considered to be based in New Zealand if they are either:

- › resident in New Zealand for more than 50 percent of the period they are employed; or
- › resident in New Zealand for less than 50 percent of the period they are employed, but they are employed at 0.5 full-time equivalent (FTE) or higher by the submitting TEO.

When determining the amount of time a staff member is resident in New Zealand, the TEO must consider if the staff member is actually living in New Zealand (that is, actually has their feet on the ground).

TEOs need to calculate the percentage of time a staff member is resident in New Zealand for either:

- › the 12-month period from 15 June 2017 to 14 June 2018; or
- › the 12-month period from their contract start date, if their appointment was after 15 June 2017.

TEOs cannot arbitrarily choose which 12-month contract period is used to determine the amount of time the staff member is based in New Zealand.

Eligibility criteria for staff employed or contracted by a tertiary education organisation

All New Zealand-based staff employed or contracted by a TEO must meet **all** four of the eligibility criteria set out below:

1. They are employed or otherwise contracted (under a contract for service):
 - at any time between 15 June 2017 and 14 June 2018 (see eligibility for transferring staff); **and**
 - under one or more agreements or concurrent agreements of paid employment or service with a duration of at least one year on a continuous basis.

*Employment on a **continuous basis** means the staff member had no gaps in their service. Exceptions are:*

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

2. They meet one of the following conditions. They have:

- a minimum of 0.2 FTE throughout the duration of their employment if they are resident in New Zealand; or
- a minimum of 0.5 FTE throughout the duration of their employment if they are not resident in New Zealand.

One FTE is defined as 37.5 hours per week and includes any non-research or teaching activities but excludes non-paid hours.

3. They meet the substantiveness test for degree or postgraduate-level teaching **or** research, **or both**, by:

- fulfilling a ‘major role’ in the **teaching and assessment** of at least one degree or postgraduate-level course or equivalent (the substantiveness test for teaching)
- undertaking one or more of the following: the design of research activity; the preparation of research outputs (for example, as a co-author or co-producer) that is likely to result in being named as an author (or co-author or co-producer) on one or more research outputs; the academic supervision of graduate research students (the substantiveness test for research).

A **‘major role’** means an individual contributes at least 25 percent overall to the delivery of the course **and** corresponding working time to the assessment process or design of the course (or both assessment and design of the course). TEOs must consider all aspects of teaching, design of the course, and the design of the assessment process that the individual is involved in regardless of the component of the course being delivered (such as lectures, workshops and tutorials) when assessing staff contribution to a course. If the staff member’s contribution of at least 25 percent is in more than one stream of a multi-stream course, or is split into components of less than 25 percent across more than one course, the staff member is not fulfilling a major role.

A **degree-level course or equivalent** is a course that leads to a degree or related qualification. Degree-level courses include those at level 5 or above on the New Zealand Qualifications Framework (NZQF). Courses taught as part of qualifications, such as certificates or diplomas, that can form one or more years of study towards a degree are included as degree-level courses.

4. Their employment or service contract functions include research or degree or postgraduate-level teaching, or both.

Additional eligibility criteria for staff contracted from a non-tertiary education organisation

If the staff member is contracted to a TEO by a non-TEO, to be eligible, they must meet the four eligibility requirements outlined above, and the strengthened substantiveness test for degree-level teaching and research by:

- › fulfilling a major role in the teaching and assessment of at least one degree or postgraduate-level course or equivalent during each year in New Zealand for **three years bridging the staff-eligibility date** (14 June 2018); and



Calculating 1 FTE based on the new definition:

- staff member A employed for 40 hours per week = 1 FTE
- staff member B employed for 37.5 hours per week = 1 FTE
- staff member C employed for 35 hours per week = 0.93 FTE.

- › undertaking one or more of the following: the design of research activity; the preparation of research outputs (for example, as a co-author or co-producer) that is likely to result in being named as an author (or co-author or co-producer) on one or more research outputs; the academic supervision of graduate research students.

*The **three years bridging the staff-eligibility date** includes any continuous three-year period between 15 June 2015 and 14 June 2021.*

The exceptions to continuous employment apply for each of the three years.

If any of the three-year period extends beyond 14 June 2018, it is expected that staff members are contracted either on a permanent basis or fixed-term basis covering the entire period. This requirement can be demonstrated by preparing a memorandum that indicates the courses that the staff member will be expected to teach (and their role in teaching) for the three years.

As noted in the section Auditing process for tertiary education organisations, follow-up reporting on staff eligibility may also occur before funding is finalised, to ensure that the eligibility requirements have been met.

*Fulfilling **a major role** in the teaching and assessment of at least one degree or postgraduate-level course or equivalent during each year of the three-year period can be demonstrated in any semester in each of the relevant years.*



Following the 2003 Quality Evaluation, panels raised concerns that the assessment criteria could discourage staff who had recently completed a PhD. Panels noted that some of these staff were building a research platform but achieved an R Quality Category because they were unable to demonstrate sufficient peer esteem or contribution to the research environment. The C(NE) and R(NE) Quality Categories were introduced in the 2006 Quality Evaluation round to allow new and emerging researchers to be assessed on outputs alone (or something similar).

New and emerging researchers

Once a TEO has determined which of its staff are eligible to participate in the 2018 Quality Evaluation, they need to determine if any eligible staff can be categorised as new and emerging researchers.

The new and emerging researcher status is specifically for staff members who have started their research career in the 2018 Quality Evaluation assessment period (1 January 2012 – 31 December 2017). The purpose is to allow these staff members, who are starting to build a platform of research outputs but have had limited opportunities to engage in research contribution activities, to be recognised and funded under the PBRF. This category also supports the Government's goal of building a sustainable tertiary workforce.

The new eligibility criteria and guidance are designed to support TEOs to correctly and consistently identify new and emerging researchers. In the 2012 Quality Evaluation, the misidentification of staff as new and emerging researchers was the second most common staff-eligibility error found by the TEC, particularly in the creative and performing arts. The TEC has developed new eligibility criteria and guidance to support TEOs to identify which staff can be classified as new and emerging researchers.

New and emerging researcher eligibility criteria

The key principle that TEOs must apply is that the staff member is undertaking substantive and independent research for the first time in their career. Staff who have produced outputs that meet the PBRF Definition of Research before 1 January 2012, except when in a supervised or support role, cannot be considered as new and emerging.

To be considered new and emerging researchers, staff members must meet **all** of the new and emerging researcher eligibility criteria. They must:

1. meet the requirements of the PBRF staff-eligibility criteria
2. meet the substantiveness test for research for the first time on or after 1 January 2012
3. not have been PBRF-eligible in a previous Quality Evaluation.

The substantiveness test for research means staff members have to undertake one or more of the following: the design of research activity; the preparation of research outputs (for example, as a co-author or co-producer) that is likely to result in being named as an author (or co-author or co-producer) on one or more research outputs; the academic supervision of graduate research students.

Guidance on applying the new and emerging researcher criteria

TEOs need to assess any potential new and emerging researchers against both the key principle and the criteria. TEOs should take the following guidance into consideration when reviewing the specific circumstances of their staff for potential new and emerging researcher status.

- › The **PBRF Definition of Research** does not distinguish between research undertaken within or outside of academia. TEOs should not make this distinction either. If an output meets the PBRF Definition of Research, the staff member's role or location or employer is not a deciding factor in regard to whether it is research.
- › Staff members are normally considered to undertake **substantive and independent research** if they meet the requirements of the substantiveness test for research.
- › Staff members are not normally considered to undertake **substantive research** if they undertake activities that are excluded from the PBRF Definition of Research, for example, part of routine standard practice, or are providing a technical function only or produce outputs that do not embody original research.
- › Staff members who are named as an author on a research output while in a **supervised or support role** are considered to be working under the close guidance of a lead researcher. This would not normally be seen as undertaking independent research.

A supervised or support role in a research project may be part of a research Master's or PhD, or a technical, clinical support or minor advisory role. Undertaking post-graduate study does not automatically mean that all research outputs produced by that staff member are 'supervised'. All research outputs and the staff member's role in them need to be considered against the relevant eligibility criteria.

It is important for TEOs to document their rationale for their decisions for audit purposes. As a minimum, you must obtain the staff member's CV. All staff identified as new and emerging researchers will be reviewed as part of the TEC's Data Evaluation audit. TEOs will be able to discuss the eligibility criteria and



Working out if staff meet the new and emerging criteria:

To answer criterion 2, TEOs should obtain the staff member's CV, interview them and perform a search of publicly available information to assess their previous roles and publication history. TEOs should also determine:

- if their research prior to 1 January 2012 meets the PBRF Definition of Research, and
- if their research was done independently.

To answer criterion 3, TEOs should confirm if the staff member:

- submitted an EP in any of the previous Quality Evaluations* or
- was recorded in the 2003 and/or 2006 PBRF census data as being PBRF eligible* or
- met the PBRF-eligibility criteria in the 2012 Quality Evaluation.

**TEOs can check a staff member's previous records with the TEC by providing the NSN and name of the staff member to pbrfhelp@tec.govt.nz.*

evidence requirements with auditors during the Process Assurance audit before EPs are submitted in June 2018.

TEOs should be aware that the EPs of staff incorrectly assigned new and emerging status will continue to be assessed as part of the 2018 Quality Evaluation but will not be considered for the C(NE) or R(NE) Quality Categories.

Working examples for determining if a staff member can be categorised as new and emerging are set out in the table below.

Examples	Criterion 1 Meet the requirements of the PBRF staff-eligibility criteria	Criterion 2 Meet the substantiveness test for research for the first time on or after 1 January 2012	Criterion 3 Not PBRF eligible in a previous Quality Evaluation	Decision
Staff member A is a new PhD graduate and completed their thesis in 2013. Staff member A is employed to teach and to undertake research at 1 FTE since 1 March 2014 and has sole and co-authored several journal articles since graduating in 2013.	Yes.	Yes – they have undertaken independent research for the first time in the assessment period.	Yes – they have not been employed by a TEO before.	New and emerging.
Staff member B has been employed at 0.4 FTE to teach on a degree-level course since 1980 but is not employed to undertake research. Staff member B has never produced any outputs that meet the PBRF Definition of Research.	Yes.	No – they do not meet the substantiveness test for research during any assessment period.	No – they were eligible but were not put forward for assessment.	Not new and emerging.
Staff member C has been employed to teach on a sub-degree programme since 1990. In 2013, their role changed and they were required to teach a degree-level programme and undertake research at 0.5 FTE. They produced their first research output in 2015.	Yes.	Yes – they produced their first research output in 2015.	Yes – they were not eligible as they did not meet the PBRF staff-eligibility criteria until 2013.	New and emerging.
Staff member D has been employed to teach for the first time on a degree-level programme for 0.2 FTE for two years from 2016. Staff member D has been employed due to their expertise in their professional area and, while they are not required to undertake research as part of their role, they have produced outputs including exhibitions and other creative outputs for the past 15 years that the TEO believes meet the PBRF Definition of Research.	Yes.	No – their history of research outputs predates the assessment period.	Yes – they have not been employed by a TEO before.	Not new and emerging.

Staff member E has been employed to supervise graduate research students and teach full-time on a degree-level course since 1 January 2012. Before 2012, they mentored colleagues in the workplace but did not undertake any academic supervision or teaching in an academic setting. They have a long career in product development and have produced a number of products and hold several granted patents and have received industry awards for excellence.	Yes.	No – they are undertaking academic supervision for the first time after 1 January 2012 but they have a history of producing research outputs before 1 January 2012.	Yes – they have not been employed by a TEO before.	Not new and emerging.
Staff member F completed their PhD in 1989 and has returned to academia for the first time in 2012 from the public sector. They have written reports during that time that were published, but the TEO confirms these did not embody original research so do not meet the PBRF Definition of Research. They are employed full-time to teach and undertake research.	Yes.	Yes.	Yes – they have not been employed by a TEO before.	New and emerging.
Staff member G has worked as a lecturer since 2007 at a university in the UK teaching on degree programmes; the appointment did not require any research. The staff member is appointed full-time as a lecturer at an NZ university in 2014, with degree-level teaching and research obligations and finished their PhD in 2015. The staff member has no outputs before their PhD.	Yes.	Yes.	Yes – they have not been employed by a TEO before.	New and emerging.
Staff member H completed their research degree in 2010 and published journal articles from their thesis. The staff member has returned to academia for the first time in 2014 after being on parental leave since 2011. They are now employed full-time to teach and undertake research. They have no published research outputs between 2010 and 2014, other than those that resulted from their thesis, and the TEO confirms these outputs were produced while in a supervised role.	Yes.	Yes.	Yes – they have not been employed by a TEO before.	New and emerging.
Staff member I has been employed as a senior tutor and taught at degree level since 2005. Staff member I completed their PhD in 2014 and has moved to a lecturer role including teaching and research duties. The staff member has no outputs before their PhD.	Yes.	Yes.	No – they were eligible but not put forward for assessment.	Not new and emerging.

Additional information on dates relating to the staff-eligibility criteria

The **PBRF staff-eligibility date** is 14 June 2018. This is the key date for determining staff eligibility. Only staff members employed on this day are considered eligible to submit an EP.

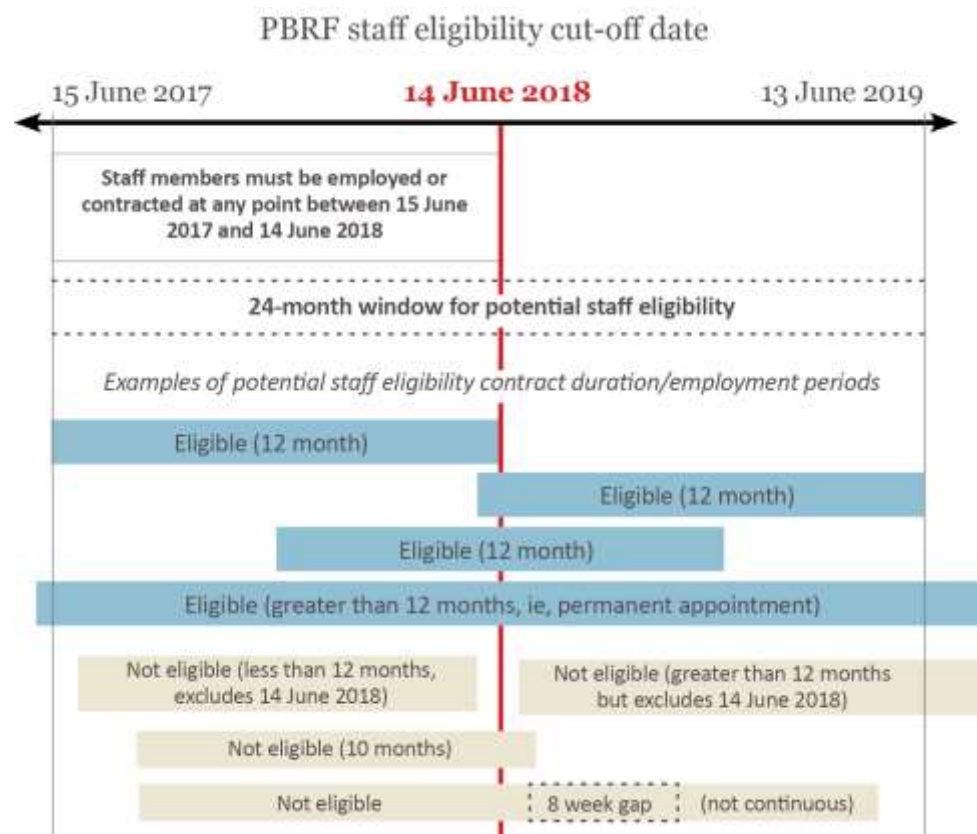
Staff must be employed or contracted at any time between 15 June 2017 and 14 June 2018. Staff must be employed for at least one year (12 months) on a **continuous basis**. This may be on one contract or multiple contracts.

These two criteria combined mean the earliest that an eligible staff member's contract can start, if their contract is only for the 12-month minimum, is 15 June 2017 (as their contract's last day will be 14 June 2018). The latest date on which a contract can start – whether for 12 months or longer – is 14 June 2018.

As staff members must be employed on 14 June 2018 for a minimum of one year, this means there is a window of 24 months where a staff member's employment can make them eligible to participate in the 2018 Quality Evaluation.

The 12-month **employment period** used to determine eligibility may differ, depending on how long the staff member is contracted for. TEOs must ensure that they apply the staff-eligibility criteria and the 12-month employment period to an individual staff member consistently. For example, if a staff member has a contract duration period of 1 January 2018 to 31 December 2018, the TEO must use this period when determining the staff member's eligibility, if the staff member is considered to be based in New Zealand, **and** for determining their FTE.

The diagram below shows how the dates and periods relate to each other.



Additional information on determining staff eligibility

Employment agreement requirements

Staff members must have an employment agreement or contract for service with a participating TEO, and be paid for this employment or service at a level consistent with the time commitment, responsibilities and seniority of the position.

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

If a staff member meets the substantiveness test for degree or postgraduate-level teaching or research, or both ([staff-eligibility criterion 3](#)), but their employment agreement or contract for service does not specify these functions ([staff-eligibility criterion 4](#)), this does not make them automatically ineligible for PBRF. The TEO, however, may need to address this discrepancy to comply with the staff-eligibility criteria.

Calculating FTE

One FTE is defined as 37.5 hours per week, which includes any non-research or teaching activities but excludes non-paid hours. TEOs are required to pro rate any contracts with fewer than 37.5 contract hours per week. There is a cap of 1.0 FTE regardless of any paid hours over 37.5 hours per week or where separate contracts total more than 1.0 FTE.

FTE is to be calculated for the 12-month period from 15 June 2017, or the appointment date of the first PBRF-eligible appointment if that appointment was after 15 June 2017. TEOs cannot arbitrarily choose which 12-month contract period to calculate FTE.

TEOs must also ensure that the minimum FTE threshold is met for their staff throughout the 12-month period ([either 0.2 FTE or 0.5 FTE, depending on the specific residency circumstances of individual staff members](#)).

Calculating FTE where there are multiple contracts

The FTE rules apply to the total employment over the year, even if it is made up of employment from two or more contracts (which do not need to be ≥ 0.2 FTE each), or where a staff member's FTE status changes during the year.

Where a staff member has multiple concurrent and/or overlapping employment agreements, if any one of these is considered PBRF eligible (such as, a 12-month contract at either 0.2 FTE (for resident staff) or 0.5 FTE (for non-resident staff) that includes degree-level teaching and/or research) then the staff member's FTE is to be calculated on the sum of all the contracts from the start of the first PBRF-eligible appointment.



Examples of calculating FTE

If a staff member is employed from 1 May 2018 to 31 December 2019 at 1.0 FTE for the entire period, their FTE is calculated for the 12-month period starting on 1 May 2018 and is recorded as 1.0.

Calculating FTE where there are multiple contracts

If a staff member has two concurrent contracts (both contract duration periods are 1 January 2017 to 31 December 2020) and is employed for 0.2 FTE for one and 0.7 FTE for the other, these should be taken together and treated as 0.9 FTE.

Calculating FTE where there are changes in employment status

If a staff member changes from full-time employment on 30 November 2017 to take on a 0.5 FTE role, then they would count as follows:

$$1.0 \text{ FTE} \times 6/12 + 0.5 \text{ FTE} \times 6/12 = 0.75 \text{ FTE}$$

If a staff member is hired at 0.5 FTE on 1 January 2018 and moves to an ongoing full-time role at 1.0 FTE on 1 June 2018, then they would count as follows:

$$0.5 \text{ FTE} \times 5/12 + 1.0 \text{ FTE} \times 7/12 = 0.79 \text{ FTE}$$

If a staff member on a one-year contract worked for six months at 0.7 FTE from 1 January 2018 and then six months at 0.1 FTE from 1 July 2018, then the staff member is ineligible as they must be at least 0.2 FTE throughout the period of employment.

Calculating FTE where a staff member has a variable FTE over the PBRF-eligible contract period

TEOs must calculate an average FTE for staff that change their employment status from full-time to part-time or vice versa.

When determining the FTE of a staff member with multiple contracts or variable FTE, TEOs can determine whether this is averaged on a monthly (as in the examples provided), weekly or daily basis. However, TEOs need to be consistent in the approach applied across all their staff.

Eligibility of staff on leave

A staff member will be eligible for inclusion in the 2018 Quality Evaluation if, on the PBRF staff-eligibility date, they are on any of the following types of short-term leave:

- › annual leave
- › study leave
- › sabbatical leave
- › sick leave
- › bereavement or tangihanga leave
- › paid parental leave
- › other forms of paid short-term leave.

Staff members on long-term leave on 14 June 2018 will be considered PBRF eligible if the following two criteria are met:

1. their employment agreement requires them to return to their substantive role within one year from the start of their period of absence
2. the staff member recruited specifically to cover their duties in the TEO does not have an EP submitted to the 2018 Quality Evaluation by the TEO.

Long-term leave in the context of the 2018 Quality Evaluation means one or more of the following:

- › unpaid leave of absence
- › secondment
- › unpaid parental leave
- › other forms of unpaid long-term leave.

Secondments under the long-term leave provision refer to internal transfers only (such as within a TEO). A secondment under the long-term leave provision allows staff who are, for example, seconded out of an academic position into a purely administrative role within their TEO to remain eligible to participate in the Quality Evaluation process.

Where staff members are seconded to another TEO or to a non-TEO, the long-term leave criteria do not apply. The home TEO retains any funding and Quality Category results relating to that staff member. Staff members seconded to another TEO cannot be considered eligible at both the home TEO and the host TEO.

To be eligible at both TEOs, a staff member would need to have a separate employment agreement or contract for service with each TEO. See below.

Eligibility of staff members employed by two or more tertiary education organisations or who leave in the year before 14 June 2018

Staff employed concurrently by two or more tertiary education organisations

If a staff member is employed by two or more participating TEOs, and is PBRF eligible at both TEOs, they are referred to as a **concurrently employed staff member**. Funding for that staff member can be shared by both TEOs.

A staff member employed by two or more TEOs but who is only PBRF eligible at one of them can only be counted by the TEO where they are PBRF eligible and is **not** considered a **concurrently employed staff member**.

Submitting data for concurrently employed staff members

The TEO where the staff member has the highest FTE should submit the EP. If the FTE is equal at the two or more organisations, the staff member should choose the organisation through which they submit their EP.

TEOs should record information on any PBRF-eligible staff member who is concurrently employed in their Staff Data file. This will ensure that the TEC can match and proportion funding appropriately.

The Quality Category awarded to a concurrently employed staff member will be reported against the TEO that submitted the EP.

Transferring staff members

PBRF-eligible staff members who leave a participating TEO after 15 June 2017 and are employed by another participating TEO before or on 14 June 2018 are considered **transferring staff members**.

TEOs may be able to share funding for those staff members. In the PBRF funding calculation, transferring staff members are counted according to the relevant proportion of their contribution on an FTE basis for each TEO. The TEC will calculate the effective FTE (E-FTE) based on the information provided by each TEO in the Staff Data file.

The following table shows the proportion of an FTE applying to staff members leaving or arriving at a TEO in the 12 months before 14 June 2018. The same proportions will be applied if a staff member's FTE is less than 1.0.

Month	Proportion of FTE for staff leaving in this month	Proportion of FTE for staff arriving in this month
July 2017	0.08	0.92
August 2017	0.17	0.83
September 2017	0.25	0.75
October 2017	0.33	0.67
November 2017	0.42	0.58
December 2017	0.50	0.50
January 2018	0.58	0.42
February 2018	0.67	0.33
March 2018	0.75	0.25
April 2018	0.83	0.17
May 2018	0.92	0.08
June 2018	1.00	0.00

Submitting data on transferring staff members

Only the TEO that employs the staff member on 14 June 2018 can submit an EP for that staff member. TEOs should, however, include information on any PBRF-eligible staff member who left after 15 June 2017 but before 14 June 2018 in their Staff Data file. This will ensure that the TEC can match and proportion funding appropriately. TEOs should record the entire FTE of the transferring staff member in the Staff Data file, not the percentage based on the table above.

The TEC will apportion time for staff members who have a break in service between positions according to the month in which they left one organisation and commenced employment in the other (so they will count for less than 1.0 FTE).

The Quality Category awarded to a transferring staff member will be reported against the TEO that submitted the EP.

Staff members who are not employed in a participating TEO on 14 June 2018 are not eligible to participate even if they have been employed in the 12 months before that date.

PBRF Staff Data file

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

- › for whom an EP has been submitted for the 2018 Quality Evaluation
- › who are PBRF eligible but left the TEO between 15 June 2017 and 14 June 2018 (potentially transferring staff)
- › who are PBRF eligible and concurrently employed by another TEO at 14 June 2018 that is submitting the EP.

The TEC has developed a detailed PBRF Staff Data file specification document to support the technical aspects of completing this information. The PBRF Staff Data file specification document can be found on the TEC website. This information must be submitted by TEOs through the PBRF IT System by **4.00pm 13 July 2018**.

This information will be used by the TEC to confirm the eligibility of staff and is subject to the TEC's data checking and verification audit.

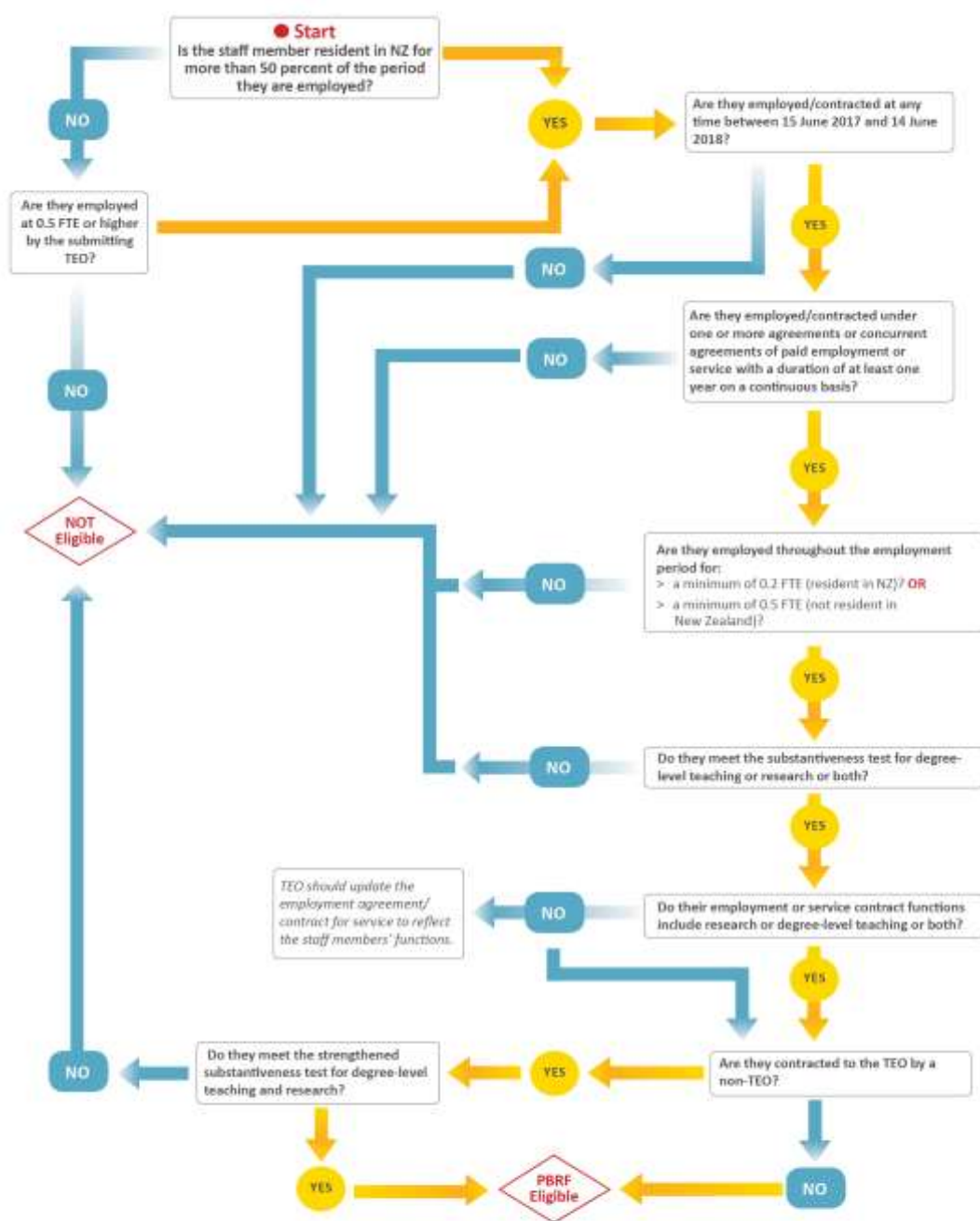
The PBRF Staff Data file will contain the following information for each PBRF-eligible staff member:

- › their National Student Number (NSN)
- › an individual identifier to help the TEO and TEC to identify the staff member
- › their title and name, including their preferred name if they use a different first name
- › their date of birth, gender and ethnicity
- › their FTE
- › their employment start dates and end dates (essential for transferring staff)
- › if they are a new and emerging researcher
- › their nominated academic unit within the TEO.

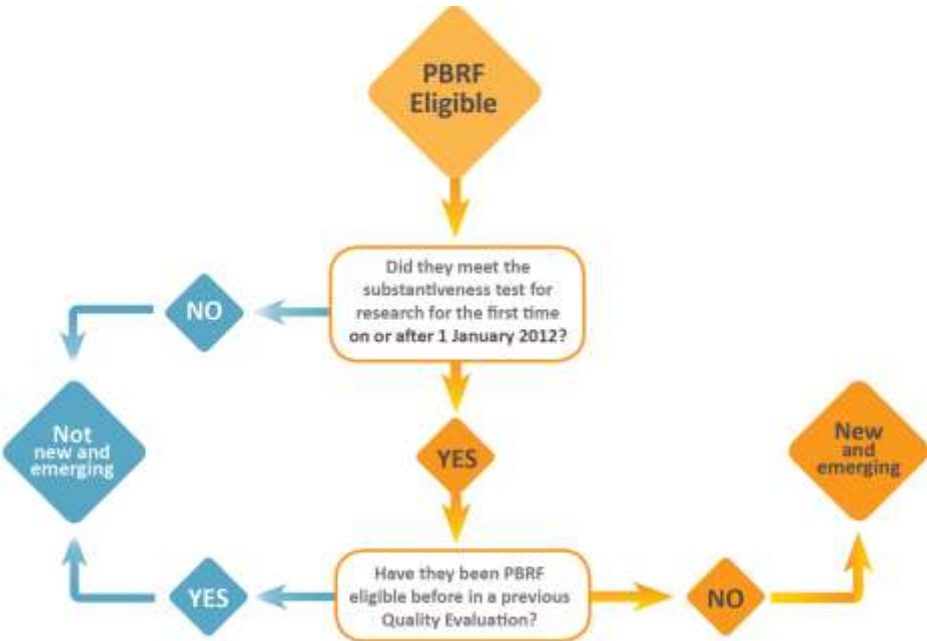


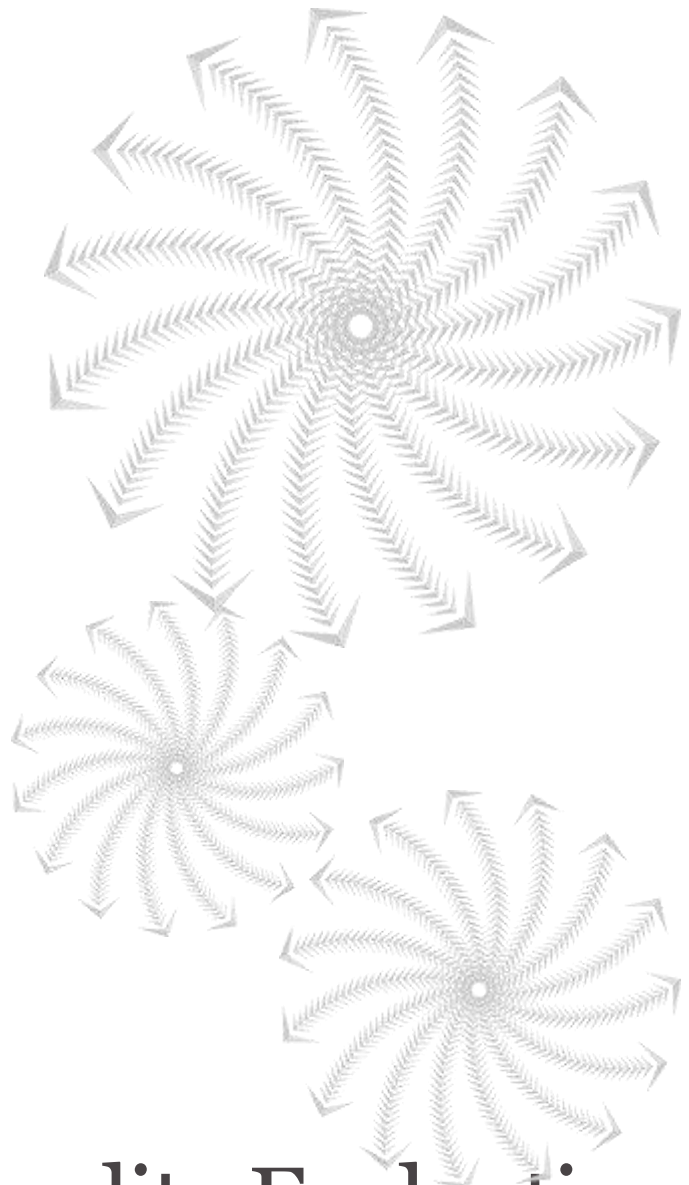
The PBRF Staff Data file replaces the PBRF Staff Census that was submitted in previous Quality Evaluation rounds. The PBRF Staff Data file is submitted to the TEC and collects information that supports the assessment and audit processes.

Staff-eligibility decision tree



New and emerging researcher decision tree





2018 Quality Evaluation

How to complete an Evidence Portfolio

What is an Evidence Portfolio?

An Evidence Portfolio (EP) is the key component of the Quality Evaluation. It contains all the information on the staff member's research and research-related activities that will be assessed by peer review panels.

- › The EP has two main components:
 - the Research Output (RO), which must include at least one and up to four Nominated Research Outputs (NROs) and up to 12 Other Research Outputs (OROs)
 - the Research Contribution (RC), which can include up to 15 items of peer esteem, contribution to the research environment within or outside of academia, and community or end-user impact.
- › The EP can only contain research and research-related activities produced during the 2018 Quality Evaluation assessment period of **1 January 2012 to 31 December 2017**. 'Produced' in this context means that the final version of the research output was first made available in the public domain during the assessment period or that the research-related activity was undertaken during the assessment period.
- › The assessment is primarily based on the quality of the research and research-related activities, and staff members should select their best research outputs and research-related activities completed in the assessment period.
- › Tertiary education organisations (TEOs) submit EPs following their internal processes. The TEC does not require staff members to sign off or approve the content of EPs submitted. Only one EP can be submitted for each PBRF-eligible staff member.
- › Te Reo Māori can be used to complete any or all of the information in the staff member's EP.
- › TEOs must submit EPs to the TEC using the PBRF IT System by **4.00pm 13 July 2018**.

What information is in an Evidence Portfolio?

EPs submitted to the 2018 Quality Evaluation are made up of the following sections:

- › EP Details
- › Researcher Details
- › Panel Details
- › Extraordinary Circumstances:
 - General
 - Canterbury
- › Platform of Research – Contextual Summary
- › RO Component:
 - NROs
 - OROs
- › RC Component.



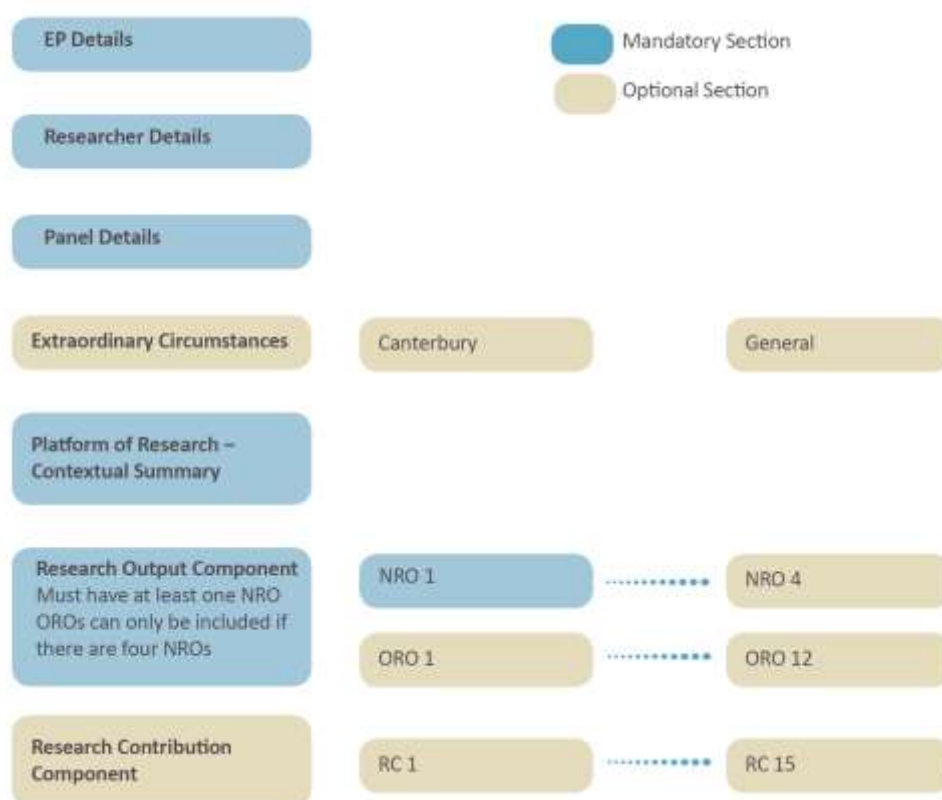
TEOs should note that for the 2018 Quality Evaluation:

- Extraordinary circumstances have replaced special circumstances
- the Platform of Research – Contextual Summary has replaced the Other Comments section
- the Research Contribution component combines, replaces and expands the scope of the Peer Esteem and Contribution to the Research

The following chapters provide information on completing each of the different sections of the EP.

Some sections are optional while other parts are mandatory. This is shown in the diagram below.

Structure of Evidence Portfolios for the 2018 Quality Evaluation



Note: EP = Evidence Portfolio; NRO = Nominated Research Output; ORO = Other Research Outputs; RC = Research Contribution.

Evidence Portfolio and Researcher Details sections

The Evidence Portfolio (EP) and Researcher Details sections contain information that supports the administration and procedural aspects of the Quality Evaluation.

- › The TEC has developed a detailed Evidence Portfolio Schema document to support the technical aspects of completing EPs.
- › The TEC has also developed an EP template that tertiary education organisations (TEOs) can use to help the development and completion of EPs with their staff members.

Completing the Evidence Portfolio Details section

Each EP must:

- › have an individual identifier to help the TEO, the TEC and panellist identify specific EPs
- › identify if the EP contains any Nominated Research Outputs (NROs) that are **confidential research** and confirm that permission has been given to allow the research to be assessed
- › identify if the staff member wants their Quality Category result sent to them by the TEO.

Completing the Researcher Details section

Each EP must have:

- › the staff member's National Student Number (NSN)
- › 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 if they use a different first name
- › the staff member's date of birth.

TEOs should use the staff member's actual date of birth where possible. Where TEOs do not have a staff member's actual date of birth they can use a default date of birth.



Confidential research outputs are research outputs that are not in the public domain in a traditional sense. However, for the purpose of the 2018 Quality Evaluation, the research is considered to be in the public domain when it is accepted by its commissioner. The flag in this section identifies them to the TEC to ensure that the proper process for managing them is followed.

Completing the Panel Details section

Tertiary education organisations (TEOs) must nominate a peer review panel and subject area for each Evidence Portfolio (EP) they submit to the 2018 Quality Evaluation.

- › There are 13 peer review panels in the 2018 Quality Evaluation. Each panel is responsible for assessing a specific subject area or areas.
- › TEOs need to nominate one primary peer review panel. This will be the panel that undertakes the assessment and awards the Quality Category for the EP. This is normally the panel selected by the TEO.
- › Panel Chairs are able to recommend that the TEC transfer an EP to another panel. If this occurs, the TEO will be advised when it receives the results of the Quality Evaluation.
- › TEOs cannot request a cross-referral to another panel.
- › TEOs need to nominate one primary subject area from the 43 PBRF subject areas.
- › Staff members need to provide information on the primary field of research for the Field of Research Description. TEOs need to ensure that this information is succinct and accurately reflects the content of the research in the staff member's EP. This information helps the Chair to assign the EP appropriately.
- › TEOs can complete the Māori Research and/or Pacific Research elements in the Panel Details section of the EP, if the EP contains relevant research but is not being submitted to either of those panels. This information will allow the Chairs of the two panels to decide whether a cross-referral assessment is appropriate.
- › Each panel has developed panel-specific guidelines that provide further advice on the subject areas it expects to assess.

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 – in particular, the subject area or discipline that best matches the Nominated Research Outputs (NROs) selected.

Forty-three subject areas have been identified across the panels, and staff members are required to 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 in an EP involve interdisciplinary research that is covered by more than one panel, the TEO should nominate the panel and the subject area that best matches the majority of the NROs in the EP. In these cases, the TEO should note the interdisciplinary nature of their EP in the Field of Research Description.

What are the peer review panels and subject areas?

The 13 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
Health	Dentistry Nursing Other health studies (including rehabilitation therapies) Pharmacy Sport and exercise science Veterinary studies and large animal science
Humanities and Law	English language and literature Foreign languages and linguistics History, history of art, classics and curatorial studies Law Philosophy Religious studies and theology
Māori Knowledge and Development	Māori knowledge and development
Mathematical and Information Sciences and Technology	Computer science, information technology, information sciences Pure and applied mathematics Statistics
Medicine and Public Health	Biomedical Clinical medicine Public health
Pacific Research	Pacific research
Physical Sciences	Chemistry Earth sciences Physics
Social Sciences and Other Cultural/Social Studies	Anthropology and archaeology Communications, journalism and media studies Human geography Political science, international relations and public



The subject area selected for the EP will be the subject area that the quality score will be reported under on a nationally standardised basis. Research in the area of **design** can potentially be submitted to the Creative and Performing Arts panel (under Design) or the Engineering, Technology and Architecture panel (under Architecture, design, planning, surveying). The panel-specific guidelines for these two panels set out what each panel would expect to see from design research submitted to each of the panels, to help with allocation to one of these panels.



The Field of Research Description is 200 characters long.

Examples of what to put in the field could include simple short statements like:

- viticulture and wine-making
- soil biology
- cross-cultural management and leadership
- history and theory of cinema and theatre.

Longer statements should only be used where necessary, for example, where the NROs in the EP are interdisciplinary or sit in different subject areas.

- The research in the EP crosses two panels. Three NROs relate to cultural identity as part of organisational communications, but one NRO is considered literary arts because it is a fiction novel.
- The research in the EP is interdisciplinary. The research in two NROs relates to veterinary microbiology and public health, while the research in the third NRO relates to public policy and environmental management.

Panel	Subject areas
	policy Psychology Sociology, social policy, social work, criminology and gender studies

The subject area weighting used in the Quality Evaluation funding calculation for EPs submitted to the Māori Knowledge and Development (MKD) Panel and the Pacific Research Panel will reflect the underlying subject of the research, rather than the subject listed in the EP.

The Chair of the relevant panel will advise the Moderators of the appropriate subject area weighting based on the NROs and the Field of Research description section within the EP. The Moderators will review and provide a recommendation to the TEC on the subject area weighting to be applied to each EP.

Completing the Field of Research Description

This information is used by panel Chairs to help with assigning the EP to appropriate panel members. TEOs need to ensure that it:

- › is a succinct and accurate description of the research field for the EP's NROs and the majority of the staff member's research activity **during the assessment period**
- › only contains information that describes the staff member's research at the level of a discipline or sub-discipline (for example, educational psychology, and molecular biology).

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

*If a TEO submits **research in a language other than a New Zealand official language**, it should be clearly indicated in the Field of Research Description. This will assist the Chair with assignment of Evidence Portfolios.*

It is the responsibility of the submitting TEO to ensure that research outputs submitted are accessible to panels for assessment. We do not require a full translation of a research output into English. If a TEO chooses to provide full or part translations, there is no requirement for these to be independently validated.

While some panels may have the capacity and expertise to deal with research in other languages, in particular the Pacific panel, this should not be assumed for all panels. Panels are appointed for their expertise in assessment and their subject area knowledge. Panels are not expected or intended to necessarily have expertise in a range of languages. In addition, the TEC will not organise or fund translation of research outputs for assessment purposes.

Completing the Māori and Pacific Research elements

An important aim of the PBRF is to give due emphasis to research into Māori matters and Pacific matters. This research may acknowledge and recognise different approaches to the research process.

While TEOs cannot request a cross-referral assessment, cross-referrals to the MKD Panel and the Pacific Research Panel can be initiated by the TEO completing the Māori Research element or Pacific Research element of the EP. TEOs may complete both elements if appropriate.

The final decision on whether an EP will or will not be cross-referred lies with the Chair of the MKD Panel or the Chair of the Pacific Research Panel (or both if both elements are completed).

The cross-referral assessment may relate to part of an EP or to specific items within the EP. The Chair will need to advise the cross-referral panel member on what part or parts of the EP should be considered in the assessment. The panel member undertaking the cross-referral assessment must provide a commentary along with the score(s) for their assessment. This commentary must include confirmation of the part(s) of the EP that were assessed and provide a rationale for the component score(s) provided.

Cross-referral assessment to the Māori Knowledge and Development Panel

The MKD Panel will normally assess EPs where there is evidence of research based on Māori world views (both traditional and contemporary) and Māori methods of research.

TEOs and staff members should refer to the MKD panel-specific guidelines on the TEC website for further details on the coverage of this panel.

If the MKD Panel is not selected as the primary assessment panel, the staff member can choose to indicate that their EP contains some research relevant to this panel by completing the Māori Research element of the EP.

(Note: If the MKD Panel is selected as the primary assessment panel, the Māori Research element in the EP should not be completed.)

If this element is completed, the EP will be automatically cross-referred to the MKD Panel. The Chair of the MKD Panel will decide whether the cross-referral assessment will occur or not.

Completing the Māori Research element in the Evidence Portfolio

The MKD Panel will consider cross-referrals of EPs:

- › where they fit or overlap with the description of panel coverage and/or the definition of research in the MKD panel-specific guidelines
- › where one (or more) NRO addresses an issue of importance for Māori and clearly shows evidence of involvement with Māori or is specifically relevant to Māori
- › where they are of such a nature that they are able to contribute to the understanding of issues affecting Māori.

EPs that include a Māori component, for example, in their subject area, but that do not involve Māori methodologies will not be assessed by the panel.

The Māori Research element in the EP allows researchers to complete a comment (500 characters) and reference up to five items in total from the Research Outputs and/or Research Contribution components of the EP relevant to Māori research. Commentary may include research based on Māori world views or Māori methods of research.

This information will help the Chair of the MKD Panel to determine if a cross-referral assessment is appropriate and assign the EP to an appropriate panel member(s).

Cross-referral assessment to the Pacific Research Panel

The Pacific Research Panel will evaluate all EPs where there is evidence of Pacific-based research methodologies and methods that involve Pacific-centred subject matter and impacts on Pacific communities.

If the Pacific Research Panel is not selected as the primary assessment panel, the staff member can choose to indicate that their EP contains some research relevant to this panel by completing the Pacific Research element of the EP.

(Note: If the Pacific Research Panel is selected as the primary assessment panel, the Pacific Research element in the EP should not be completed.)

If this element is completed, the EP will be automatically cross-referred to the Pacific Research Panel. The Chair of the Pacific Research Panel will decide whether the cross-referral assessment will occur or not.

Completing the Pacific Research element in the Evidence Portfolio

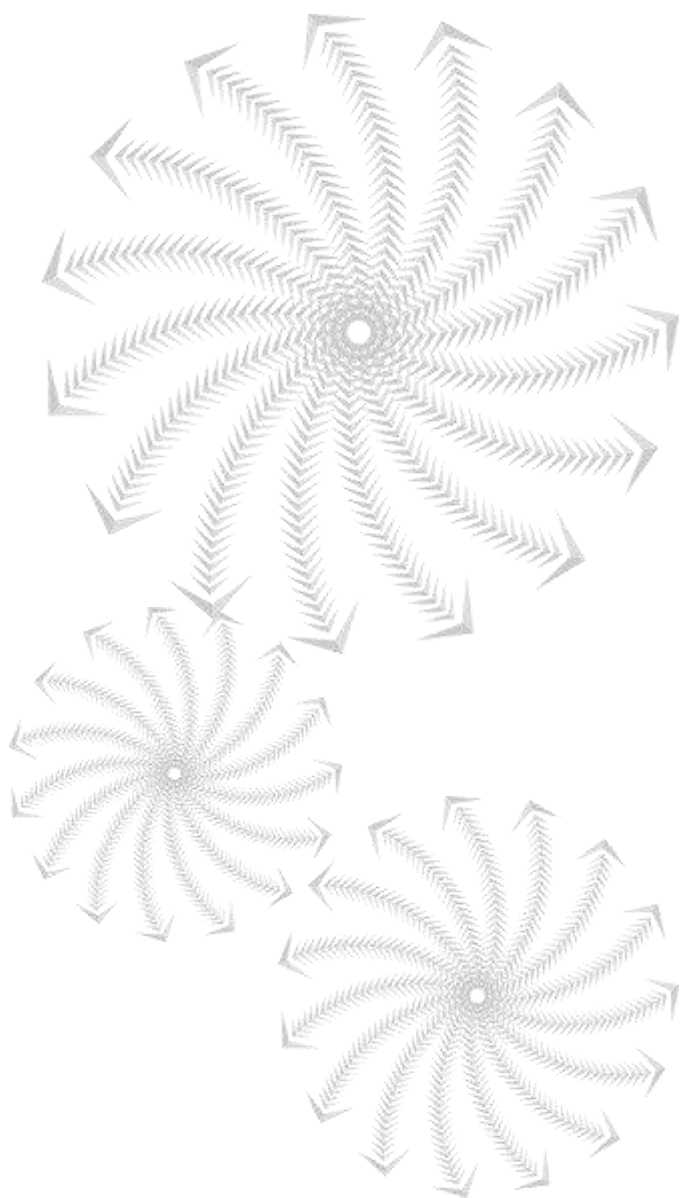
The Pacific Research Panel expects that EPs, where the Pacific Research element in the EP is completed, would contain one or more NROs that:

- › use Pacific research methodologies and methods or involve Pacific-centred subject matter
- › impact on Pacific communities and have significance for the wider community, for example, through influencing the direction of policy or practice
- › is recognised by peers as an important contribution to Pacific knowledge and development, indigenous knowledge and research by indigenous peoples.

TEOs and staff members should refer to the Pacific Research Panel-Specific Guidelines on the TEC website for further detail on the coverage of this panel.

The Pacific research element in the EP allows researchers to complete a comment (500 characters) and reference up to five items in total from the Research Outputs and/or Research Contribution components of the EP relevant to Pacific research.

This information will help the Chair of the Pacific Research Panel to determine if a cross-referral assessment is appropriate and assign the EP to an appropriate panel member(s).



2018 Quality Evaluation

What are research outputs and research contributions?



The Platform of Research – Contextual Summary replaces the Other Comments section of EPs submitted in previous Quality Evaluations. For those staff members undertaking interdisciplinary research, the Platform of Research – Contextual Summary should expand on the Field of Research Description. The Platform of Research – Contextual Summary field is 2,500 characters long.

Completing the Platform of Research – Contextual Summary section

The Platform of Research – Contextual Summary includes information to help panel members to consider the research outputs and contributions presented in the Evidence Portfolio (EP) in the wider context of the individual’s research over the assessment period.

Following the review of the PBRF in 2014, there has been a substantial reduction in the quantity of research outputs and research-related activities that can be submitted in EPs for the 2018 Quality Evaluation. The aim of this is to simplify the Quality Evaluation process.

The Platform of Research – Contextual Summary provides staff members with the opportunity to present the peer review panel with information that will allow it to contextualise the information submitted in the Research Output and Research Contribution components.

The Platform of Research – Contextual Summary should provide the panel with a clear introduction to and overview of the research outputs and research-related activity presented within the EP, and reflects the staff member’s overall platform of research. It should answer the questions: who is the researcher, what are they doing and what is their research?

Staff members should also provide information on their specific research context, which may include for example:

- › the research environment they are working in, such as applied research or professional practice
- › changes in the focus of their research within the assessment period
- › the range of other research outputs completed in the assessment period, but not in the EP, that indicates the breadth or depth, or both, of the research platform
- › employment status, such as part-time employment, becoming research active during the assessment period, or teaching on sub-degree programmes.

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 EPs.

The information in the Platform of Research – Contextual Summary will also support the panel to make judgements about the EP if it requires a detailed review by the panel at the Holistic assessment stage. The Holistic assessment process is primarily for exceptions, for example, where the component scoring may not produce a result that the panel judges correct when all information in the EP is considered together. The Holistic assessment allows the panel to determine which of the available Quality Categories is most appropriate for an EP, by taking all relevant factors into consideration.

Completing the Research Output component

The Research Output (RO) component measures the quality of research by focusing on an assessment of research outputs.

- › The RO component is worth 70 percent of the total score for the Evidence Portfolio (EP).
- › All research outputs must meet the eligibility criteria to be included in an EP. All research outputs will be subject to the TEC's data checking and verification audit.
- › Each EP can contain up to four Nominated Research Outputs (NROs) but must have at least one NRO to be accepted for assessment. An NRO is a research output nominated by the staff member as one of their best outputs. The actual research output must be submitted as evidence (referred to as the Main Research Object) for each NRO. The Main Research Object for each NRO submitted will form the basis of the assessment by panels.
- › Staff members will not be penalised for including fewer than four NROs provided there is at least one NRO in an EP. The reason for having fewer than four NROs can be explained in the extraordinary circumstances section (if it meets the criteria for extraordinary circumstances) or the Platform of Research – Contextual Summary section of the EP. In some cases, both sections may be relevant.
- › Up to 12 Other Research Outputs (OROs) can also be included in the EP, if there are four NROs. Only bibliographic data are required for the assessment of the OROs.
- › Research outputs will be assessed primarily on their quality:
 - all research activity, whether basic, fundamental, strategic, artistic or applied, will be assessed against the same broad indicators of quality
 - all types of research outputs will be considered on their merits – no particular research output will be considered to be of higher quality than any other simply because of its type
 - although formal processes of academic peer review or other forms of quality assurance may provide the peer review panel with some assurance about quality, the absence of such review or other formal mechanisms of quality assurance will not in itself be taken to imply lower quality.
- › Each panel has developed panel-specific guidelines that may provide discipline and/or subject area-specific advice on completing the RO component of EPs.



Staff members may include any research output produced during the assessment period regardless of where they were employed during the assessment period. NROs may relate to one or several different research activities or projects, and staff members may nominate research outputs that relate to different aspects and/or development of the research activity.

Eligibility criteria for research outputs

For a research output to be eligible for inclusion as an NRO in an EP, it must meet **all** of the following three criteria:

1. it meets the requirements for being a research output under the PBRF Definition of Research



Example of eligibility dates for traditional research output types

A journal article where the final version was available online on 30 January 2012 but had an imprint date of 30 March 2012, the eligibility date would be **30 January 2012**.

A journal article where the final version was available online on 30 December 2017 and had an imprint date of 28 February 2018, the eligibility date would be **30 December 2017**.

Example of eligibility dates for non-traditional research output types

An exhibition that opened locally for the first time on 8 October 2011 then opened internationally on 1 May 2017. The date of first public dissemination would be considered to be **8 October 2011**. It would not be eligible for inclusion in the 2018 Quality Evaluation because it is outside the assessment period.

An exhibition that opened locally for the first time on 30 January 2012. The date of first public dissemination would be considered to be **30 January 2012**. If that same exhibition then opened internationally on 1 May 2017 the staff member could submit the international exhibition as their research output, but the production date would remain as **30 January 2012** based on the first public dissemination.

2. the final version of the research output was first made available in the public domain during the assessment period (**1 January 2012 – 31 December 2017**)
3. the actual research output can be submitted for assessment by a peer review panel and audited.

For a research output to be eligible for inclusion as an **ORO** in an EP, it must meet **all** of the following three criteria:

1. it meets the requirements for being a research output under the PBRF Definition of Research
2. the final version of the research output was first made available in the public domain during the assessment period (**1 January 2012 – 31 December 2017**)
3. the actual research output can be audited.

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

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 RO component of an EP (either as an NRO or ORO) when the final version was first made available in the public domain, for example, **published, publicly disseminated, presented, performed or exhibited** during the assessment period of 1 January 2012 – 31 December 2017. 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 2012 or after 31 December 2017 cannot be included for the 2018 Quality Evaluation round.*

Traditional research output types

The National Information Standards Organization (NISO) standards³ 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.

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.

³ 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>.

This also means that, if an output is pre-published on or before 31 December 2011 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 the final version of the output was first publicly available within the assessment period are eligible for submission. This is consistent with the 2012 Quality Evaluation.

Non-traditional research output types

There are three principles that clarify the eligibility of non-traditional 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, 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 outputs 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 Description field for such outputs.



Example of eligibility dates for non-traditional research output types

An exhibition that opened for the first time on 1 October 2011 and ran until 30 January 2013 in multiple locations. The date of first public dissemination would be considered to be 1 October 2011. It would not be eligible for inclusion in the 2018 Quality Evaluation because it was first disseminated outside the assessment period.

If there was significant new research material or aesthetic refinement of the work after 1 January 2012, it could be considered a new research output.

A patent was granted for the first time in New Zealand on 30 June 2012. The date of first public dissemination would be considered to be 30 June 2012. If the patent was then granted in Australia in 2013 and the United States in 2015, the staff member could choose any one of the three granted patents as their research output, but the eligibility would remain as 30 June 2012 based on the first public dissemination.

A patent that was granted on 1 October 2011 in New Zealand and then granted in Australia on 30 January 2013 would not be eligible for inclusion in the 2018 Quality Evaluation. The date of first public dissemination would be considered to be 1 October 2011, which is outside the assessment period. The staff member could include the subsequent granting of the patent in Australia in the Research Contribution component.

Staff members can explain any **variance in dates** for an NRO in the Description field of that NRO. Please note that such an explanation is required only for NROs. It is not required for any of the OROs.

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** should not be considered as evidence of the publication date.

For the avoidance of doubt:

- › a **confidential 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** are not eligible for inclusion unless they include significant new research material. They may be evidence of research-related peer esteem, extended reach or contribution outside academia and can be included within the Research Contribution component.

The **Accepted Manuscripts provision** as it applied to Canterbury Earthquakes special circumstances does not apply in the 2018 Quality Evaluation. Accepted Manuscripts submitted in the 2012 Quality Evaluation under this provision are not eligible for inclusion in the 2018 Quality Evaluation in their final publicly accessible form.

Types of research outputs

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

- › published academic work (for example, books, journal articles, conference proceedings and Master's or doctoral theses)
- › work presented in non-print media (for example, films, videos and recordings)
- › other types of outputs (for example, intellectual property, materials, products, performances and exhibitions).

The key factors are:

- › All research outputs must be eligible to be included in an EP.
- › TEOs need to classify each research output submitted in an EP under one of the 15 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	<p>A major work of research or scholarship. The authors are credited for the entire work, which means authors are not attributed to each chapter and 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.</p> <p>Includes:</p> <ul style="list-style-type: none"> › 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. <p>Excludes:</p> <ul style="list-style-type: none"> › scholarly editions/literary translations (see below) › textbooks with no research component › books published by professional bodies that do not report original 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

Research output type	Description
	<ul style="list-style-type: none"> › translations of the academic's own work by another person › edited volumes › reprints › updates to a part of a loose-leaf treatise.
Chapter in Book	<p>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 and be available for sale. This contribution is complete in itself but is often linked thematically to the other chapters. It is written by a single author or multiple authors who share responsibility for the chapter.</p> <p>Includes:</p> <ul style="list-style-type: none"> › 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. <p>Excludes:</p> <ul style="list-style-type: none"> › forewords › appendices › brief introductions › editorials › scholarly editions/literary translations (see below) › pamphlets › reports for external bodies, such as government departments › translations of an academic's own work by another person › edited volumes › reprints › conference publications.
Conference Contribution – Other	<p>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.</p> <p>Includes:</p> <ul style="list-style-type: none"> › an oral presentation at a conference (or symposium, meeting, workshop, forum or summit of national or international importance), with or without an

Research output type	Description
	<p>accompanying written form</p> <ul style="list-style-type: none"> › 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. <p>Excludes:</p> <ul style="list-style-type: none"> › 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	<p>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 flash drive 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.</p> <p>Includes:</p> <ul style="list-style-type: none"> › 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 flash drive 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. <p>Excludes:</p> <ul style="list-style-type: none"> › papers that are provided only to conference

Research output type	Description
	<p>participants (in whatever format) and not the general public or more widely (for example, available for purchase)</p> <ul style="list-style-type: none"> › unpublished conference presentations.
Creative Work	<p>Outputs resulting from creative practice as research, including the following subtypes.</p> <p><i>Artefact, Object, Craftwork</i></p> <p>Artefacts, objects or craftworks, 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 are: illustration, sculpture, media installations, ceramics, jewellery, metalwork, whakairo, taonga, raranga, or cultural artefacts such as large permanent public sculptures.</p> <p>A collection of artworks displayed together can be entered as Exhibition/Curatorial Exercise.</p> <p><i>Composition</i></p> <p>A published/publicly available score, first performance or first recording by a record label (on CD or DVD) of a musical composition.</p> <p>Includes (but not limited to):</p> <ul style="list-style-type: none"> › compositions created while being played, for example, electronic compositions, jazz improvisation › published/publicly available score › recordings › sound component of a film or video, lyrics, multimedia composition or chant › commissioned works › combinations or developments of the above. <p>Excludes:</p> <ul style="list-style-type: none"> › repeat performance of the same work. <p><i>Design Output</i></p> <p>A creative research/problem-solving output in the form of design drawings, books, models, exhibitions, websites, installations or built works.</p> <p>This can include (but is not limited) to:</p> <ul style="list-style-type: none"> › fashion/textile design › graphic design › interior design › other designs

Research output type	Description
	<ul style="list-style-type: none"> › industrial design › architectural design › multimedia design. <p><i>Dramatic and Literary Texts</i></p> <p>A work of creative prose, poetry, dramatic text or a literary essay.</p> <p>Includes (but not limited to):</p> <ul style="list-style-type: none"> › novel/creative non-fiction – a published prose narrative of considerable length › play – a published/publicly available script, first performance or first distributed recording of a play written (or co-written) by the author › poetry – a published poem or collection of poems, or a poetry recital where the work is new › screenplay – a published/publicly available screenplay, first public showing of the related film written (or co-written) by the author › short fiction/creative non-fiction or essay – a shorter work of short fiction/creative non-fiction, or a published essay › a short literary composition on a particular theme or subject, usually in prose and generally analytic, speculative or interpretative. <p><i>Exhibition/Curatorial Exercise</i></p> <p>A display of a researcher's 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). The objects may have historical, cultural or scientific importance, or alternatively possess aesthetic qualities or extraordinary characteristics.</p> <p>Includes:</p> <ul style="list-style-type: none"> › artwork exhibited in regional, national or international galleries, in dealer galleries or other sites of public presentation › artwork publicly presented in the form of site-specific exhibitions, installations, actions, interventions, performances › commissioned artworks included in an exhibition as part of a biennale, national or international festival or other recognised art events. <p><i>Film/Video</i></p>

Research output type	Description
	<p>Research, creative or scholarly works in audio-visual form and likely to be first presented in a cinema, on television or online.</p> <p>Includes (but not limited to):</p> <ul style="list-style-type: none"> › ethnographic films › audio-visual presentations of dynamic research output (for example, in fluid mechanics, robotics, visual motion, workplace relations, conference presentations, a guide to collected sound recordings) › original work in film, television, multimedia › documentaries › screenings online or at festivals, theatres, galleries or other public venues › original contributions to cinematography, sound design, art direction, production and post-production, direction and other areas of specialty. <p>Excludes:</p> <ul style="list-style-type: none"> › appearances in commercial programmes, documentaries or interviews unless they contain research. <p><i>Performances</i></p> <p>A live or recorded performance (by, for example, an actor, musician, dancer, conductor).</p> <p>Includes (but is not limited to):</p> <ul style="list-style-type: none"> › 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 › production of an audio/visual medium (such as CD or DVD recording) › mōteatea, oriori, haka, whaikōrero orations or waiata-a-ringā › artistic direction of a staged production › advisor roles in a theatre production (for example, design, dramaturgy). <p>Excludes:</p> <ul style="list-style-type: none"> › radio or television interviews › appearances in documentaries.
Discussion/Working	A paper published, circulated or presented for discussion amongst peers (or that seeks public input on ways to

Research output type	Description
Paper	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	<p>An edited volume is a published collection of chapters, conference papers, articles or essays by different authors, which have been compiled 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). 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.</p> <p>Excludes regular editorial work as a member of an editorial board, which should be listed as a research contribution.</p>
Intellectual Property	<p>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.</p> <p>Excludes:</p> <ul style="list-style-type: none"> › 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.
Journal Article	<p>A substantial work of scholarship published in a scholarly journal that has an ISSN and would normally be peer reviewed.</p> <p>Includes:</p> <ul style="list-style-type: none"> › 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. <p>Excludes:</p> <ul style="list-style-type: none"> › addenda to previous published journal articles › articles designed to inform practitioners in a

Research output type	Description
	<p>professional field, such as a set of guidelines or the state of knowledge in a field unless it clearly contains new research findings</p> <ul style="list-style-type: none"> › 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. <p>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.</p>
Oral Presentation	<p>An oral research or scholarly presentation delivered at an event or venue that is not considered a conference. The event where presented must be arranged for the dissemination of academic research or discussion.</p> <p>Includes:</p> <ul style="list-style-type: none"> › 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 reading of author's own work.
Other Form of Assessable Output	<p>Outputs that meet the <u>PBRF Definition of Research</u> but do not fit into other categories. This category is only used if the output fits none of the others. Outputs must be underpinned by research and while they may be included in the list of potential outputs this does not mean that they will automatically meet the PBRF Definition of Research. Staff member's categorising NROs under Other Form of Assessable Output must provide an explanation of the research component in the Description field and may want to explain why this was the most appropriate form for the research.</p> <p>Includes, but not limited to:</p>

Research output type	Description
	<ul style="list-style-type: none"> › 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.
Report	<p>A published document that has been commissioned, written by an individual or jointly by several authors and details the results of a research project. Alternatively, it may explore a technical/scientific 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, local or national governments, United Nations or non-governmental organisations; reports written for, on behalf of, or in partnership with, iwi and hapū.</p> <p>Excludes:</p> <ul style="list-style-type: none"> › 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	<p>An edition of another author's original work/body of works informed by critical evaluation of the sources (such as, earlier manuscripts, texts, documents and letters) often with a scholarly introduction and explanatory notes or analysis on the text and/or original author. This edition may include a translation of the original text(s) as well as significant literature containing interpretations of the text</p>

Research output type	Description
	<p>and/or original author and their context.</p> <p>Includes:</p> <ul style="list-style-type: none"> › critical scholarly texts (for example, music, medieval or classical texts).
Software	<p>Originally researched, created and published 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.</p> <p>Includes:</p> <ul style="list-style-type: none"> › operating systems › utilities › application programs › interactive multimedia › video games › logic systems. <p>Excludes:</p> <ul style="list-style-type: none"> › 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	<p>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.</p> <p>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.</p> <p>Other relevant professional qualification thesis.</p> <p>Excludes:</p> <ul style="list-style-type: none"> › honorary doctorates › Master's courses or papers of less than 90 points (for example, research project, dissertation).

Quality assurance

Each eligible research output included in the RO component must be 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 or publishers
- › 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 Description 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 NRO may be subject to greater scrutiny by the panel than a quality-assured NRO.



Successful completion of the relevant quality-assurance processes is not an eligibility criterion for research outputs.

This means that, for example, a book that successfully completed a quality-assurance process by 31 December 2017, but was not available in its final form in the public domain until 30 March 2018, would not be eligible for inclusion in an EP (as either a quality-assured research output or a non-quality-assured research output).

Panel-specific guidelines also include information on the expected quality-assurance processes for research outputs.

*For the 2018 Quality Evaluation, **granted patents** are considered to be quality-assured research outputs.*

*A research output can be reviewed in the public domain **after** it becomes available. However, this type of review does not mean that the research output is quality assured.*

*Staff members need to clearly differentiate between a **pre-publication or production review** that results from a formal quality-assurance process for a research output and a **post-publication or production review**.*

Post-publication or production reviews and invitations to review research outputs that are in the public domain can be submitted in the Research Contribution component of the EP.



Examples of Individual Contribution statements

I designed, performed and analysed experiment 1. ABC conceived and coordinated the study and wrote the paper. EFG designed, performed and analysed experiment 2. HIJ provided technical assistance and prepared all figures. All authors reviewed the results and approved the final version of the article. I identified the research question and developed the methodology. ABC is a graduate student who assisted in collecting relevant materials for analysis and assisted in drafting the chapter, though I was the lead author. DEF is a statistician who provided statistical advice. I am the sole author of the work.

Outputs involving joint research

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 PBRF 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 Nominated Research Output

Researchers must 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 NRO. If this exceeds the 2,000 character limit then a record of the number of other authors or producers should also be included in the Author field.

Submitting joint research outputs

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

Outputs with similar content

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

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



Co-authorship

describes a situation in which a research output has more than one author and normally applies to written outputs, such as journal articles, books and conference papers.

Co-production

describes a situation where more than one person produces a research output. It applies more generally to outputs that reflect creative and artistic works, such as a performance, composition, design, exhibition, film and buildings.

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 description field of the relevant research outputs.

Information required in an Evidence Portfolio about a Nominated Research Output

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

NRO field	Information required	Character limit
Research Output Type	Chosen from the list of 15 research output types.	N/A
Order of Assessment	<p>A number from 1 to 4 to specify the order in which the NROs will be presented for assessment.</p> <p><i>NROs should be ordered in the EP in accordance with the staff member's preference.</i></p> <p><i>The order submitted by the TEO will be how the panel member sees the research outputs when they assess the EP.</i></p>	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
Year Available	The year that the output was produced (2012 – 2017 inclusive).	N/A
Output Source	<p>Bibliographic information that can be used to identify where an item is published or made available.</p> <p>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.</p> <p>Which edition of a book should also be included, if an earlier edition was assessed in a previous Quality Evaluation.</p>	1,000
Individual Contribution	<p>Researchers must provide a clear description explaining their substantial and distinctive contribution.</p> <p><i>Qualitative descriptions will give panels the detailed information they need to assess an</i></p>	1,050

NRO field	Information required	Character limit
	<i>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.</i>	
Description	<p>A comprehensive description of the nature and significance of the output.</p> <p>Why the output has been selected as one of the best four produced during the assessment period.</p> <p>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.</p> <p>If necessary:</p> <ul style="list-style-type: none"> – 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 (for example, where it is a textbook) – a brief description of the new research material or aesthetic refinement undertaken during the assessment period where there is an earlier version of the output. <p>Any other information specific to the research output type.</p>	1,000

The information in the Title field and the Output Source field for NROs can include a translation into English if required.

Information required in an Evidence Portfolio about an Other Research Output

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

ORO field	Information required	Character limit
Research Output Type	Chosen from the list of 15 research output types.	N/A
Order of Assessment	<p>A number from 1 to 12 to specify the order in which the OROs will be presented for assessment.</p> <p><i>OROs must be clustered by research output type. The ordering of ORO types and the ordering of the OROs within each type will be in accordance with the staff member's preference.</i></p> <p><i>The order submitted by the TEO will be how the panel member sees the research outputs when they assess the EP.</i></p>	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 Details/Description	<p>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).</p> <p>No additional comments outside the scope of this, such as information on the quality or significance, can be included.</p>	1,000

The information in the Title field and the Bibliographic Details/Description field for OROs can include a translation into English if required.

Assessing Nominated Research Outputs

TEOs are required to ensure that:

- › all NROs listed in an EP are available for assessment by a panel
- › the actual research output is provided as evidence for this assessment.

The specific evidence requirements for assessing research outputs are detailed in the table later in the section.

Submitting evidence of the Nominated Research Output

The evidence of the actual research output can be in physical or electronic form. The EP requires TEOs to identify how the actual research output (main research object) is being supplied. TEOs must 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
- › a **physical version** of the research output to be assessed if requested by the panel member. TEOs must also provide the physical location of the research output if they choose this option.

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.

TEOs must do the following:

- › make every effort to ensure that NROs are digitally available whenever possible. The TEC and panels strongly recommend that TEOs provide digital versions of books, other text-based outputs, photographs, videos or whatever other digital forms are suitable to allow assessment of the NRO
- › ensure any large video or sound files are identified. This will allow the panel members accessing the NRO to make sure they have high-quality internet access and latest versions of relevant software
- › ensure that if a direct link is provided to an NRO, 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 NRO**, 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 NRO. Accepted Manuscripts are not eligible NROs in their own right.

TEOs must take all reasonable steps to ensure that any URI supplied that links to a website or an external file store will remain a usable link to the NRO throughout the period of assessment.

*The following **URI formats** are acceptable:*

- **[NRO Location and Name]**

*This shows that the NRO was **uploaded to TEC's filestore**.*

- **http:// [NRO Location and Name]**

*This shows that the **direct link** to the NRO is a non-secure publicly available web location.*

- **https:// [NRO Location and Name]**

*This shows that the **direct link** to the NRO is a secure publicly available web location.*

- **ftp:// [NRO Location and Name]**

*This shows the **direct link** to the NRO is a publicly available FTP location.*

More information on the technical aspects of submitting evidence of NROs can be found in the Evidence Portfolio Schema Definition document on the TEC website.

Evidence of Nominated Research Outputs and copyright

The TEC has a copyright agreement through [Copyright Licensing New Zealand](#). This agreement allows panel members to access, copy and reproduce NROs provided by the TEOs, for the purposes of the PBRF 2018 Quality Evaluation only, without breaching copyright. All TEOs participating in the 2018 Quality Evaluation will have a similar agreement with Copyright Licensing New Zealand. Any TEO that does not have an agreement in place will need to contact Copyright Licensing New Zealand.

For some output types, such as film, music or games, TEOs will need to review other copyright agreements they hold. While the Copyright Act 1994 does allow for 'fair dealing' of copyright material in the case of review, these agreements may also allow sharing of segments of the output. TEOs need to consider these agreements when producing their NRO evidence. If segments of an output are allowed, then it is important that the segment(s) are carefully chosen to effectively showcase the salient research aspects of the output.

Storing electronic documentation

Some subscription agreements require users to store publications in a dark archive.⁴ TEOs can meet this requirement by storing research outputs in a secure repository accessible only to the TEO staff responsible for maintaining the

⁴ A dark archive in this context is a data storage archive where access to the data is limited to a set of a few individuals. The TEC's PBRF IT System is a dark archive because access is restricted by the TEC and the Ministry of Education, with logins only given to the TEO staff involved in coordinating their organisation's participation in the PBRF Quality Evaluation. The wider academic staff at individual TEOs cannot access any of the information uploaded to the PBRF IT System.

repository before transfer to the PBRF IT System (which is also a dark archive). TEOs must ensure that appropriate safeguards are in place to prevent any unauthorised access.

At the conclusion of the 2018 Quality Evaluation, all electronic copies of NROs held by either panellists or within the TEC's PBRF IT System will be destroyed. Physical copies will be returned to the TEO where requested.

Sharing electronic documents

Some TEOs may have other subscription agreements with individual publishing houses that may prohibit certain activities, for example, storing any archive of information in electronic form that could be used for a research application. TEOs should discuss their subscription agreements with the publishing houses if they have any concerns because these are likely to be contractual rather than copyright issues.

If TEOs are unable to resolve these types of concerns, possible options for providing evidence of NROs for the 2018 Quality Evaluation include but are not limited to:

1. TEOs obtaining electronic versions of NROs directly from the authors. These can be stored in a dark archive as discussed above until uploaded to the PBRF IT System.
2. If this is not possible, then some subscription agreements allow the TEO to source these research outputs, for example, through their libraries, and upload them to the PBRF IT System since it is a one-off assessment exercise and the documents will not be accessible to the wider academic staff. TEOs will need to review the terms and conditions of relevant agreements.
3. If there are no other options then TEOs will need to provide physical copies of NRO evidence to the TEC on request as occurred during previous Quality Evaluations.

TEOs should contact [Copyright Licensing New Zealand](#) if they require a copyright agreement or have questions about their copyright agreement.

Managing confidential research outputs

Confidential research outputs (for example, research outputs not considered as being in the public domain in a traditional sense) may be listed in an EP if the staff member and TEO can arrange all necessary permissions and make any other arrangements for panel members to access and assess those listed as NROs. They must also make it possible for the TEC to audit any research outputs as required.

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

- › commercially sensitive research reports
- › research and evaluations for government agencies that have not been released to the public
- › research for iwi, hapū or whānau that includes material relating to confidential and culturally significant knowledge.

Confidential NROs can only be identified as a **physical version** of the research output to be assessed. The TEO must provide a hard copy or put them into USB



All panel members are bound by confidentiality agreements, and the TEC will ensure that any confidential research is managed appropriately by panel members.

flash drive format and courier them to the TEC. Confidential NROs cannot be emailed.

If the actual research output identified as confidential research cannot be provided for either assessment or audit, it cannot be included in the EP.

Providing physical versions of Nominated Research Outputs for assessment

If the TEO decides to provide a physical version of an NRO for assessment, this must be 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 NRO.

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

- › The TEO must provide the NRO to the TEC within 10 working days of receiving the request. If the NRO is not received within 10 working days the NRO will not be considered in the panel's assessment of the EP.
- › The TEO will pay the cost of supplying a requested NRO to the TEC.
- › TEOs must indicate whether copies of NROs they provide to the TEC need to be returned to them. The TEC will meet the costs of returning requested NROs to the TEO.
- › The TEC will insure a requested NRO 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 NROs that it values in excess of \$200.
- › If an NRO 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 an NRO is lost in transit to the TEC, the TEO should pursue a claim through the courier company concerned.

Forms of evidence required for assessing and auditing research outputs

Evidence of research outputs may be required for assessment or audit purposes or both.

- › Evidence of NROs is required for assessment and audit.
- › Evidence of OROs is required for audit only.
- › Information on the form of evidence required is provided by research output type, and other forms of evidence may be acceptable if agreed by the TEC.

Assessment of Nominated Research Outputs

Copies of NROs are required to allow a panel to assess the quality of those NROs. Panels are expected to examine a proportion of NROs so that assessment of quality is based on the quality of the output itself. Without this expectation, panels would be reliant solely on proxies for quality, such as venue and citation information. The actual research that makes up the NRO must be available in a form that allows panels to make a fair assessment of the quality. For example, a reviewer would not be able to assess the quality of a book only on the basis of a table of contents and bibliographic information.

Audit of Nominated Research Outputs

There are minimum audit evidence requirements for the audit of an NRO or ORO. Evidence of publication and public dissemination details must be available for any research output listed as an NRO or ORO. This must include independent evidence of key factors, such as date of publication (such as, evidence that it was in the public domain for the first time within the review period) and authorship or producer (such as, evidence that the person claiming the output is indeed an author or producer and that any co-authors or co-producers are correctly identified). Other factors, such as pagination or venue, will be important for different research output types.

Evidence required for assessment and audit

Evidence for Nominated Research Outputs

In many cases, the evidence required for assessment AND audit can be met by a single item or file (for example, books usually contain an imprint showing publication date, authorship, title, place of publication and pagination). In other cases, the full copy of the research provided may meet the needs of panel reviewers assessing quality, but not the needs of auditors confirming eligibility. For instance, a journal article may provide the content, but either has no evidence of the date of publication or there is a variance in the dates (such as, an earlier online publication date when compared with the imprint date relating to the physical publication). In this case, further evidence would be required. This could be in the form of a copy of the page(s) of the output, which provides evidence of publication details (for example, date, title, authorship and pagination), or some other form of independent evidence (such as, a library catalogue listing), and would need to accompany the full copy of the output.

Evidence for Other Research Outputs

For OROs, a full copy of the research is not needed, but confirmation of an ORO's eligibility is needed. For example, if a chapter in a book is claimed as an ORO, a copy of the pages of the book that provide evidence of the chapter's bibliographic details would be required for audit.

Research output evidence requirements

Research output type	NRO evidence for assessment by panels	Information for auditing NROs and OROs	Examples of acceptable forms of evidence for auditing
Authored Book	Main research object Electronic copy (preferred) or print copy of the Authored Book.	Independent* evidence of: <ul style="list-style-type: none"> › date of publication › authorship › pagination › title › publisher. <p>*Note 'independent' means a source other than the person who is claiming the output. In the case of a book, a full copy of the book confirming all the details would be considered independent evidence.</p>	Documentation that confirms the details listed as information required for auditing NROs and OROs, such as: <ul style="list-style-type: none"> › an electronic copy of the book's title page and bibliographic details › a library catalogue record › a letter from the publisher.
Chapter in Book	Main research object Electronic copy (preferred) or print copy of the Chapter in Book.	Independent evidence of: <ul style="list-style-type: none"> › date of publication › authorship › pagination › title of chapter › title of book › publisher. 	Documentation that confirms the details listed as information required for auditing NROs and OROs, such as: <ul style="list-style-type: none"> › an electronic copy of the book's title page and bibliographic details › a library catalogue › a letter from the publisher.
Conference Contribution – Other	Main research object Electronic copy (preferred) or print copy of the Conference Contribution (if available).	Independent evidence of: <ul style="list-style-type: none"> › date of presentation /publication › authorship › pagination › title of paper › title of proceedings › publisher › editors (where appropriate). 	Documentation that confirms the details listed as information required for auditing NROs and OROs, such as: <ul style="list-style-type: none"> › conference programme › letter from conference organisers.
Conference Contribution – Published	Supporting information An electronic copy of the proceeding's title page, contents page(s) and bibliographic details (including,	For Conference	

Research output type	NRO evidence for assessment by panels	Information for auditing NROs and OROs	Examples of acceptable forms of evidence for auditing
	<p>author(s), editor(s), publisher and publication date) if not included in the copy of the Conference Contribution.</p> <p>A video or audio recording may be supplied if available.</p>	<p>Contribution – Other, the listing of the output in conference handbook, programme or website, along with date and authorship would be applicable. TEOs may also need to verify, on request of the auditors that an output listed as Conference Contribution – Other occurred. For example, if a staff member withdraws without presenting at the conference, they may be named on the programme but the output itself would not have occurred.</p>	
Creative Work	<p>Artefact, object, craftwork</p> <p>Main research object One or more of the following forms are acceptable:</p> <ul style="list-style-type: none"> › photograph(s) › audio or video recording › the physical artefact, object or craft item (if there is no alternative). <p>Supporting information Researchers may provide written documentation on how the work involves research and technical information that would help a panel assess the work.</p> <p>An electronic copy of any independent associated written documentation must be</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › authorship or contribution › date of work's first public availability › venue. 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › programme › letter from gallery › press story or review.

Research output type	NRO evidence for assessment by panels	Information for auditing NROs and OROs	Examples of acceptable forms of evidence for auditing
	<p>provided as supporting evidence. This should include creator(s), names of galleries/venues and locations, opening and closing dates, and co-exhibitors where applicable.</p> <p>If the physical artefact, object or craft item is to be submitted, the TEO must seek agreement for its submission from the TEC and the relevant panel Chair. An artefact would be accepted only if it is compact and easily transportable.</p>		
	<p>Composition</p> <p>Main research object</p> <p>One or more of the following forms are acceptable:</p> <ul style="list-style-type: none"> › musical score as electronic copy (preferred) or print copy, in most cases it is essential to provide a score › audio recording, in the case of an electroacoustic composition, a recording is mandatory and a score or equivalent is optional › if the composition is part of an exhibition, visual documentation such as photographs or video › if the composition is part of a film, a copy of the film (or film clip). 	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › authorship or contribution › date of work's first public availability › length › venue (for performances) › publisher (for scores). 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs.</p>

Research output type	NRO evidence for assessment by panels	Information for auditing NROs and OROs	Examples of acceptable forms of evidence for auditing
	<p>Supporting information</p> <p>Explanatory notes and electronic documentation that includes the composer, title of the composition and date of first performance.</p>		
	<p>Design output</p> <p>Main research object</p> <p>One or more of the following forms are acceptable:</p> <ul style="list-style-type: none"> › plans and working drawings › computer model › animation of model output › photograph or digital image › video recording › interactive and active website, including downloads › electronic copy (preferred) or print output, for example, journal article, conference paper. <p>Physical models may not be submitted.</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date publicly available (opening and closing dates if applicable) › authorship/contribution › venue (for example, where published or made available) › sponsor or commissioner if applicable › scale, if this is claimed as an indicator of quality in the EP. 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs.</p> <p>Depending on where design was published, one or more of the following may be acceptable:</p> <ul style="list-style-type: none"> › If published in a book: copy of imprint, table of contents and so on, or a catalogue entry. › If exhibited: exhibition programme or letter from a gallery. › A letter from a sponsor or commissioner confirming details listed under 'details which need to be verified' column.
	<p>Exhibition/curatorial exercise</p> <p>Main research object</p> <p>A video or documentary photographs of the exhibition.</p> <p>Supporting information</p> <p>Electronic copies of</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date publicly available (opening and closing dates if applicable) › authorship/contribution 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › catalogue or

Research output type	NRO evidence for assessment by panels	Information for auditing NROs and OROs	Examples of acceptable forms of evidence for auditing
	<p>accompanying publications including lists of works, room brochures and exhibition catalogues.</p> <p>An electronic copy of any independent associated written documentation. This must include the creator(s), dates of the exhibition, title of the exhibition and venue(s).</p> <p>If not included in the Description section of the EP, the written documentation must also comment on the scale and complexity of the exhibition and, if touring, the extent of the tour (national, international, number of venues and length of tour).</p>	<ul style="list-style-type: none"> › venue (for example, gallery) › sponsor or commissioner if applicable › scale, if this is claimed as an indicator of quality in the EP. 	<p>similar documentation</p> <ul style="list-style-type: none"> › a letter from a sponsor or commissioner › letter from gallery › press story or review.
	<p><i>Dramatic and literary texts</i></p> <p>Main research object Electronic copy (preferred) or print copy of the output.</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date of publication › authorship › pagination › title › publisher. 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › an electronic copy of the output's bibliographic details › a library catalogue record › a letter from the publisher.
	<p><i>Film/video</i></p> <p>Main research object A copy of the film or video (either whole or relevant parts).</p> <p>Supporting information An electronic copy of any independent</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date of release or broadcast › broadcaster › creator(s) and role(s) (for example, evidence that the person 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › a catalogue listing

Research output type	NRO evidence for assessment by panels	Information for auditing NROs and OROs	Examples of acceptable forms of evidence for auditing
	<p>associated written documentation. This must include the creator(s), date of release or broadcast, role or roles, duration, basis of funding, commissioning body and distributor or broadcaster.</p> <p>If not included in the Description section of the EP, the written documentation must also comment on the scale and complexity of the film or video.</p>	<p>claiming the work was involved, and any co-contributors are adequately listed)</p> <ul style="list-style-type: none"> › duration. 	<ul style="list-style-type: none"> › a letter from the broadcaster.
	<p>Performance</p> <p>Main research object</p> <p>One or more of the following forms are acceptable:</p> <ul style="list-style-type: none"> › audio or audio-visual recording › transcription, script or score › attestation of performance or associated written documentation, where appropriate, to authenticate a performance or describe the research. <p>Supporting information</p> <p>Electronic copies of accompanying independent publications including programmes.</p> <p>An electronic copy of any associated written documentation. This must include the performer(s), performing forces, date(s) of performance, title, venue(s), location</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date (including opening and closing dates if applicable) › role of person claiming performance as a research output › venue/location › basis of funding, if this is claimed as an indicator of quality in the EP › scale, if this is claimed as an indicator of quality in the EP. 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › theatre programme › letter from producer › press story or review.

Research output type	NRO evidence for assessment by panels	Information for auditing NROs and OROs	Examples of acceptable forms of evidence for auditing
	<p>and basis of funding.</p> <p>If not included in the Description section of the EP, the written documentation must (where appropriate) also comment on whether it was a self-promoted concert or given under the auspices of an organisation (to be named), and whether it was recorded for broadcast or for commercial release (for example, a comment on the scale and complexity of the performance).</p>		
Discussion/ Working Paper	<p>Main research object</p> <p>Electronic copy (preferred) or print copy of the discussion or working paper.</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date › authorship › title › pagination › venue (if applicable). 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › an electronic copy of paper's title page and bibliographic details › a catalogue entry.
Edited Volume	<p>Main research object</p> <p>Electronic copy (preferred) or print copy of the edited volume.</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date › editorship › publisher › title › pagination. 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › an electronic copy of the book's title page and bibliographic details › a library catalogue listing › a letter from the publisher.

Research output type	NRO evidence for assessment by panels	Information for auditing NROs and OROs	Examples of acceptable forms of evidence for auditing
Intellectual Property	<p>Main research object</p> <ul style="list-style-type: none"> › Electronic copy (preferred) or print copy of the supporting documentation submitted for trademark or patent registration, such as a copy of the patent application form showing the name(s) of the inventor(s); and › the letter confirming the granting of the patents or trademark including the date the patent or trademark was granted. 	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date › role (for example, inventor) › granting of patent or trademark. 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › letter from granting body › official online listing.
Journal Article	<p>Main research object</p> <p>Electronic copy (preferred) or print copy of the journal article.</p> <p>Supporting information</p> <p>An electronic copy of the journal's bibliographic details (including volume and publication date) if not included in the copy of the journal article.</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date › authorship › title › pagination › journal title. 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › an electronic copy of the journal's bibliographic details or contents page, or both (where applicable) › a record on the journal's web page listing › a record in a major bibliographic database source such as Web of Science.

Oral Presentation	<p>Main research object</p> <p>One or more of the following forms are acceptable:</p> <ul style="list-style-type: none"> › transcription in book, journal, conference proceedings, working paper, slides or presentation file, or other output › audio or visual recording of the presentation, or both. <p>Supporting information</p> <p>An electronic copy of any independent associated written documentation. This must include the presenter(s), date of the presentation and venue.</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date › presenter › venue › title. 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › letter from venue or organiser › press story or review › electronic copy of attestation by a scholar of acknowledged reputation, either in New Zealand or elsewhere (for example, the scholar may be an eminent kaumātua or an academically credentialed expert).
Other Form of Assessable Output	<p>For any other research output that is not listed above, the onus is on the staff member to provide research outputs in a form that can be appropriately assessed by the panel.</p> <p>The forms of evidence submitted for other research output types are acceptable. TEOs will need to consider which type most closely aligns to the NRO to be submitted. If the TEO intends to submit a form of evidence not used for another research output type then it must receive approval from the TEC before submission.</p> <p>Staff members should provide electronic copies of any written documentation or commentary that demonstrates the</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date › contribution › venue/publication details/place where made publicly available. 	<p>For any other research output that is not listed above, the onus is on the staff member to provide research outputs in forms that can be reviewed by an auditor to verify that the information in the EP is correct and the output meets the PBRF Definition of Research.</p>

	presented outputs fall within the PBRF Definition of Research and the quality-assurance process where applicable.		
Report	<p>Main research object</p> <ul style="list-style-type: none"> › Electronic copy (preferred) or print copy of the report, which includes title page, authorship details and delivery or completion date. › An electronic copy (preferred) or print copy of commentary, peer review or similar quality-assurance report from the commissioning body where the research output has been identified as Quality Assured. <p>Supporting information</p> <p>An electronic copy of the request from the commissioning body for the report.</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date › authorship › title › pagination › commissioning body where appropriate. 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › letter from commissioning body. › letter from sponsoring organisation › online record on web page of commissioning body › library catalogue record.
Scholarly Edition/ Literary Translation	<p>Main research object</p> <ul style="list-style-type: none"> › Electronic copy (preferred) or print copy of the scholarly edition/literary translation; and <p>Supporting information</p> <ul style="list-style-type: none"> › An electronic copy (if a book or section of a book) of the book's title page, contents page(s) and bibliographic details (including editor(s), publisher and publication date); or › An electronic copy (if a journal article) of the journal's contents page and bibliographic details (including volume and publication date). 	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date of publication › authorship › pagination › title › publisher. 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › an electronic copy of the book's title page and bibliographic details › a library catalogue › a letter from the publisher.

Software	<p>Main research object</p> <p>Evidence in relation to software should address the uniqueness, impact and innovative nature of the development, rather than supplying the software itself.</p> <p>Supporting information</p> <p>If a view of the software in operation would help in the panel's assessment, a walk through in AVI format with voiceovers or text overlays to identify or emphasise any significant features of the software's operation is recommended.</p> <p>If software that will need to be installed by the reviewer is submitted, all of the following must be supplied:</p> <ul style="list-style-type: none"> › a copy of the software in a format that allows for installation – this will need to be referenced as a URI to an external repository or site (the TEC does not allow for executable or zip files to be uploaded) › details of the operating system and any other supporting software and firmware required to operate the software › details of the minimum hardware platform required › information on installation of the software › full documentation for the software › any other information that 	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date › publisher, if relevant › scale, if this is claimed as an indicator of quality in the EP. 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › software documentation › record on publisher website › letter from publisher or distributor.
-----------------	--	---	---

	<p>would inform the panel's assessment of the research output (for example, source code, architectural representations or design diagrams)</p> <ul style="list-style-type: none"> › an electronic copy of any associated written documentation that addresses the uniqueness, impact and innovative nature of the development (if not included in the Description section of the EP). 		
Thesis	<p>Main research object</p> <p>Electronic copy (preferred) or print copy of the thesis.</p> <p>In the case of non-print theses such as creative works, the thesis may take the form of a portfolio of outputs.</p>	<p>Independent evidence of:</p> <ul style="list-style-type: none"> › date of publication › author › awarding institution › degree (for example, Master's or PhD or other professional qualification). 	<p>Documentation that confirms the details listed as information required for auditing NROs and OROs, such as:</p> <ul style="list-style-type: none"> › an electronic copy of the title page for the thesis and bibliographic details › library catalogue record.

Completing the Research Contribution component

The Research Contribution (RC) component of an Evidence Portfolio (EP) describes the contribution and recognition of a staff member's research and research-related activities.

- › The RC component is worth 30 percent of the total score for the EP.
- › Each EP can contain up to 15 items in the RC component.
- › TEOs should help their staff to identify their 15 best research-related activities and research outcomes to be recorded as research contribution items, and then categorise these items according to the 12 research contribution 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.
- › It is expected that all EPs will include evidence of peer esteem and contributions to the research environment. Where appropriate, some will also include evidence of community or end-user impact.
- › All items in the RC component must describe research-related activities and research outcomes that have **occurred within the assessment period (1 January 2012 – 31 December 2017)**.
- › **Research impacts** must have occurred in the assessment period to be included in the EP, but these **do not** need to relate to research undertaken in the assessment period or submitted within the EP.
- › Fellowships that began outside but continue into the assessment period are eligible for inclusion in EPs.
- › All types of RC will be considered on their merits. This means no one specific type will be weighted higher than another.
- › New and emerging researchers are not required to have RC items to be considered for the C(NE) Quality Category. However, if they have research contribution items these should be submitted because it may allow them to be considered for a higher Quality Category.
- › Each panel has developed panel-specific guidelines that may provide discipline- or subject-area specific advice on the completing the RC component of EPs.

Definition of a Research Contribution

The underpinning principle of the definition is that the RC 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 RC component of an EP describes the contribution and recognition of a staff member's research and research-related activities.

The RC component provides staff members with an opportunity to demonstrate:

- › the esteem in which their peers, within and outside of TEOs, hold their research

- › their role and the contributions they make in creating a vital, high-quality research environment
- › any impact that their research has had outside academia.

Research contribution items will be indicators of a vital, high-quality research environment. Items may also provide indicators of the social, cultural, environmental and economic benefits of the research including the advancement of mātauranga Māori. Research contribution items may be local, national or international in orientation and impact.

Types of research contribution

The Quality Evaluation assesses a wide range of research-related activities and research outcomes.

The key factors are:

- › TEOs need to classify each research contribution item submitted in an EP under one of the 12 research contribution types below.
- › The types are listed in alphabetical order and do not reflect an order of importance.
- › All research contribution 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 and Environment	<p>Contribution to research discipline 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 and/or outside of academia.</p> <p>Indicators of this contribution can include but are not limited to:</p> <ul style="list-style-type: none"> › developing new discipline methodologies or knowledge › developing new laboratories and/or organising new equipment › leadership positions that increase capability, for example: <ul style="list-style-type: none"> – director of a laboratory or research facility – head, or deputy head, of school, department, centre or research group with a focus on research development or initiatives in that role › initiatives to grow mātauranga Māori and kaupapa Māori knowledge bases and capacity › 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 a research or postgraduate committee › fostering internal or external linkages, cooperation, collaborative research and development with other departments, institutions or organisations › support of research and development within professional bodies and industry › organising or participating in departmental or institutional research seminars.

Research Contribution Type	Description
Facilitation, Networking and Collaboration	<p>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.</p> <p>Indicators of this contribution can include but are not limited to:</p> <ul style="list-style-type: none"> › 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 › partnering with Pacific entities and Pacific organisations 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.
Invitations to Present Research or Similar	<p>Invitations to present research or similar items provide an indicator of the staff member's reputation within and outside of academia, and, as such, these items are about invitations that are specifically based on the staff member's research reputation. The invitation can count as an indicator regardless of whether it was accepted. Staff members may want to indicate if the invitation was taken up.</p> <p>Indicators of this esteem can include but are not limited to:</p> <ul style="list-style-type: none"> › invitations to give a keynote address or plenary, or invitations to be a principal speaker or invited speaker › invited membership of a research advisory, strategy, reference or working group, task force, or steering committee for an internal or external organisation › invitations to present research to professional groups or

Research Contribution Type	Description
	<p>organisations, or industry bodies</p> <ul style="list-style-type: none"> › invitations to develop iwi, Māori or Pacific community-based projects › invitations to produce a journal article, review paper, chapter or reprints specifically based on the staff member's research reputation › invitations to overseas organisations or events › invitations to work in an overseas institution › invited or commissioned to create, perform or produce creative work › invitations to contribute to Māori conferences, Māori development panels, Māori research hui and Māori advisory boards › invitations to contribute to Pacific conferences, Pacific development panels, Pacific research fono and Pacific advisory boards › invitations to present research to other non-professional groups, community interest groups, ethnic or cultural representatives.
Other Evidence of Research Contribution	<p>Other evidence of research contribution may include other items that are not included in the research contribution categories but that demonstrate the contributions made, and esteem held, by a staff member and their research within or outside of academia.</p> <p>Indicators of this esteem and/or contribution can include but are not limited to:</p> <ul style="list-style-type: none"> › requests to provide or providing tenure references › the offer of a staff position for a new and emerging researcher › producing reference materials, such as encyclopaedia and dictionary entries.
Outreach and Engagement	<p>Outreach and engagement items reflect the contribution the staff member makes to the wider community in New Zealand and/or internationally through their research-based expertise.</p> <p>Indicators of this contribution can include but are not limited to:</p> <ul style="list-style-type: none"> › outreach activities › community engagement › contributions to public understanding of a particular issue or discipline › 'critic and conscience' of society and debate in the discipline › media coverage of research

Research Contribution Type	Description
	<ul style="list-style-type: none"> › presentation of research to professional groups or organisations, or industry bodies.
Recognition of Research Outputs	<p>Recognition of research outputs items reflect the esteem in which a staff member's specific research outputs are held by their peers and other stakeholders. Recognition of NROs in the EP should be described in the NRO Description field.</p> <p>Indicators of this esteem can include but are not limited to:</p> <ul style="list-style-type: none"> › positive commendations and/or reviews for the staff member's research outputs › 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 › selected for important or esteemed public-private collection or performance venue › extended exhibition or performance dates due to demand › reprints of the staff member's research or repeated exhibitions or performances.
Research Funding and Support	<p>Research funding and support items provide an indicator of the contribution the staff member makes to the research environment, or reflect the staff member's esteem where the funding/support is competitive.</p> <p>Indicators of this esteem and/or contribution can include but are not limited to:</p> <ul style="list-style-type: none"> › securing external contestable grants, for example, Marsden Fund grants › competitive funding from the staff member's own organisation › funding from external organisations › funding for research facilities or gaining competitive access to facilities › competitive travel grants › securing in-kind or pro-bono support to facilitate research including key people (including kaumātua and community engagement capability), resources, equipment and materials.

Research Contribution Type	Description
Research Prizes, Fellowships, Awards and Appointments	<p>Research prizes, fellowships, awards and appointments items indicate the staff member's research reputation within and outside of academia, and, as such, these items are about selective memberships. Only elected/awarded memberships, fellowships, awards, appointments and so on should be included. Fee-paying only memberships are excluded.</p> <p>Indicators of this esteem can include but are not limited to:</p> <ul style="list-style-type: none"> › best paper, poster or presentation › awards and prizes for creative arts outputs › adjunct appointment › research fellowship › industry secondment › mandated iwi and Māori authority leadership roles › mandated cultural leadership roles (for example, chairperson, church minister or honorific chiefly title) › fellow of a professional body, for example, Fellow of the Institution of Professional Engineers New Zealand or Fellow of the Royal Society of New Zealand › member of a society or academy with restricted or elected admission, for example, the British Society of Audiology. <p>Activity as part of a standard membership of societies must be listed under 'Contribution to research discipline and environment'.</p> <p>Membership of funding committees must be listed under 'Reviewing, refereeing, judging, evaluating and examining'.</p>
Researcher Development	<p>Researcher development items reflect the staff member's contribution to the range of activities related to mentoring colleagues in relation to research development.</p> <p>Indicators of this contribution can include but are not limited to:</p> <ul style="list-style-type: none"> › mentoring and supervising other staff members including new and emerging researchers › growing institutional support for, and the pool of, iwi and Māori researchers › increasing institutional capacity for growing the pool of Pacific researchers › supervising postdoctoral fellows › head of department where there is a focus on researcher development activities while in the role › research mentoring.
Reviewing, Refereeing,	<p>Reviewing, refereeing, judging, evaluating and examining items provide an indicator of the esteem a staff member may</p>

Research Contribution Type	Description
Judging, Evaluating and Examining	<p>have amongst their peers.</p> <p>Indictors of this esteem can include but are not limited to:</p> <ul style="list-style-type: none"> › member of funding committee that reviews or evaluates funding proposals or grant applications › member providing specialist or expert advice to a research advisory, strategy, reference, working group, task force or steering group › member of a committee providing specialist or expert advice to, or for, a relevant external organisation › member of an editorial board › external thesis examiner › editor or guest editor › invited to contribute to indigenous/first nation peoples development panels, boards and major programmes › invited to be a member of a selection panel for awards and prizes › reviewing a journal article, conference paper, book manuscript › reviewing abstracts (as part of the selection of presenters) and conference proceedings (following selection) › peer reviewer for industrial, commercial or government organisations.
Student Factors	<p>Student factors items reflect the staff member's contribution to student-related activity, as well as esteem factors associated with the staff member's research students.</p> <p>Indicators of this esteem and/or contribution can include but are not limited to:</p> <ul style="list-style-type: none"> › attracting, supervising and supporting students including but not limited to: <ul style="list-style-type: none"> – doctoral, Master's, honours research – Māori and Pacific students – summer research students and visiting research students – other high-quality postgraduate students › assisting student publishing, exhibiting or performance › research student placements › supporting Māori students to connect with their iwi through mutually beneficial research › supporting students to gain scholarships, prizes or awards › supporting students to gain positive employment outcomes.

Research Contribution Type	Description
Uptake and Impact	<p>Uptake and impact items provide an indication of the contribution the staff member's research has had outside of academia.</p> <p>Note: Research impacts must have occurred in the assessment period to be included in the EP, but these do not need to relate to research undertaken in the assessment period or submitted within the EP.</p> <p>Indicators of this contribution can include but are not limited to:</p> <ul style="list-style-type: none"> › uptake/adoption of research by industry, iwi, Pacific, community or professional bodies nationally and/or internationally as standard practice or policy › providing expert advice to the public sector, communities and/or the private sector, nationally and/or internationally, which informed or influenced policy and/or practice › improvements to existing practices, policy, law, businesses, process or products › commercialisation of research › contributing to economic prosperity, social or environmental well-being, innovation and entrepreneurial activity through the design and delivery of new tools, products, processes or services › contributing to Māori social, economic and cultural advancement › contributions to Pacific social, economic and cultural advancement › evidence that the knowledge generated by the research is in use outside academia › other technology and knowledge transfer › expert witness or testimony › consultancy based on research expertise.



The evidence requirements for RC component items have been developed taking the following factors into consideration:

- the introduction of the RC component for the 2018 Quality Evaluation
- the inclusion of this component in the formal audit process for the first time
- the length of time since the beginning of the assessment period.

Information required in an Evidence Portfolio about research contribution items

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

Research contribution item field	Information required	Character limit
Research Contribution Type	Chosen from the list of 12 research contribution types.	N/A
Order of Assessment	<p>A number from 1 to 15 to specify the order in which the research contribution items will be presented for assessment.</p> <p><i>Research contribution items must be clustered by research contribution type. The ordering of research contribution types, and the ordering of the items within each type, will be in accordance with the staff member's preference.</i></p> <p><i>The order submitted by the TEO will be how the panel member sees the research contribution items when they assess the EP.</i></p>	N/A
Description	<p>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 and research-related activity that supports the assessment.</p> <p>This should also provide information to evidence the claims, including key details of the activity, such as dates and organisation(s) or others involved.</p>	1,500

Evidence required for auditing research contribution items

Information on research-related activities and research outcomes may be required for audit purposes. This is new for the 2018 Quality Evaluation.

- › Evidence of research contribution items is required for audit only.
- › TEOs are not required to submit evidence of research contribution items in the EP.

- › Research contribution items will be sampled as part of the audit. Panel members are also able to raise concerns about the eligibility of research contribution items, which the TEC will follow up with the TEO.

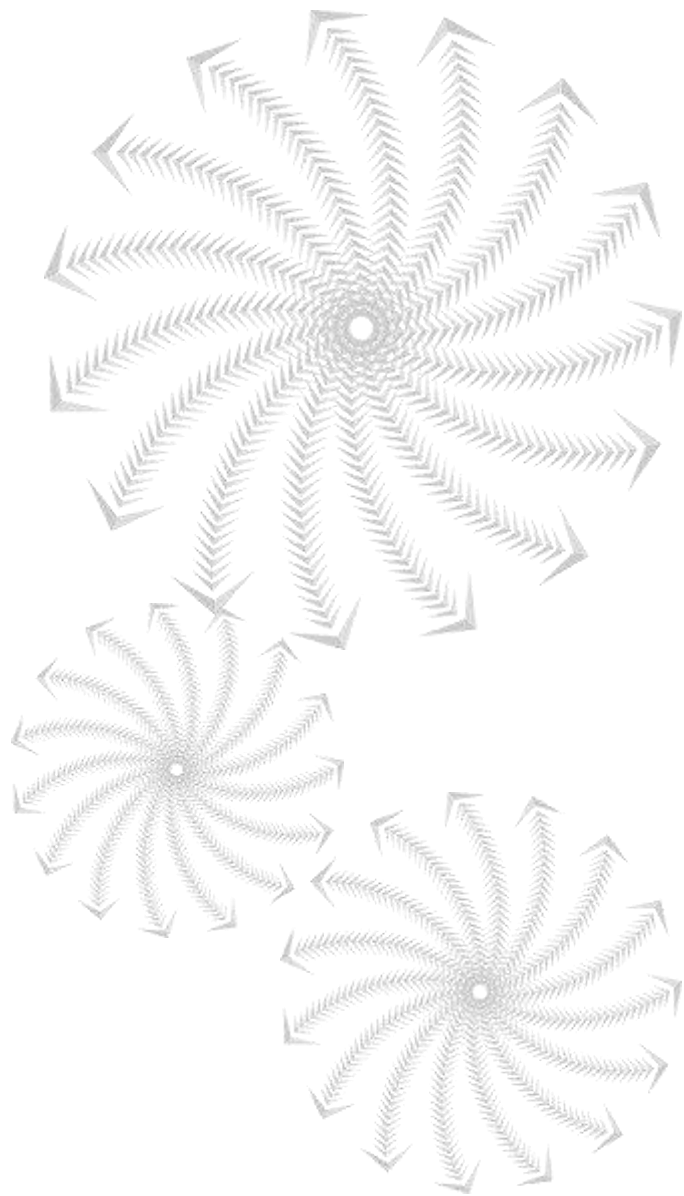
Evidence of research contribution items

The evidence required for RC component items must be sufficient to validate that the item:

- › occurred within the assessment period
- › can be attributed to the staff member submitting the EP.

It is also expected that the evidence supports the description of the item provided in the EP. The staff member would normally have sufficient information that would allow the TEO to validate the item.

The type of evidence would vary, depending on the research activity. The TEC will accept a range of information and evidence, and will not set specific limits on this.



2018 Quality Evaluation

What are
extraordinary
circumstances?

Claiming extraordinary circumstances

The two extraordinary circumstances provisions for the 2018 Quality Evaluation (general and Canterbury) aim to ensure staff members who have experienced circumstances that have seriously affected the quantity of research and research-related activities during the assessment period are treated equitably.

- › Extraordinary circumstances will be considered by the peer review panel only in relation to the **quantity** of research outputs and other aspects of research activity produced during the assessment period.
- › Extraordinary circumstances are not relevant to the assessment of the quality of research outputs and activities.
- › Staff members may claim one or both extraordinary circumstances provisions if they are eligible.
- › The extraordinary circumstances provisions will be assessed at the Holistic assessment stage of the 2018 Quality Evaluation assessment process.

Eligibility of extraordinary circumstances

TEOs **must only** submit extraordinary circumstances in EPs where they have determined and verified:

- › that the staff member's circumstances are legitimate and the staff member has experienced a reduction in the quantity of research outputs or research-related activity, or both, during the assessment period
- › the staff member's circumstances have occurred over a minimum period of three years (that do not have to be continuous) during the assessment period.

General extraordinary circumstances

One or more of the following three extraordinary circumstances types can be claimed under this provision:

- › *Long-term illness or disability* that would reduce the quantity of research outputs or activities during the assessment period. This could include ill health or injury, mental health conditions, sensory or developmental conditions, or other health conditions or diseases that may be progressive or have fluctuating or recurring effects.
- › *Extended personal leave* that prevents research activity from occurring during the assessment period. This could include shorter-term leave due to ill health, mental health conditions or injury and parental leave relating to pregnancy, maternity, paternity, adoption or childcare. Sabbatical leave is **not** considered in this circumstance.
- › *Significant family or community responsibilities* that prevent research activity from occurring during the assessment period. This includes responsibility for dependants, including caring for elderly or ill, injured or disabled family members, or to specific communities, such as iwi or Pacific communities, to a level that reduces the opportunities to undertake research.

One or more types can be claimed.




The previous special circumstances provisions have been reviewed and updated.

In addition to the changes detailed in this section, the TEC will:

- appoint a **special advisor** to support the Moderator and panels in relation to the assessment of both general and Canterbury extraordinary circumstances
- **provide enhanced panel training** on the assessment of general and Canterbury extraordinary circumstances provisions for the 2018 Quality Evaluation.



Part-time employment is not considered a circumstance on its own. However, staff members affected by extraordinary circumstances, and who are also part-time, can include information on their employment status. Alternatively, part-time status can be outlined in the Platform of Research – Contextual Statement. This information may be particularly relevant at the Holistic assessment stage. For example, working three days a week throughout the period due to childcare commitments.


 The **Accepted Manuscripts provision** (as it applied to Canterbury Earthquakes special circumstances provision in the 2012 Quality Evaluation) will not apply in the 2018 Quality Evaluation.

Canterbury extraordinary circumstances

One or more of the following five impact types can be claimed under the Canterbury extraordinary circumstances provision:

- › *Ongoing trauma, stress and fatigue*, which could include the ongoing impacts of death or injury to a family member, friend or close colleague; an injury to self; a personal psychological impact; and ongoing fatigue or stress.
- › *Loss or damage to house and/or contents*, which could include loss of home or displacement from home; substandard housing or alternative housing; ongoing or protracted issues dealing with the Earthquake Commission, insurers, builders; and care and advocacy for extended family who have been displaced or need support.
- › *Disruption related to facilities or resources*, which could include the ongoing inability to access facilities or equipment or resources or venues; disruption caused by temporary office or laboratory spaces, decanting and/or deconstruction or construction nearby; lost samples or data, or resources or consumables; and damaged equipment.
- › *Significant additional responsibilities*, which could include increased teaching loads; additional administration related to building activity, for example, construction and decanting; increased financial administration; additional or increased personal or community responsibilities, such as caring for family members or board of trustee duties; and increased head of department responsibilities associated with the earthquakes.
- › *Reduced research opportunities*, which could include disruption to the research pipeline affecting research outputs years later; disruption to postgraduates – reduced recruitment, lost students, PhDs downgraded to Master's, loss of preferred candidates, increased pastoral care; reduced research support or lost opportunities due to reduction in travel funding and research funding; lost networking opportunities due to travel restrictions; lost funding opportunities (unable to submit applications, unable to commit to new research contracts), with subsequent impact on the research pipeline and publications; and reduced research time due to increased student recruitment activity and teaching loads.

Describing extraordinary circumstances

In each case where extraordinary circumstances are claimed, the circumstances must be described by the staff member in sufficient detail that the panel can make a judgement about the specific negative impact the circumstance(s) have had on the **quantity** of research or research-related activity, or both, in the assessment period. This detail must include dates of all relevant times and a clear description of the impact on quantity.

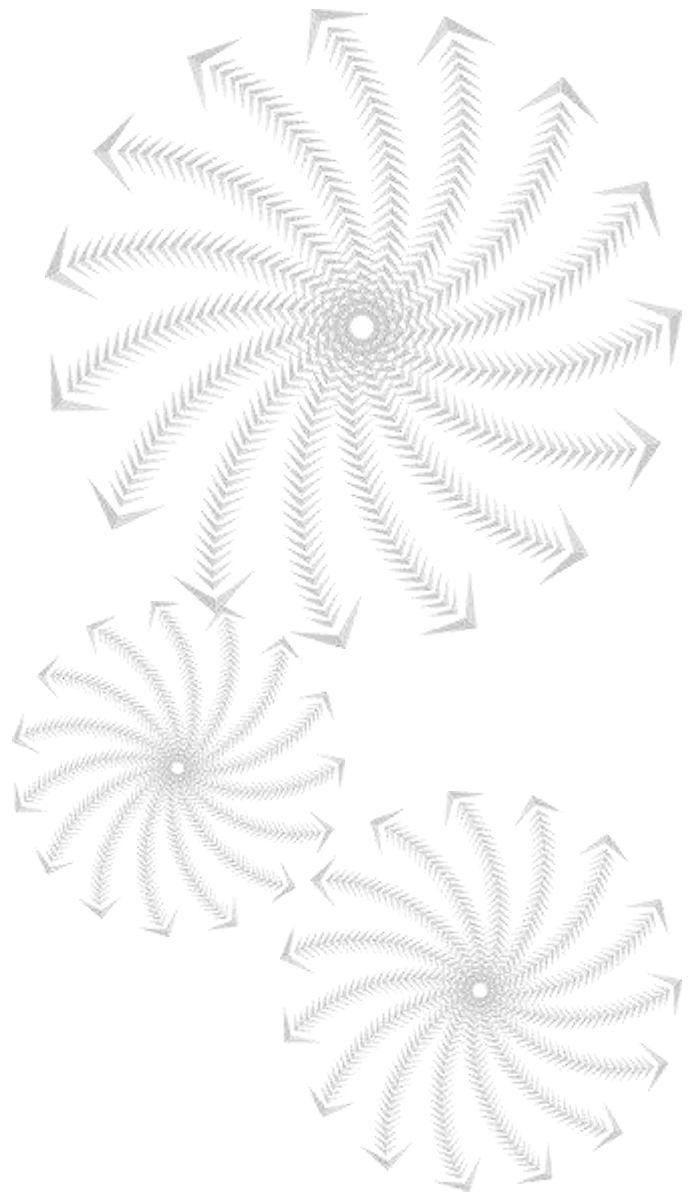
There is no requirement for evidential documentation to be submitted to the TEC. The TEC does require the TEO, which has the primary relationship with an affected staff member, to have discussed the submission of this information with the staff member, determined if there is a legitimate claim and validated that claim.

The field for describing the specific negative impact of the circumstance(s) is 2,000 characters long, while the field for describing the period over which the circumstance(s) occurred is 500 characters long.

Validating claims under the extraordinary circumstances provisions

TEOs need to have a process for considering, endorsing and validating legitimate extraordinary circumstances to be included in EPs. This process needs to include internally verifying (for example, through mapping output production over time or confirmation from the head of department or school) that staff members have sustained a reduction in research outputs and research-related activity during the assessment period. The TEO Audit Declaration also requires the Vice-Chancellor or Chief Executive Officer to confirm that all reasonable steps have been taken to ensure that only staff members with legitimate circumstances have claimed the provision.

The process will also be included in the TEO audit by the TEC. If a TEO does not have any staff members claiming extraordinary circumstances, then they are not required to have such a process in place.



2018 Quality Evaluation

Conflicts of interest

Submitting conflict of interest notices for staff members

Tertiary education organisations (TEOs) may submit a notice of conflict of interest in relation to a panel member on behalf of staff members.

The TEC will only accept conflict of interest notices:

- › when they are submitted by a TEO
- › if the staff member has an Evidence Portfolio (EP) being assessed in the 2018 Quality Evaluation
- › the circumstances giving rise to the conflict fall within the conflict of interest policy.

Any notices received directly from a staff member will be returned to them, explaining that it must be relayed through their TEO.

What is a conflict of interest?

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

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

- › Would a fair-minded reasonably informed observer have a reasonable apprehension that the panellist's professional judgement would be compromised in evaluating another researcher's Evidence Portfolio?
- › Does the interest create an incentive for the panellist to act in a way that would be contrary to the objectives of a fair, impartial and effective peer review process?

If the answer to either of these questions is 'yes', then a conflict exists.

The full conflict of interest policy can be found in the [*Guidelines for the 2018 Quality Evaluation assessment process*](#).

Submitting a conflict of interest notice

All notices must:

- › be in writing
- › state the name of the panel member the notice relates to
- › include specific information on the circumstances regarding the potential conflict of interest, including dates, location of the events and a comprehensive summary of the actions (or inactions if applicable) leading to the alleged conflict.

Sufficient information must be provided in the notice to enable the panel Chair or, if required, Principal Moderator to decide what action, if any, is required to manage the conflict to ensure that the Quality Evaluation process can operate fairly in respect of the staff member concerned.

Notices that do not contain adequate information on the potential conflicts of interest or cite circumstances that do not meet the definition of a conflict of

interest will be returned to the TEO. The TEO will have 10 working days to submit an updated notice.

Notices must be emailed to the TEC by **4.00pm 31 July 2018**:

Email: pbrfhelp@tec.govt.nz with the subject line PBRF 2018 Quality Evaluation conflict of interest notice.

Notices received after this date will not be considered.

Consideration of a conflict of interest notice

The Chair of the panel will notify the panel member that a notice of conflict of interest has been received, giving the name of the staff member and the nature of the conflict. The panel member will be given an opportunity to discuss this with the Chair if required.

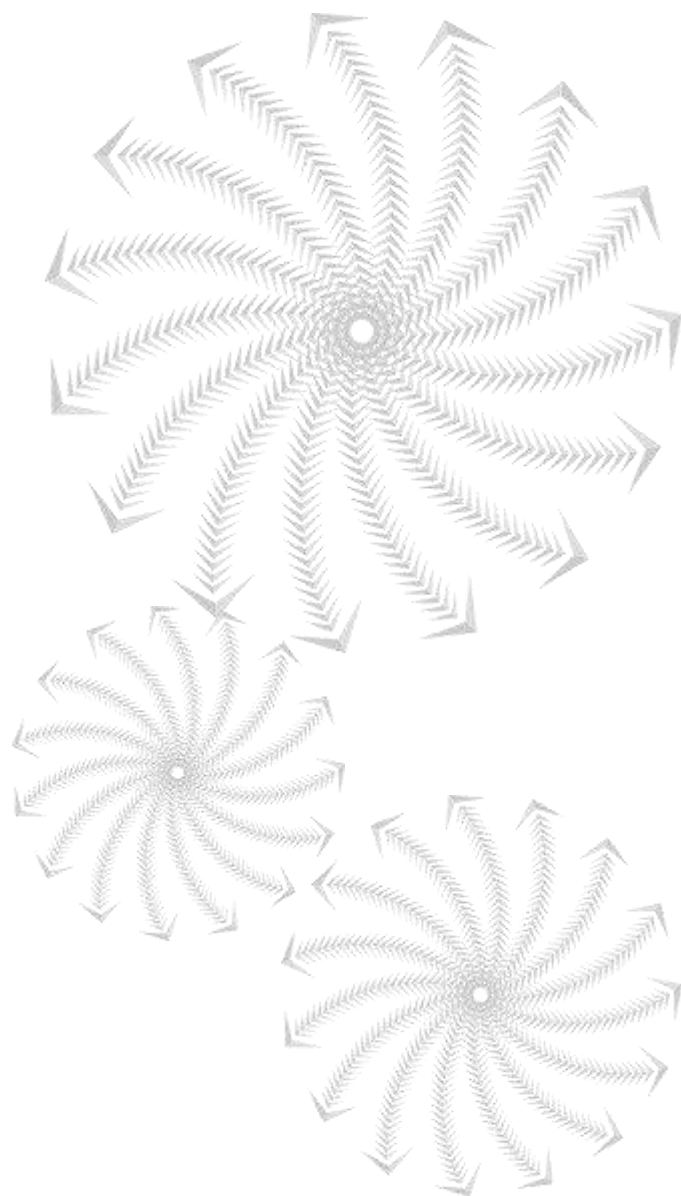
The Chair of the panel will then determine what action, if any, is required.

If the notice is in relation to the Chair of the panel, it will be considered by the Principal Moderator. The decision on what action, if any, is required will also be made by the Principal Moderator.

The TEC's process assurance auditor will review the conflicts of interest and any required actions, and ensuring that these actions, if any, are taken. This provides assurance that any conflict of interest notices are appropriately managed.

Notification to tertiary education organisations

TEOs will be notified that their conflict of interest notice has been received but the specific outcome of the decision will not be provided. This is because the Quality Evaluation assessment exercise is conducted in a confidential manner. Providing information on which panel members may or may not assess a specific EP has the potential to breach the confidentiality of panel members.



2018 Quality Evaluation

What happens in the audit process?

Auditing process for tertiary education organisations

The tertiary education organisation (TEO) audit process provides assurance that all information submitted for the 2018 Quality Evaluation is accurate and reliable.

- › There are four phases in the TEO audit process. The timing of the TEO audits for the 2018 Quality Evaluation is outlined in the table below.

Phase	Timing
Process Assurance	May to December 2017 (including sector workshops) with eligible organisations having 21 working days to complete the audit questionnaire
<u>Declaration of the Vice-Chancellor/Chief Executive Officer</u>	No later than 4.00pm 16 July 2018
Data Evaluation Audit (including follow up and escalation)	16 July to December 2018
Final Reporting	February 2019

- › All TEOs that are eligible to participate in the 2018 Quality Evaluation will be contacted by the TEC's audit team.
- › TEO audit process documentation will be produced by the TEC auditors in early 2017.

Underpinning principles of the audit process

The auditing and data validation undertaken in the Quality Evaluation process will support many of the guiding principles of the PBRF, in particular, the principles of consistency, credibility, efficiency and transparency.

All TEOs will be subjected to the audit processes to ensure there is consistent application of the guidelines across participating TEOs.

All types of data submitted for the Quality Evaluation will be subject to audit and validation.

All TEOs (and their staff members) are expected to provide accurate data to the TEC.

The TEC auditors recognise that different types of management practices, including systems, processes and controls, are used by those managing the Quality Evaluation process within their TEO to provide assurance to their Vice Chancellor/Chief Executive that they comply with the requirements of the PBRF. These differing practices, from the TEC auditors' perspective, mean listing all the processes, controls and supporting evidence required to provide assurance is not possible. However, each TEO needs to ensure that it maintains the evidence and information it has used to make decisions about the eligibility of staff, research outputs and research contributions it submits. The TEC auditors will use this information and evidence as the basis of their audit reviews.

All information given to the TEC from TEOs as part of data checking and verification will be treated on a confidential basis. It will be kept by the TEC if required. Where data checking and verification processes are outsourced, these third parties will also be bound by confidentiality and conflict-of-interest policies.

Objectives of the audit process

The objectives of the 2018 Quality Evaluation TEO audit process are to:

- › provide assurance to the TEC that all participating TEOs are applying the guidelines in a transparent, fair and consistent way that adheres to both the principles and letter of the guidelines
- › determine that TEOs have adequate systems and controls in place for:
 - ensuring their preparedness for the 2018 Quality Evaluation round
 - determining the eligibility of staff
 - submitting Evidence Portfolios (EPs)
 - submitting the Declaration of the Vice-Chancellor/Chief Executive Officer.
- › provide assurance to the TEC that the Research Output (RO) and Research Contribution (RC) components of the EPs, and staff data submitted by participating TEOs, are complete and accurate.

Stages of the audit process

There will be two main stages to the TEO audit process:

1. the audit of preparedness of participating TEOs (Process Assurance audit)
2. the audit of data submitted to the TEC for the Quality Evaluation (Data Evaluation audit).

The detailed audit methodology for the 2018 Quality Evaluation will be provided in early 2017.

Process Assurance audit

The Process Assurance audit will provide assurance to the TEC that TEOs have adequate systems and controls in place to ensure their preparedness for the 2018 Quality Evaluation. This audit will include a review of the systems and controls for:

- › determining the eligibility of those staff submitting EPs



Data validation during submission

During the submission phase of the Quality Evaluation, EP and staff data will be automatically validated by the TEC submission system.

The verification rules are provided by the TEC in the EP schema and Staff Data specification.

TEOs will be able to view all data they have submitted and access a validation report notifying them of any errors that occur in the EP submission.

TEOs are responsible for any changes, including correcting errors, before the final submission date.

- › determining and validating legitimate extraordinary circumstances to be included in EPs
- › submitting correct and accurate EPs, which will include items in both the RO and RC components.

All participating TEOs, including those considering participating, will be required to complete a questionnaire that will be used to assess, evaluate and build an understanding of the maturity of each TEO's internal processes systems and controls, as well as their level of preparedness for the Quality Evaluation.

Information from the questionnaire will be used to undertake a risk assessment that will help the TEC to determine an appropriate level of auditing to be undertaken at each TEO.

Site visits, telephone interviews and paper-based reviews will be undertaken during this audit.

Declaration of the Vice-Chancellor/Chief Executive Officer

The Vice-Chancellor or Chief Executive Officer of each participating TEO must submit a declaration confirming the accuracy of information contained in the EPs, the availability of evidence for assessment and audit, and the accuracy of assessment processes within the TEO to the TEC no later than **4.00pm 16 July 2018**.

This declaration specifically requests confirmation that:

- › the information contained in the EPs submitted to the TEC by the TEO is complete, accurate and complies with the PBRF Guidelines issued by the TEC
- › all staff members whose EPs are being submitted to the TEC for assessment in the Quality Evaluation meet the requirements for participation in the PBRF
- › the TEO has appropriately applied the PBRF Guidelines and taken all reasonable steps to ensure no EP likely to receive a funded Quality Category has been excluded from assessment in the Quality Evaluation
- › all the Nominated Research Outputs (NROs) identified in the submitted EPs are, if necessary, available for inspection by the peer review panels
- › the TEO has complied with all other relevant PBRF Guidelines.

TEO declarations must be emailed to the TEC no later than **4.00pm 16 July 2018**:

Email: pbrfhelp@tec.govt.nz with the subject line PBRF 2018 Quality Evaluation TEO declaration.

Data Evaluation audit

The Data Evaluation audit will provide assurance to the TEC and peer review panels that staff-eligibility data, and the RO and RC components of EPs submitted by TEOs, are complete and accurate.

The TEC will conduct random checks of a proportion of staff data and EPs, including some from each TEO. This will use a risk-based sample selection that will be developed as part of the overall audit methodology.

Every participating TEO will be audited. The sample size selected for the audit of EP data will be based on an assessment of risk. In the event that errors are identified, an assessment will be made of the need for an escalated audit.

All aspects of EPs will be open to scrutiny, including data submitted in both the RO and RC components.

The PBRF IT System will allow panellists to see which items within an EP have been audited.

Staff eligibility

The staff-eligibility audit will only be on those staff submitting EPs. TEOs will complete and submit the PBRF Staff Data file, along with their EPs, by **4.00pm 6 July 2018**. TEOs have until **4.00pm 13 July 2018** to correct any errors they have found.

The Staff Data file will only include information on those staff members for whom EPs are submitted or who are considered transferring or concurrently employed staff.

The staff-eligibility audit will focus on any areas where major discrepancies or inconsistencies were detected during the Process Assurance audit.

Site visits, telephone interviews and paper-based reviews will be undertaken during this audit, and TEOs will be required to provide detailed information to auditors. The information needed to confirm staff eligibility would normally include start dates for employment, contract duration, contracted full-time equivalent (FTE), and contracted functions relating to teaching and research. This information would normally be found in employment contracts and position descriptions. Information on an individual staff member's salary would not normally be required.

Follow-up reporting on staff eligibility may also occur before funding is finalised, to ensure that the eligibility requirements have been fully met.

Research outputs

TEOs are encouraged to make the majority of NROs electronically accessible to the TEC through the PBRF IT System. This will allow the audit of research outputs to be undertaken more easily and less intrusively. The TEC will seek specialist support for this audit, to ensure that the process is robust.

To minimise administrative and compliance costs, the audit of research outputs will generally be handled through correspondence rather than site visits. Nevertheless, the TEC reserves the right to visit TEOs to verify data supplied in relation to the PBRF.

A proportion of an EP's research outputs will be cross-checked against a number of publication databases (and other data sources). Primary attention will be on NROs. However, a proportion of Other Research Outputs (OROs) listed in EPs will also be investigated.

The main focus will be on those types of outputs that are amenable to such checking processes, such as authored and edited books, journal articles and conference contributions. These types also make up most of the research outputs submitted.

Particular attention will be given to those aspects of the output where inaccurate information could affect perceptions of its quality (for example, the number of authors, location details, pagination). Particular attention will also be given to outputs that bear a date at the limits of the assessment period. Where publication

dates appear to be outside the assessment period and no explanation has been supplied in the EP, the relevant research outputs will be investigated. A publisher's letter confirming the actual publication date may also be sought.

Research contributions

Items submitted in the RC component will be included in the TEO audit process.

TEOs are not required to include evidence that supports the item within the EP. A low proportion of research contribution items will be sampled, with the proportion reflecting the weighting of the component.

Where possible and relevant, the data supplied by TEOs will be reviewed in comparison with other data, such as:

- › externally published reports
- › the grants awarded by research funding bodies (for example, the Ministry of Business, Innovation and Employment, the Royal Society of New Zealand or the Health Research Council).

An investigation would normally only be undertaken if there were significant discrepancies between submitted data and other information. This approach takes account of the possible differences in data.

Panel members' concerns

Panel members are able to note any concerns over the accuracy and reliability of any of the information contained in EPs by adding an audit concern.

All concerns raised by panels will be investigated by the TEC Panel Advisor in the first instance and then escalated to the auditors as required. If escalated to the auditors, the auditors will notify and involve the affected TEO in the audit process.

The result of the investigation will be reported back to the relevant panel Chair, the relevant panel members and, if appropriate, all the members of that panel by the TEC Panel Advisor.

Nature and categories of errors

The Data Evaluation audit will focus on two broad categories of errors: 'fundamental' and 'serious'.

Fundamental errors

Fundamental errors are those that render staff members ineligible to participate in the Quality Evaluation or make specific research outputs or research contributions ineligible for assessment.

Fundamental errors are likely to include, but are not limited to:

- › staff members not meeting the staff-eligibility criteria, for example:
 - not being continuously employed
 - being based overseas
 - being employed for less than the minimum FTE required
- › the final version of a research output being publicly available outside the assessment period for the 2018 Quality Evaluation
- › a research output not being authored by the person who submitted the relevant EP

- › no evidence confirming the research output's existence
- › a research output that does not meet the PBRF Definition of Research
- › a research contribution not attributed to the staff member submitting the EP
- › a research contribution occurring outside the assessment period for the 2018 Quality Evaluation.

Serious errors

Serious errors are those that materially affect the PBRF status of a staff member in terms of assessment, or materially affect a panel member's judgement on the quality of research outputs or research contributions.

Serious errors are likely to include, but are not limited to:

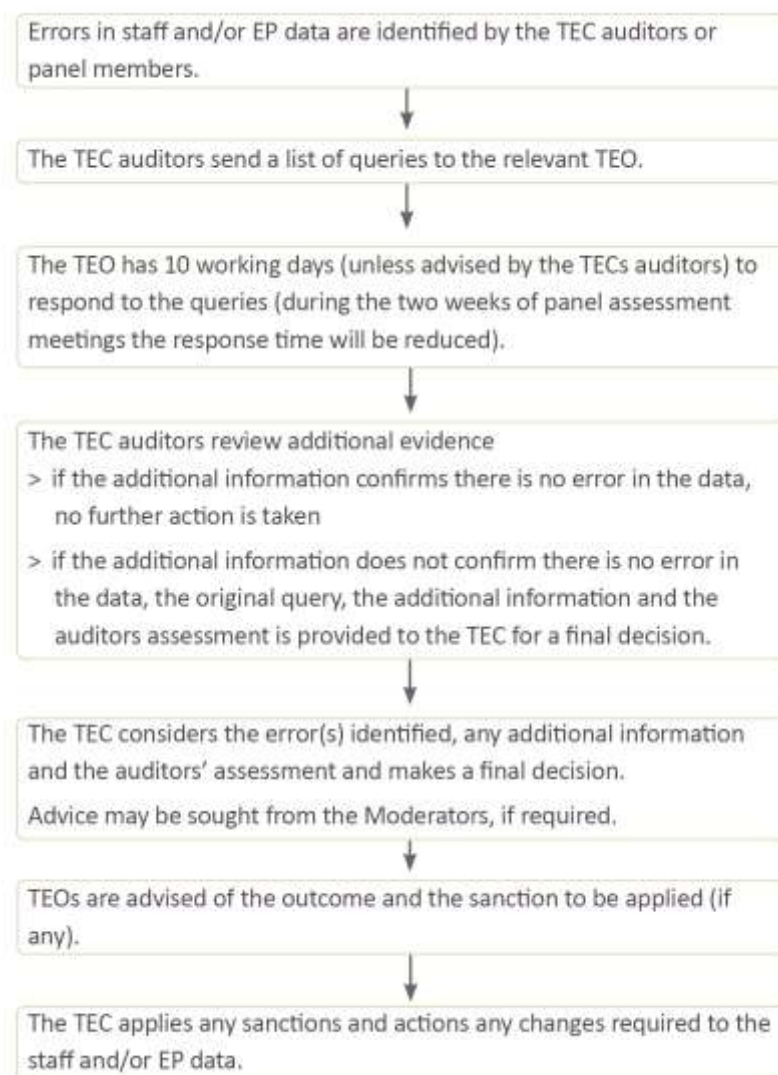
- › incorrect recording of a staff member's FTE
- › incorrect application of the new and emerging researcher criteria
- › incorrect classification of research output type
- › a research output that is virtually identical to other research outputs submitted in the EP
- › identification of research outputs as quality assured when they are not
- › failure to include the names or contributions of co-authors, or both
- › misrepresentation of the contribution of the submitting staff member to a research output or research contribution.



Process for managing errors

The summary of the outcomes of the process for managing errors will be included on the TEC's TEO Information Site to ensure that issues are understood and decisions are transparent. Information on this process and the outcomes will also be included in the reporting on the audit process. No confidential information will be provided.

The following process will be used to manage errors in data submitted to the 2018 Quality Evaluation.



If the error rate is significant, such as, errors are found in numerous EPs or relate to both research outputs and research contributions, or multiple cases of staff eligibility, then a further examination will be undertaken on other information submitted by that TEO.

Wherever the TEC finds errors or discrepancies that may affect the Quality Categories assigned to EPs, the relevant panel will be informed. Such information will be supplied in advance of the panel meetings.

Significantly high numbers of errors and errors of a systematic nature will also be drawn to the attention of the Chair of the Moderation Panel and the TEC Board.

Sanctions

The TEC will determine if and when sanctions are applied to TEOs. The following three principles will apply to the application of sanctions to TEOs:

1. The final decision on the application of any sanction will be the responsibility of the TEC, with advice sought from the Moderators as required.
2. Sanctions will vary according to the magnitude and nature of the breach.
3. In the event that sanctions are used, their main impact will be to reduce a TEO's potential PBRF revenue or quality score, or both.

It is not possible to identify in advance every situation where sanctions may be applied. The following table, however, shows actions that will be taken in relation to certain errors.

Fundamental errors	Sanctions and consequences
Staff member is found to be not eligible to participate in the Quality Evaluation.	<ul style="list-style-type: none"> › EP will be withdrawn from the assessment process. › This will mean a reduction in PBRF funding and a change to reported quality scores.
A research output or research contribution is found to be ineligible for inclusion in the Quality Evaluation, for example, if a research output was produced outside the assessment period or because it fails to meet the PBRF Definition of Research.	<ul style="list-style-type: none"> › Research output or research contribution will not be assessed. › The TEO will not be able to submit a replacement output or contribution. › The exclusion of the research output or research contribution may reduce the Quality Category assigned to the EP, with a consequent reduction in the TEO's PBRF revenue and a change to reported Average Quality Scores.
Systemic errors or lack of confidence in the data supplied by a TEO.	<ul style="list-style-type: none"> › Possible exclusion of all EPs submitted by that TEO from the Quality Evaluation process.

Serious errors are likely to result in lesser sanctions.

Example: Incorrect recording of a staff member's FTE will result in the TEC correcting the data. The impact of this error would affect the TEO's PBRF revenue and potentially the average quality scores.

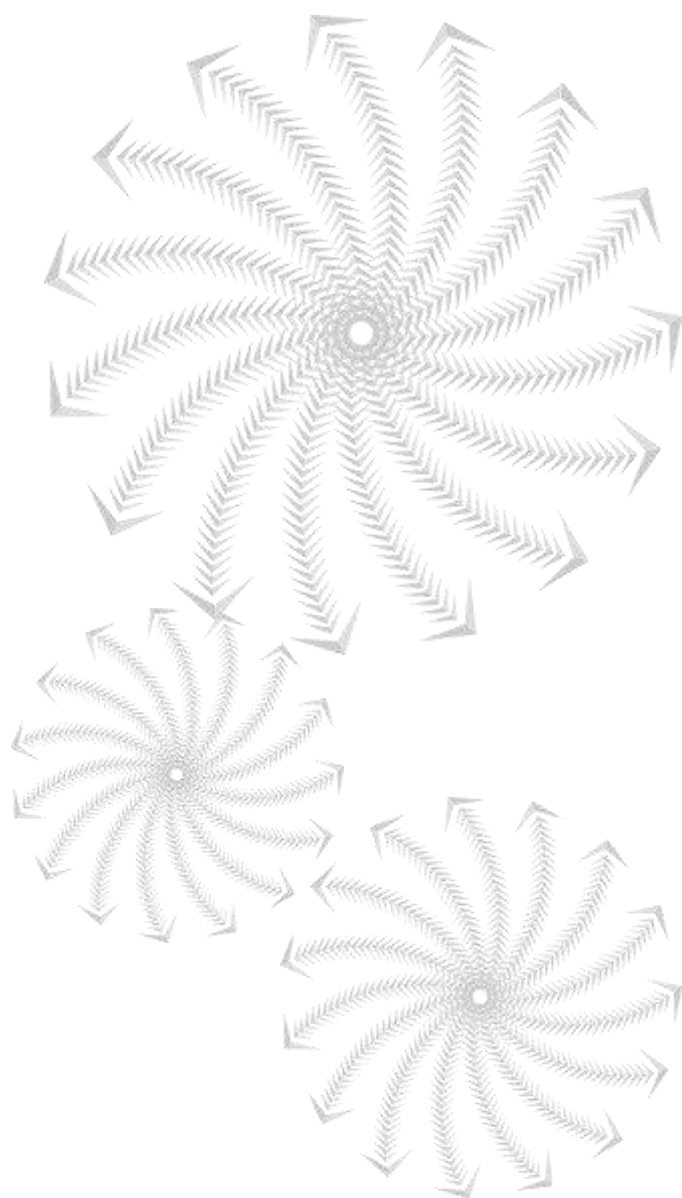
Example: Incorrectly assigning new and emerging researcher status to a staff member will result in the status being removed from the individual. The result of this error would mean that the staff member's EP would not be eligible for the C(NE) or the R(NE) Quality Categories. The EP would remain in the assessment process and would be eligible for the other Quality Categories (A, B, C and R). The impact of this error could have a minor effect on the TEO's PBRF revenue and average quality scores, if the staff member was on the C/R boundary.

An additional consequence of finding serious errors is that the auditors will undertake a wider review of the TEO's data, and all errors will be publicly reported at an aggregate level.

Reporting of audits

The TEC will report the results of each of the audits back to the participating TEO.

The TEC will also publicly report on the outcomes of both the Process Assurance audit and the Data Evaluation audit, including the results for each TEO. This will include the errors found and any sanctions applied.



2018 Quality Evaluation

How will the results
be reported?

Reporting the results of the 2018 Quality Evaluation



The main changes to reporting for the 2018 Quality Evaluation are:

- the main measure will be the AQS(S)
- a new Pacific Research Panel
- the C(NE) Quality Category is now weighted at 2 rather than 1 for funding and reporting.

The reporting of the 2018 Quality Evaluation results ensures public access to a wide range of information relating to the research performance and activities of participating tertiary education organisations (TEOs). It should also improve the ability of stakeholders (such as students and potential students, research funders and providers, the Government and business) to make informed decisions. For instance, the reporting of results should help students in making choices about where to study, particularly at the research-degree level.

- › The results of the 2018 Quality Evaluation will be reported at several levels, for each:
 - participating TEO
 - peer review panel
 - subject area (aggregate and TEO level)
 - academic unit nominated by participating TEOs.
- › No results are reported at the Field of Research level.
- › The nature of the results reported will vary according to the reporting level (for example, TEO or subject area).
- › Subject area results at a TEO level will have a 7.0 full-time equivalent (FTE) threshold applied.
- › **Only** the Quality Category results of staff members who met the PBRF-eligibility criteria (PBRF eligible) and whose Evidence Portfolios (EPs) were assigned a **funded Quality Category** are included in the reporting of results for the 2018 Quality Evaluation.
- › Staff data are weighted on an FTE basis.
- › The **weightings** for each Quality Category are as follows: A = 5, B = 3, C(NE) = 2, C = 1 and R and R(NE) = 0.
- › Two Average Quality Score (AQS) measures will be reported at the TEO level only: the **AQS(S)**, which is a **staff-based measure**, and the **AQS(E)**, which is an **equivalent full-time student (EFTS) based measure**. These are measures of research **intensity**.

Principles underpinning the reporting framework

Several broad principles underpin the public reporting of the PBRF results. These include:

- › protecting the confidentiality of an individual staff member's Quality Categories
- › maintaining the confidence and cooperation of the academic community
- › minimising transaction and compliance costs
- › providing an incentive for the consistent application of the framework by all TEOs
- › contributing to international benchmarking of research performance within disciplines (as a tool to inform specific policy and funding decisions)

- › protecting the integrity of long-established academic disciplines while also recognising emerging disciplines and multidisciplinary subject areas
- › having a sufficient level of disaggregation so that the quality scores and other published information are useful and meaningful for accountability purposes and for relevant stakeholders (for example, students, research funders)
- › ensuring an appropriate alignment between the panels, subject areas and cost weightings
- › adopting a consistent reporting framework that can facilitate comparisons over time (where possible)
- › providing (where possible) the information necessary for evaluating the implementation of the PBRF and its impacts on the tertiary education sector.

Reporting on the 2018 Quality Evaluation

At the conclusion of the 2018 Quality Evaluation, an interim report on the overall results will be prepared and publicly released. It will include a brief summary of the Quality Evaluation process, a commentary on the major findings and a detailed description of the results and projected funding impacts.

The focus of reporting will be on the funded Quality Categories assigned to EPs. These results are directly linked to the funding a TEO receives through the PBRF. The Quality Category results will be complemented by two AQS measures:

- › [the AQS\(S\)](#), which is staff-based and will measure **average research intensity** by comparing the number and type of funded Quality Categories awarded to a TEO's PBRF-eligible staff against the total number of all teaching and research staff at their TEO
- › [the AQS\(E\)](#), which is based on EFTS and will measure the extent to which teaching at degree level and above is underpinned by high-quality research in a TEO by comparing the number and type of funded Quality Categories awarded to a TEO's PBRF-eligible staff against the number of EFTS delivered at degree level and above.

The AQS measures are not used to allocate PBRF funding by the TEC.

Comparative information from the 2003, 2006 and 2012 Quality Evaluations will include reporting on the Quality Categories (A, B, C and C(NE)) assigned in each round and the AQS(E) at the TEO level. This will allow for comparisons across the four Quality Evaluation rounds.

A final report will be publicly released following the completion of the [complaints process](#) that will update any results or funding that may have changed if a complaint is upheld.

Information to be included in the report

The results of the 2018 Quality Evaluation will be reported at the following levels for each:

- › participating TEO
- › peer review panel
- › subject area at the aggregate level
- › subject area at the TEO level
- › academic unit nominated by participating TEOs.

This information is being provided to enable stakeholders to ascertain not merely the research quality of different TEOs and subject areas but also the quality profile at each level of analysis.

The focus of comparative reporting across the four Quality Evaluations (2003, 2006, 2012 and 2018) is the Quality Categories awarded; specifically the numbers and percentages of FTE staff assigned the A, B, C and C(NE) Quality Categories.

The results will also include the staffing-based AQS(S) measure and the EFTS-based AQS(E) measure, which will be reported at TEO level only.

Results at the tertiary education organisation level

The following 2018 Quality Evaluation information will be publicly reported for each participating TEO:

- › the number and proportion of staff members (weighted on an FTE basis) whose EPs were assigned the following Quality Categories:
 - A
 - B
 - C
 - C(NE)
- › the AQS measures – AQS(S) and AQS(E) – and the denominators used to calculate these scores
- › the proportion of staff members (weighted on an FTE basis) who met the criteria for new and emerging researchers and whose EPs were assigned a funded Quality Category (A, B or C(NE))
- › standard deviations, standard errors, and box and whisker diagrams outlining the spread of results for each TEO (including the median, hinges, and smallest and largest data values)
- › analysis of trends in relation to the results of the 2003, 2006 and 2012 Quality Evaluations.

Results at the panel level

The following 2018 Quality Evaluation information will be publicly reported for each peer review panel:

- › the number and proportion of all PBRF-eligible staff members (weighted on an FTE basis) whose EPs were assigned the following Quality Categories:
 - A
 - B
 - C
 - C(NE)
- › the proportion of staff members (weighted on an FTE basis) who met the criteria for new and emerging researchers and whose EPs were assigned a funded Quality Category (A, B or C(NE))
- › standard deviations, standard errors, and box and whisker diagrams outlining the spread of results for each panel (including the median, hinges, and smallest and largest data values)
- › analysis of trends in relation to the results of the 2003, 2006 and 2012 Quality Evaluations.

Results at the subject-area level

Below is a list of 2018 Quality Evaluation information that will be publicly reported for each of the 43 subject areas.

This information will be reported at both the aggregate level and the TEO level. Subject areas at a TEO with fewer than seven FTE staff members whose EPs were assigned a funded Quality Category will be reported under a separate category of 'Other' to maintain the confidentiality of individuals' Quality Category results.

The following 2018 Quality Evaluation information will be publicly reported for each subject area:

- › the proportion of all PBRF-eligible staff members whose EPs were assigned the following Quality Categories:
 - A
 - B
 - C
 - C(NE)
- › the total number of staff members whose EPs were assigned a funded Quality Category
- › the proportion of staff members (weighted on an FTE basis) who met the criteria for new and emerging researchers and whose EPs were assigned a funded Quality Category (A, B or C(NE))
- › standard deviations, standard errors, and box and whisker diagrams outlining the spread of results for each subject area (including the median, hinges, and smallest and largest data values)
- › analysis of trends in relation to the results of the 2003, 2006 and 2012 Quality Evaluations.

Results at the nominated academic unit level

In the PBRF Staff Data File, TEOs will assign each PBRF-eligible staff member to an academic unit within that TEO. Participating TEOs will also nominate the academic units for their institution.

Below is a list of 2018 Quality Evaluation information that will be publicly reported for each nominated academic unit with seven or more FTE staff members who receive a funded Quality Category:

- › the number and proportion of all PBRF-eligible staff members (weighted on an FTE basis) whose EPs were assigned the following Quality Categories:
 - A
 - B
 - C
 - C(NE)
- › the number and proportion of staff members (weighted on an FTE basis) who met the criteria for new and emerging researchers whose EPs were assigned a funded Quality Category (A, B, or C(NE))
- › standard deviations and standard errors, outlining the spread of results for each nominated academic unit (including the median, hinges, and smallest and largest data values).

Academic units that do not meet the threshold of seven or more FTE staff members who receive a funded Quality Category will be reported under a separate category of 'Other' to maintain the confidentiality of individuals' Quality Category results.

How will the results be presented?

Results that are presented in tables will be ranked alphabetically; this applies to TEO and subject area results.

The results at a TEO level will be banded based on the type of TEO:

- › Institutes of technology and polytechnics
- › Private training establishments
- › Universities
- › Wānanga

AQS results will be rounded to two decimal places.

Other information in the report

The report will also include:

- › a discussion of recommendations from the Moderation Panel's report for the TEC Board (which is likely to contain a brief discussion of the recommendations from each panel highlighting any issues of significance, for example, cross-panel consistency)
- › an analysis of trends in relation to the results of the previous Quality Evaluations
- › a commentary on the major changes to the Quality Evaluation processes
- › the annual funding allocated to each participating TEO via the PBRF for the:
 - Quality Evaluation
 - Research Degree Completion measure (including equity weightings)
 - External Research Income measure
- › demographic data including ethnicity, gender, age and full-time versus part-time staff.

Other information to be made available

At the conclusion of the 2018 Quality Evaluation, the public reports prepared by each panel (which are likely to contain, for example, the panel's observations on the subject areas and research performance demonstrated through the assessment of the EPs and comments on the differences between the distribution of Quality Categories for different subject areas) will also be published.

Calculating the Average Quality Score measures

Calculating the AQS(S)

Numerator

This is the staff FTE associated with EPs assigned a funded Quality Category (A, B, C or C(NE)) using data collected as part of the 2018 Quality Evaluations with the agreed weightings for each Quality Category: A = 5, B = 3, C(NE) = 2 and C = 1.

Denominator

This is the FTE-weighted number of all staff reported as academic or research staff, or teaching staff (private training establishments only).

The denominator will be based on a multi-year average of FTE totals at each participating TEO. The TEC plans to use staffing data for the 2015, 2016 and 2017 calendar years to calculate this average.

Formula for AQS(S)

$$(((A*5)+(B*3)+(C(NE)*2)+(C)))*10) \div (\Sigma \text{ of staff FTE})$$

Staffing data for the denominator

Staffing data from selected academic and research categories collected by Tribal Group will be used to calculate the AQS(S) denominator for institutes of technology and polytechnics, universities and wānanga.

Staffing data from the ‘Teaching Staff’ category of the [Workforce Questionnaire](#) will be used to calculate the AQS(S) denominator for private training establishments as Tribal Group does not collect data from these organisations.

The academic and research categories for institutes of technology and polytechnics, universities and wānanga are set out in the table below.

Academic (University)
Head of School
Professor
Associate Professor (Includes Adjunct Professor/Reader)
Professional Fellow
Senior Lecturer
Senior Fellow/Fellow/Assistant Fellow
Lecturer/Assistant Lecturer
Postdoctoral Fellow
Senior Tutor
Tutor/Teacher
Academic (Institutes of Technology and Polytechnics/Wānanga)
Programme Coordinator/Curriculum Manager (Kaiakō Matua/Pūkenga Matua)
Principal Academic Staff Member
Senior Academic Staff Member
Academic Staff Member (Kaiakō)

Research (All)
Research Activities
Externally Funded Research Activities

Calculating the AQS(E)

Numerator

This is the staff FTE associated with EPs assigned a funded Quality Category (A, B, C or C(NE)) using data collected as part of the 2018 Quality Evaluations with the weightings as set out above.

Denominator

This is the number of EFTS at degree level or higher associated with enrolments in qualifications at level seven or higher on the New Zealand Qualifications Framework as part of the single-data return by participating TEOs for the year ending 31 December 2017.

The number of EFTS that a TEO delivers at postgraduate degree level or higher will also be provided. This supports the reporting of the Research Degree Completion measure, which allocates PBRF funding based on the number of PBRF-eligible postgraduate research-based degrees completed at participating TEOs. No AQS results will be reported based on this subset of information.

EFTS data includes all EFTS irrespective of funding source, for example, including domestic and international students.

Formula for AQS(E)

$$(((A*5)+(B*3)+(C(NE)*2)+(C)))*10) \div (\sum \text{ of EFTS reported at degree level or higher})$$

An AQS(E) for each of the 2003, 2006 and 2012 Quality Evaluations will also be presented in the report as contextual information. The denominator will use EFTS data from 31 December 2003, 31 December 2005 and 31 December 2011.

Calculating PBRF allocations

PBRF allocations are based on the results of all three PBRF components:

- › Quality Evaluation
- › Research Degree Completions
- › External Research Income.

Formula and calculations for the Quality Evaluation

Allocations for the Quality Evaluation component are based on:

- › the funded Quality Categories assigned to EPs
- › the weighting for the subject area to which EPs have been assigned
- › the FTE status of the participating TEO's PBRF-eligible staff member as recorded in the PBRF Staff Data File (with the qualifications as outlined below in the section 'FTE status of staff').

Formula for Quality Evaluation funding

$$\sum \text{TEO} [(\text{numerical quality category weighting}) \times (\text{FTE status of staff member}) \times (\text{funding weighting for relevant subject area})]$$

÷

$$\sum \text{all TEOs} [(\text{numerical quality category weighting}) \times (\text{FTE status of staff member}) \times (\text{funding weighting for relevant subject area})]$$

×

Total amount of funding available for the Quality Evaluation component of the PBRF

Funded Quality Category weightings

The R and R(NE) Quality Categories are unfunded.

Quality Category	Weighting
A	5
B	3
C	1
C(NE)	2

Subject-area weighting

Subject-area weightings are based on an EP's primary subject area of research.

Subject area	Weighting
Māori knowledge and development; law; history, history of art, classics and curatorial studies; English language and literature; foreign languages and linguistics; philosophy; religious studies and theology; political science, international relations and public policy; human geography; sociology, social policy, social work, criminology and gender studies; anthropology and archaeology; communications, journalism and media studies; education; pure and applied mathematics; statistics; management, human resources, industrial relations, international business and other business; accounting and finance; marketing and tourism; economics; and Pacific research.	1
Psychology; chemistry; physics; earth sciences; molecular, cellular and whole organism biology; ecology, evolution and behaviour; computer science, information technology, information sciences; nursing; sport and exercise science; other health studies (including rehabilitation therapies); music, literary arts and other arts; visual arts and crafts; theatre and dance, film and television and multimedia; and design.	2
Engineering and technology; agriculture and other applied biological sciences; architecture, design, planning, surveying; biomedical; clinical medicine; pharmacy; public health; veterinary studies and large animal science; and dentistry.	2.5

EPs submitted to the Māori Knowledge and Development Panel and the Pacific Research Panel will have the weighting of the underlying subject area applied to them.

FTE status of staff members

For most staff members, the FTE used in the funding calculation will be that recorded in the PBRF Staff Data file.

Where staff members are concurrently employed by two or more participating TEOs, the TEC will use the FTE recorded in the PBRF Staff Data file of each TEO and proportion the funding to equate to no more than one FTE for a single staff member.

The TEC will calculate an effective FTE (E-FTE) for staff who transfer between participating TEOs using the proportions set out in the staff-eligibility criteria.

Funding allocations for the Research Degree Completion and External Research Income components

These allocations are calculated on an annual basis. The PBRF User Manual provides information on the reporting requirements and funding calculations for these two components.

Individual staff members' Quality Categories

TEOs that have submitted EPs to the 2018 Quality Evaluation will be notified of their results shortly before the public release in April 2019. Part of this will be a confidential report on the Quality Categories that the peer review panels have assigned to individual staff members from that TEO.

The main purpose for releasing this information to the TEO is to ensure that the TEC has correctly calculated Quality Evaluation funding and the AQS results, and so the TEO can advise staff members of their Quality Category results. It also gives a TEO more information about its areas of strength and weakness. This allows the TEO to take steps to improve the quality of research through targeted internal resource allocation and staff support. This should allow the TEO to:

- › increase the average quality of research produced by the TEO
- › improve the quality of information on research outputs.

There is a recommended protocol for TEOs to ensure that information on staff members' Quality Categories is used appropriately and sensitively. The TEC expects that participating TEOs will use the recommended protocol provided or develop their own version based on those principles, and ensure that their staff are familiar with the protocol.

There will be no **public** release by the TEC of the Quality Categories assigned to individual staff members' EPs.

If an EP was transferred to a panel different from that requested, this information will be given to the TEO along with the reason for the transfer. TEOs should advise the relevant staff member(s) of the transfer when the results of the Quality Evaluation are released. This information will also be included in the report on the assessment of the staff member's EP, which can be requested by the individual staff member.

Protocol for tertiary education organisations on the treatment of PBRF Quality Categories



This recommended protocol for TEOs was developed by the 2012 Quality Evaluation PBRF Sector Reference Group, in consultation with the sector, the Tertiary Education Union and other stakeholders.

An important aspect of the Quality Evaluation is maintaining the confidentiality of staff member's individual Quality Categories. This protocol was established to ensure that tertiary education organisations (TEOs) maintain the confidentiality of individual Quality Categories for all staff members, and that they have processes and protocols to keep Quality Category information secure.

All participating TEOs are subject to the Privacy Act 1993. The Office of the Privacy Commissioner has provided advice that TEOs are unlikely to breach the Privacy Act as long as they are open and clearly articulate the reasons for collecting PBRF data and the purposes the information will be used for. This transparency can be achieved by a TEO's commitment to the recommended protocol provided, or by developing their own version based on those principles. The Tertiary Education Union has been consulted and supports the intent of this protocol, but it reserves the right to decline its support of institution-developed protocols if these differ markedly from the TEC-recommended protocol.

The TEC expects that participating TEOs have ensured staff members are familiar with the protocol. Any complaints received by the TEC about a TEO's use of individual Quality Categories will be referred back to the relevant TEO.

Recommended protocol

1. The TEO will establish processes and protocols for maintaining confidentiality of individual Quality Categories for all staff, and processes and protocols to keep this information secure.
2. All staff participating in PBRF Quality Evaluations will be informed by their employing TEO of:
 - a. the processes and procedures by which PBRF data, including individual Quality Categories, will be communicated and to whom
 - b. those people and positions within the TEO who will have access to an individual's Quality Category
 - c. the uses to which individual Quality Categories (and Component Scores, if staff members volunteer this information to their TEO) may be put and the uses to which they may not be put
 - d. this Sector Reference Group (SRG) recommended protocol
 - e. any TEO-developed protocol that relates to the use of Quality Category results and any endorsement by relevant unions.
3. The TEO will advise individual participating staff of their personal Quality Category (and any other data relating to the assignment of the Quality Category relevant to them that is provided to the TEO by the TEC), unless the staff member requests otherwise.

4. The TEO will restrict access to individual Quality Categories to the minimum number of staff necessary to achieve the following purposes:
 - a. validation of the accuracy of the Quality Categories, along with full-time equivalent and subject cost categories for individual staff
 - b. internal management and allocation of financial resources (consistent with the purposes of the PBRF)
 - c. to identify strengths of departments and/or schools
 - d. as an externally validated benchmark to help ensure appropriate internal calibration of assessments of research.

Advice must be given by TEOs to staff members, before their participation in the 2018 Quality Evaluation, that the TEO may use individual Quality Categories for these purposes. TEOs should ensure that no identification of individual Quality Categories can be made outside this small number of staff.

5. The TEO will, in conjunction with staff and relevant union representatives, seek to establish agreed codes of practice and complaint procedures that govern the behaviour of staff members participating in the PBRF Quality Evaluation. The TEO's code of practice relating to staff participation in the PBRF Quality Evaluation will state that:
 - a. maintenance of the confidentiality of individual Quality Categories (and Component Scores, if staff members volunteer this information to their TEO) is a priority for the TEO
 - b. staff members will not be required to divulge their Quality Categories or Component Scores
 - c. each staff member has an opportunity to discuss their Quality Category with their manager if the staff member desires
 - d. in the event that a staff member advises a manager of their Quality Category, or Component Scores, or both, that manager will ensure that these are kept private and confidential and will not use that information other than for purposes authorised by the individual staff member concerned and within the restrictions specified in this SRG-recommended protocol.
6. The TEO will not use individual Quality Categories or information leading to the revelation of individual Quality Categories for purposes other than those consistent with this SRG-recommended protocol. In particular:
 - a. the TEO will not use individual Quality Categories as a basis for salary determinations
 - b. the TEO will not request individual Quality Categories for recruitment purposes. Recruitment decisions should be made on the basis of all evidence of teaching, research and service performance as they relate to

- the specific role, as well as the TEO's overall staff profile (particularly since the offered Quality Category cannot be verified by the TEO)
 - c. the TEO will not use individual Quality Categories for performance appraisals or for disciplinary action against staff.
7. The TEO will not divulge individuals' Quality Categories to any third party without the prior authorisation of the individuals concerned. In particular, the TEO will ensure that individual Quality Categories of staff, either employed by the TEO concerned or by another TEO, are not revealed through marketing or advertising activity initiated by the TEO.

Staff requesting their own results

Individual staff members participating in the 2018 Quality Evaluation, or staff members who participated in previous Quality Evaluations, are able to request more detailed information on the assessment of the Evidence Portfolio (EP) submitted by their employing tertiary education organisation (TEO).

- › TEOs cannot request this information on behalf of their current or previous staff members.
- › The form will be available to download from the TEC website in April 2019 or requested from your TEO's PBRF contact person.
- › The form for requesting 2012 Quality Evaluation results can be downloaded from the TEC website in the section [Researchers' requests for assessment information](#).

Requesting results

All requests for results must be submitted by individual staff members on the form provided by the TEC.

The form must include the following information for the TEC:

- › full name
- › date of birth
- › National Student Number (provided by the TEO)
- › name of the TEO that submitted the EP
- › contact phone number
- › email address
- › postal address to send the printed report.

This information will ensure that the staff member is correctly identified by the TEC.

Submitting requests for results

The completed Request for Evidence Portfolio Information form can be emailed or mailed to the TEC.

Email: sectorhelpdesk@tec.govt.nz with the subject line PBRF Quality Evaluation results request.

Mail: Tertiary Education Commission
PBRF Quality Evaluation results request
ATTN: Sector Help Desk
PO Box 27-048
Wellington 6141
New Zealand

Processing of requests

After receiving a completed Request for Evidence Portfolio Information form from a staff member, the TEC will confirm the identity of the individual, prepare the report and forward it to the staff member at the address provided in the request.

New Zealand-based staff members will be posted a hard copy of the information. Overseas-based staff members will be emailed an electronic copy.

If the TEC has any concerns related to the identity of the staff member, the information will not be released. Staff members may need to check their information with the Research Office of the TEO that submitted the EP.

The TEC aims to process requests within 20 working days from receipt of the form. Requests for results from the 2003, 2006 and 2012 Quality Evaluations may take longer to process.

The TEC will not release information on the 2018 Quality Evaluation assessment to individual researchers until these results have been received by TEOs. This is expected to be mid-April 2019.

Information that will be released

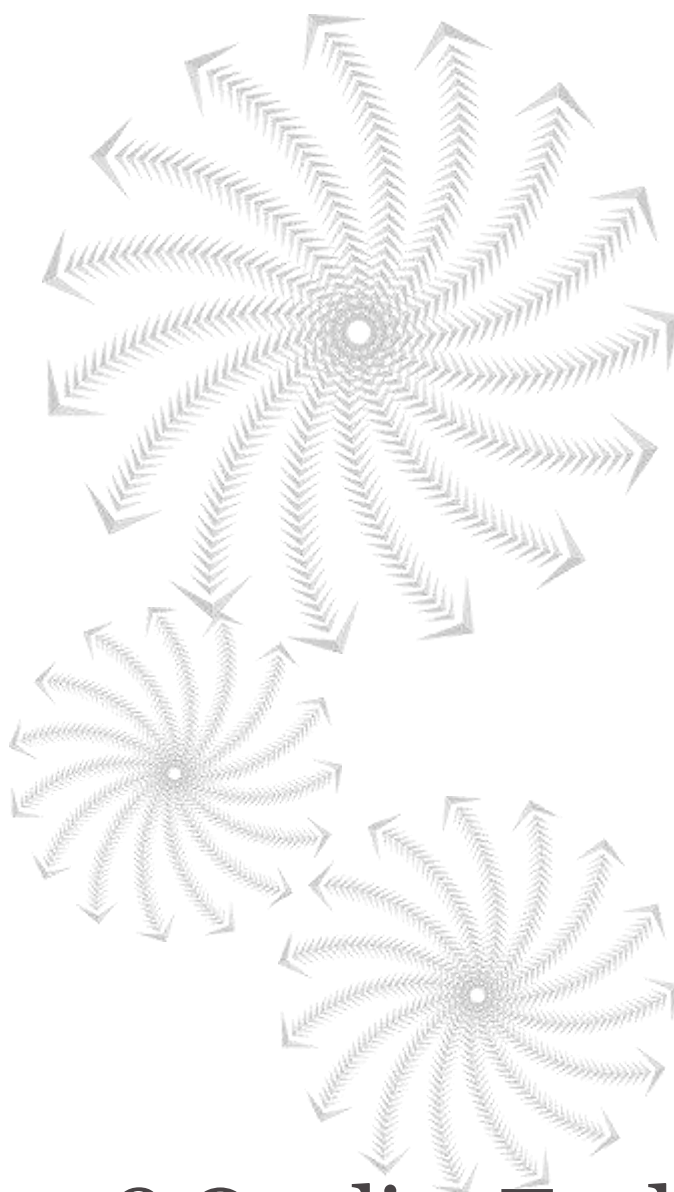
The following information on the 2018 Quality Evaluation assessment will be released to staff members:

- › a list of cross referrals (requested, declined, approved)
- › staff member details as submitted in the PBRF Staff Data file by one or more TEOs
- › actions and observations including transfer of the EP to another panel
- › Calibrated Panel component scores
- › Calibrated Panel Quality Category
- › Holistic Quality Category
- › Final Quality Category.

To preserve the confidentiality of panel members, the names of assessors assigned to any EP will not be released to the staff member or the TEO.



For the 2018 Quality Evaluation, the TEC has returned to the practice of excluding the Preparatory and Preliminary scores in these reports. These scores are from the initial stages of the scoring process, are not yet moderated or calibrated and, accordingly, do not always reflect the Quality Category score. Following the 2012 Quality Evaluation, feedback indicated that these scores created confusion about the assessment process.



2018 Quality Evaluation

How to make a complaint about errors

Complaints about administrative and procedural errors

The Quality Evaluation processes are set up to ensure fairness as far as possible. Panels are trained to undertake a fair and impartial assessment. The complaints process is designed to ensure that, if there has been a failing of due process, this can be rectified appropriately.

The TEC will only accept and investigate complaints concerning possible administrative or procedural errors, for example:

- the failure to assign a Quality Category to an Evidence Portfolio (EP)
- a failure to follow the assessment processes outlined in the PBRF Guidelines.
- › The TEC will not accept or investigate complaints relating to substantive decision making by a peer review panel, including:
 - the criteria for assessing EPs
 - the guidelines on the conduct of the assessment process
 - the composition of a particular peer review panel
 - the judgements made by peer review panels concerning the quality of research or research-related activity presented in the EP.

Making a complaint

All complaints must be submitted:

- › by the staff member's employing tertiary education organisation (TEO)
- › on the template provided by the TEC
- › within 35 working days of the TEO being notified of the Quality Evaluation results.

Complaints must be emailed to the TEC:

Email: pbrfhelp@tec.govt.nz with the subject line PBRF 2018 Quality Evaluation complaint submission.

Each complaint must:

- › state the nature of the error (administrative or procedural, or both)
- › state the part(s) of the PBRF 2018 Quality Evaluation Guidelines or panel-specific guidelines that the complaint relates to
- › identify the part(s) of the EP that are affected by the alleged error
- › specify the remedy that the TEO is seeking.

Any associated evidence must be provided at the time the complaint is submitted.

A separate complaint must be submitted to the TEC for each EP the TEO believes may have been affected by an administrative or procedural error.



Complaints from the 2012 Quality Evaluation

Forty-one complaints were submitted by 11 TEOs following the 2012 Quality Evaluation.

Complaints fell into the following categories:

- 2 administrative errors
- 32 procedural errors
- 7 administrative and procedural errors.

The TEC and the legal firm Buddle Finlay investigated all complaints.

Two complaints were upheld or partially upheld:

- an administrative error, where the incorrect subject area weighting was given
- a procedural error relating to ambiguity in the PBRF Guidelines about the process for reconvening the full

Only TEOs can submit complaints. Any complaint received from individual staff members will be referred back to the relevant TEO.

*Staff members may need to request their **detailed assessment information** from the TEC before the TEO can determine if an administrative or procedural error has occurred.*

Processing complaints

On receiving a complaint, the appropriate TEC staff will investigate the matter and provide an initial report. Depending on the nature of the complaint, an external person (or persons) may be asked to help or advise the TEC.

The TEC will respond to the TEO within 60 working days of receiving the complaint to advise on the outcome and any action that may be taken in regard to the outcome if appropriate.

Possible outcome from complaints

- › A complaint will either be:
- › upheld
- › partially upheld
- › not upheld.

If a complaint is upheld or partially upheld then possible actions may include:

- › correcting any data entry errors in the case of a simple administrative error
- › in the case of failures of due process, the EP could be reassessed or panels reconvened.

The TEO is required to pay a fee of \$350 (including GST) for each complaint that is not upheld.

Once the TEC has provided the TEO with the formal response and outcome of the investigation(s), it will not undertake further investigation of a complaint.

TEOs that are unhappy with the TEC's investigation and response to the complaint may seek a judicial review or may complain directly to the Office of the Ombudsman.

Glossary

The glossary contains the broad meanings of commonly used terms. Full descriptions of these can be found in the main body of the guidelines.

Term	Meaning
Assessment period	The period between 1 January 2012 and 31 December 2017. Only research outputs produced and research contributions undertaken in this period are eligible for inclusion in an Evidence Portfolio for the 2018 Quality Evaluation round.
Co-authorship	Process by which a research output is produced by more than one researcher.
Component scores	The scores from zero to seven that are assigned to each of the two components of an Evidence Portfolio (Research Output and Research Contribution).
Contract duration period	The timeframe a staff member is contracted for.
Co-production	Process by which a research output is produced by more than one researcher.
Course	The smallest component of a qualification that contributes credit toward the completion of the qualification. Other terms used to describe a course include unit, paper or module.
Degree-level course or equivalent	Course or equivalent that leads to a degree or related qualification. Degree-level courses include those at level 5 or above on the New Zealand Qualifications Authority framework. Courses taught as part of qualifications, such as certificates or diplomas that can form one or more years of study towards a degree, are included as degree-level courses.
Evidence Portfolio (EP)	TEOs collect information on the research outputs and research-related activity of their PBRF-eligible staff members during the assessment period. This information forms the EP that is submitted by the TEO to the TEC for assessment by a peer review panel.

Term	Meaning
Excellence	<p>Excellence, in this respect, is not just about the production of high-quality research articles, books, exhibitions and other forms of research output. It also includes all of the following:</p> <ul style="list-style-type: none"> › the production and creation of leading-edge knowledge › the application of that knowledge › the dissemination of that knowledge to students and the wider community › supporting current and potential researchers, such as postgraduate students, in the creation, application and dissemination of knowledge. <p>The primary purpose of the PBRF is rewarding and encouraging excellence.</p>
External Research Income (ERI)	<p>A measure of the income for research purposes gained by a TEO from external sources.</p> <p>ERI is one of the three measures of the PBRF, along with the Research Degree Completion measure and the Quality Evaluation.</p>
EFTS	Equivalent full-time student.
FTE	Full-time-equivalent.
Interdisciplinary research	Research that crosses two or more academic disciplines or subject areas.
Joint research	Research produced by two or more researchers.
Major role	A staff member contributes at least 25 percent of the delivery of the course and corresponding working time to the design of the course and/or the design of the assessment process.
Moderation Panel	Panel that meets to review the work of peer review panels to ensure that the TEC policy has been followed and the Quality Evaluation process has been consistent across the panels.
New and emerging researcher	A PBRF-eligible staff member who is undertaking substantive and independent research for the first time in their career and meets the criteria for new and emerging researcher status.

Term	Meaning
Nominated academic unit	The academic unit nominated by the TEO for each of the staff members for whom an Evidence Portfolio is being submitted.
Nominated Research Outputs (NROs)	The up to four best research outputs that the PBRF-eligible staff member nominates in their Evidence Portfolio. NROs are given particular scrutiny during the Quality Evaluation process.
Non-quality-assured research output	A research output that has not completed a formal process of quality assurance.
Other Research Outputs (OROs)	Up to 12 research outputs that the PBRF-eligible staff member nominates in their Evidence Portfolio if they have four Nominated Research Outputs. OROs form evidence of the staff member's platform of research.
Overseas-based staff	A staff member who is resident in New Zealand for less than 50 percent of their employment period and employed for less than 0.5 full-time equivalent. Overseas-based staff members are not eligible to participate in the 2018 Quality Evaluation.
Panel	See peer review panel and Moderation Panel.
PBRF staff-eligibility date	14 June 2018. The key date for determining staff eligibility.
PBRF staff-eligibility period	Any 12-month period that bridges the PBRF staff-eligibility date of 14 June 2018.
PBRF-eligible staff member	A person who is employed by a TEO or otherwise contracted by a TEO on a contract for service in their own right as individuals, an entity or trading name, through their employer, or any other contracting the TEO may have developed, and meets the staff-eligibility criteria.
PBRF IT System	Online information technology system used by the TEC to administer and support the Quality Evaluation process.
PBRF Staff Data File	A file submitted by participating TEOs that provides detailed information on all PBRF-eligible staff members for whom an Evidence Portfolio is being submitted, and any transferring or concurrently employed PBRF-eligible staff members.

Term	Meaning
Peer review panel	Group of experts who evaluate the quality of research as set out in an individual Evidence Portfolio. There are 13 peer review panels, each covering different subject areas.
Points/points scale	The points range used to score each of the two components of an Evidence Portfolio during the first stage in the assessment of an Evidence Portfolio. The points scale ranges from zero (lowest) to seven (highest).
Primary field of research	The research field of the staff member's research activity during the assessment period, and especially that of the (up to) four Nominated Research Outputs selected for their Evidence Portfolio.
Produced	'Produced' in the context of the PBRF means that the final version of the research output was first made available in the public domain during the assessment period.
Quality-assurance process	Formal, independent scrutiny by those with the necessary expertise and/or skills to assess quality.
Quality-assured research output	Research output that has been subject to a formal process of quality assurance.
Quality Category	<p>A rating of researcher excellence assigned to the Evidence Portfolio of a PBRF-eligible staff member following the Quality Evaluation process.</p> <p>There are six Quality Categories: A, B, C, C(NE), R and R(NE). Quality Category A signifies researcher excellence at the highest level, and Quality Category R represents research activity or quality at a level that is insufficient for recognition by the PBRF. The A, B, C(NE) and R(NE) Quality Categories are available for new and emerging researchers.</p> <p>The A, B, C and C(NE) Quality Categories are funded Quality Categories.</p>

Term	Meaning
Quality Evaluation	<p>The process that assesses the quality of research output produced by PBRF-eligible staff members, the esteem within which they are regarded for their research activity, the contribution they have made to the research environment, and the impact their research has had within a given assessment period.</p> <p>The Quality Evaluation is one of the three measures of the PBRF, along with the Research Degree Completion measure and the External Research Income measure.</p>
Research	See the PBRF Definition of Research in the guidelines.
Research Contribution (RC) component	<p>A research contribution item is evidence that describes the contribution or recognition or impact of a staff member's research and research-related activities.</p> <p>The Research Contribution (RC) component is one of the two components of an Evidence Portfolio and is worth 30 percent of the overall assessment score.</p> <p>A research contribution type is one of the 12 defined categories for listing research-related activity in an Evidence Portfolio.</p>
Research Degree Completion (RDC) measure	<p>A measure of the number of research-based postgraduate degrees completed within a TEO where there is a research component of 0.75 equivalent full-time students or more and external moderation.</p> <p>One of the three measures of the PBRF, along with the External Research Income measure and the Quality Evaluation.</p>
Research Output (RO) component	<p>A research output is a product of research that is evaluated during the Quality Evaluation process.</p> <p>The Research Output (RO) component is one of the two components of an Evidence Portfolio.</p> <p>A research output type is one of the defined categories for listing research outputs in an Evidence Portfolio.</p>
Staff-eligibility criteria	The criteria that staff have to meet to be eligible to participate in the Quality Evaluation.

Term	Meaning
Subject area	One of the 43 subject areas defined to represent the range of research disciplines assessed in the Quality Evaluation.
TEC	Tertiary Education Commission.
TEO	Tertiary education organisation.
Tie-points	The standards expected for the scores two, four and six in each of the two components of an Evidence Portfolio.
Total weighted score	The sum of the points allocated to each component of the Evidence Portfolio during the first stage of assessment, multiplied by the weighting for each component.
URI	A Uniform Resource Identifier (URI) is a <u>string of characters</u> used to <u>identify</u> a name or a <u>resource</u> on the <u>Internet</u> or in the TEC temporary repository of Nominated Research Outputs.
XML	XML (Extensible Markup Language) is a set of rules for encoding documents in machine-readable form. It is defined in the XML 1.0 Specification produced by the W3C.

Tertiary Education Organisation Audit Declaration

Declaration of the Vice-Chancellor/Chief Executive Officer for a tertiary education organisation participating in the Performance-Based Research Fund 2018 Quality Evaluation

I,

(full name) being the Vice-Chancellor/Chief Executive Officer

of

(organisation name)

1. agree that information required for the purpose of auditing 2018 Quality Evaluation submissions will be provided; and
2. confirm that, to the best of my knowledge, all reasonable steps have been taken to ensure that:
 - a) the information contained in the Evidence Portfolios submitted to the Tertiary Education Commission by the above-named organisation is complete, accurate and complies with the PBRF Guidelines issued by the Tertiary Education Commission;
 - b) all the staff members who are being submitted to the Tertiary Education Commission for assessment in the Quality Evaluation meet the requirements for participation in the PBRF;
 - c) the above-named organisation has appropriately applied the PBRF Guidelines to ensure all Evidence Portfolios likely to receive a funded Quality Category have been submitted for assessment in the Quality Evaluation;
 - d) all the Nominated Research Outputs identified in the submitted Evidence Portfolios are, if necessary, available for inspection by the peer review panels;
 - e) only staff members with legitimate circumstances have claimed the extraordinary circumstances provision.

3. The above-named organisation has complied and will continue to comply with all other relevant PBRF Guidelines.

.....

Signature of Vice-Chancellor/Chief Executive Officer

.....

Dated