



**Tertiary
Education
Commission**
Te Amorangi
Mātauranga Matua



Performance-Based Research Fund

Guidelines for the 2018 Quality
Evaluation assessment process

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The Tertiary Education Commission

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Contents

Preface from the Chief Executive	3
How to use these guidelines	4
Structure of the guidelines	5
TEO overview	6
What happens in the Quality Evaluation?	7
Key dates for the 2018 Quality Evaluation	9
What is research?	11
What counts as research in the 2018 PBRF Quality Evaluation?	12
PBRF Definition of Research	12
What is an Evidence Portfolio?	12
What is an Evidence Portfolio?	13
What information is in an Evidence Portfolio?	13
What is the Quality Evaluation assessment?	15
The 2018 Quality Evaluation assessment	16
The general principles of the Quality Evaluation assessment	16
What is the platform of research?	17
Guidance about quantity of research or research-related activity	17
Assessing new and emerging researchers	18
What is the role of peer review panels?	19
Responsibilities of panel Chairs, Deputy Chairs and members	20
Responsibilities of a panel Chair in the assessment process	20
Responsibilities of a Deputy Chair in the assessment process	20
Responsibilities of panel members in the assessment process	21
How do conflicts of interest and confidentiality work?	22
Guidelines for conflict of interest and confidentiality	23
Conflict of interest policy	23
Consideration of a conflict of interest notice	26
Confidentiality policy	26
How does the scoring system work?	29
The scoring system for Evidence Portfolios	30
The numerical scoring system	30
The weighting system for scores	30
What are the Quality Categories?	32
Defining ‘world-class research’	33

What are the stages of the assessment process?	35
The panel assessment process	36
Assignment of Evidence Portfolios to panel members	36
Cross-referring an Evidence Portfolio to the Māori Knowledge and Development Panel and the Pacific Research Panel	37
Cross-referring an Evidence Portfolio to another panel for assessment	37
Transferring an Evidence Portfolio to another panel	37
Pre-meeting assessment and scoring	38
Panel meeting assessment and scoring	39
How are research outputs assessed?	44
Assessing the Research Output component	45
General principles for assessing the Research Output component	45
Allocating scores to the Research Output component	45
Selecting, accessing and examining Nominated Research Outputs	48
Selecting a Nominated Research Output for assessment	48
Accessing copies of selected Nominated Research Outputs	49
Examining selected Nominated Research Outputs	49
Number of Nominated Research Outputs to be examined	50
How are research contributions assessed?	51
Assessing the Research Contribution component	52
General principles for assessing the Research Contribution component	52
Allocating scores to the Research Contribution component	53
What is the moderation process?	59
The moderation process	60
Purpose of the moderation process	60
The moderation process	60
Reconvening of panels	63
Moderation Panel reporting	64

Preface from the Chief Executive

Tēnā koutou

The Tertiary Education Commission is pleased to publish the guidelines for the 2018 Performance-Based Research Fund (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 on the 2018 Quality Evaluation assessment process*, provides information about the assessment process undertaken by the 13 peer review panels. This includes information on the responsibilities of the panel, the scoring system and detailed scoring descriptors for Evidence Portfolios (EPs), the stages in the assessment process, the moderation process, and information about conflicts of interest and confidentiality.

The 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 EPs, understand and participate in the 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, [*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 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
Peer review panels			Main audience	✓
TEOs	✓	Main audience	✓	✓
Staff members	Main audience	✓	✓	✓

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.

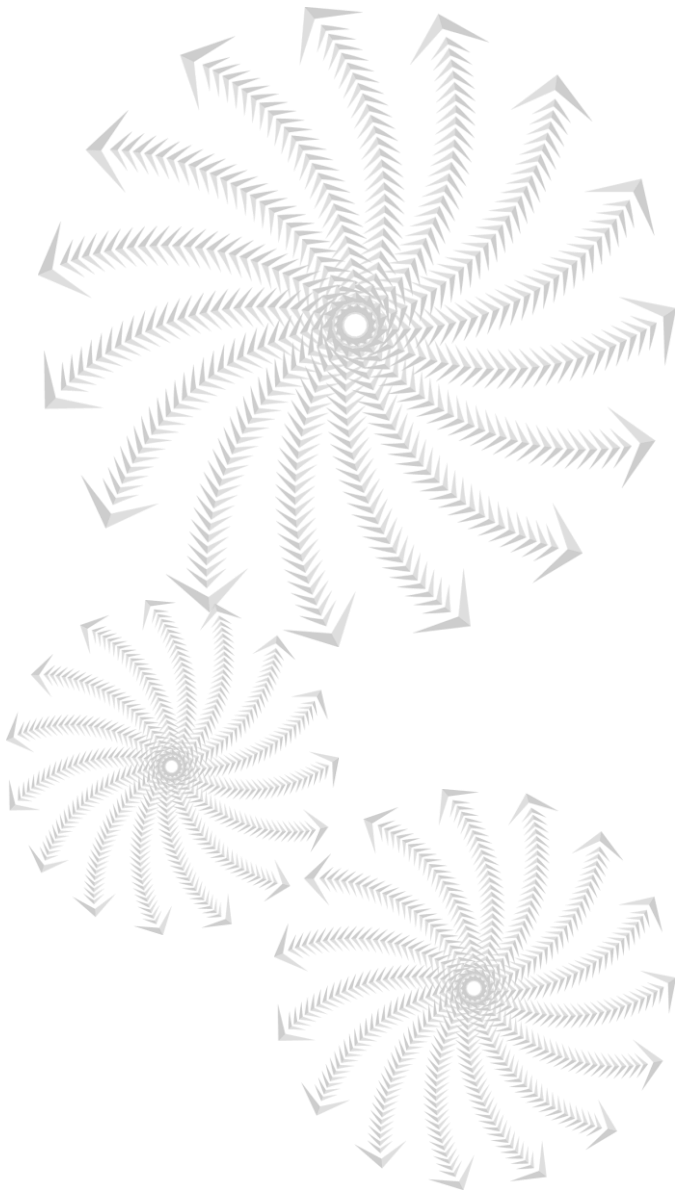
Information on the background and purpose of the PBRF can be found on the PBRF pages of the TEC's website www.tec.govt.nz.

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.49	November 2016
Clarification in reconvening of panels, that information will be provided to the TEC Board if there are any changes which result in a change to the funding allocations	p.63	September 2017



2018 Quality Evaluation

TEO overview

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).

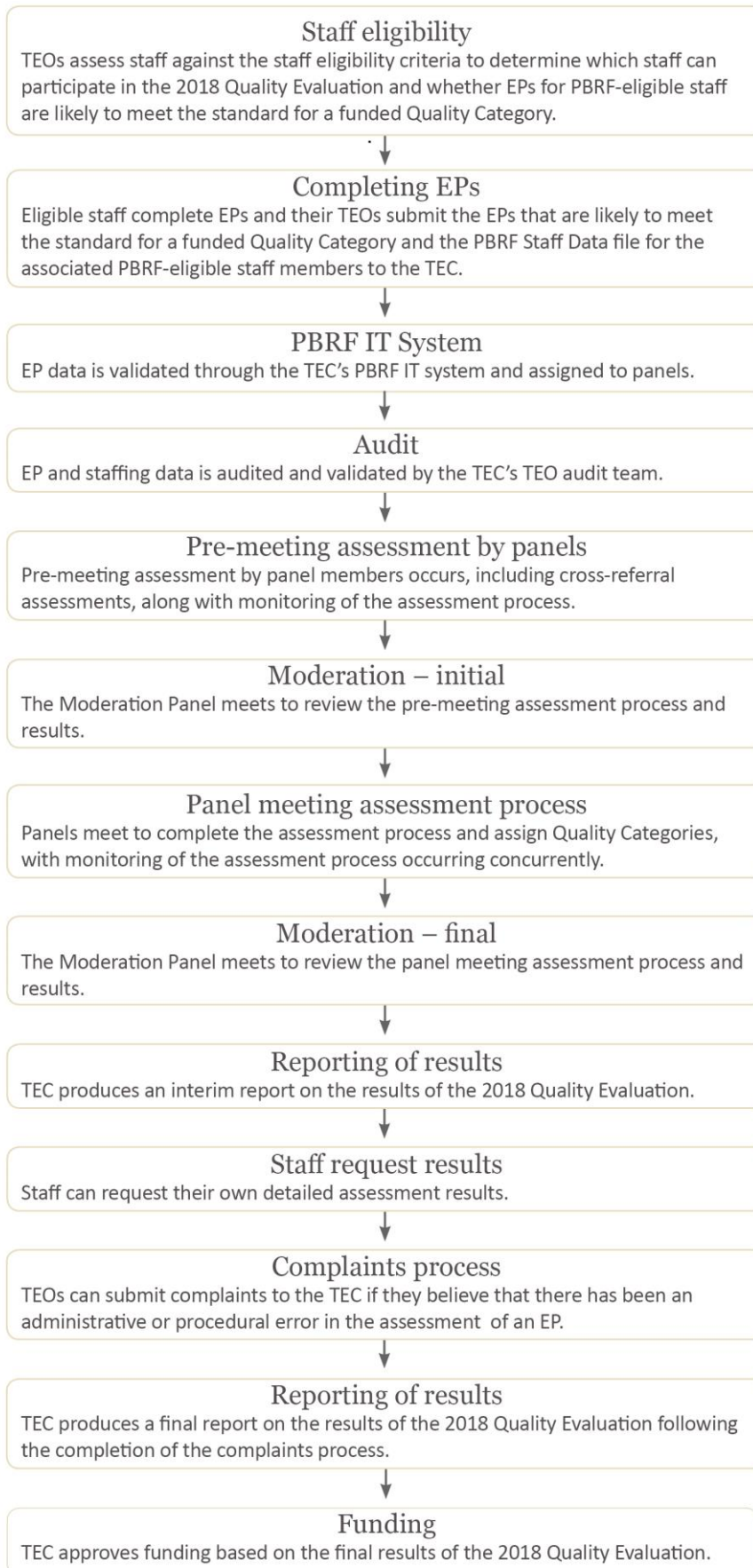
TEOs determine which of their staff members are eligible to participate and then decide if each staff member's research is likely to meet the standard for a funded Quality Category. TEOs then compile Evidence Portfolios (EPs) and submit them to the Tertiary Education Commission (TEC) through the PBRF 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

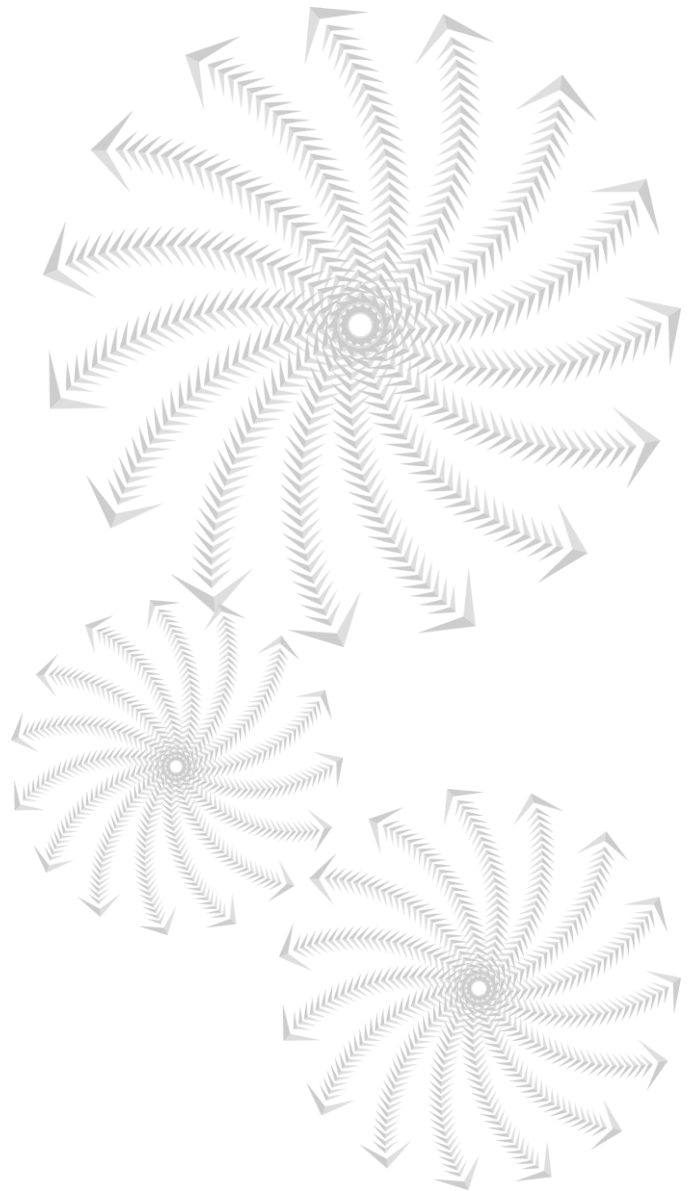


Key dates for the 2018 Quality Evaluation

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
Panel assessment and moderation	Panel meetings	19 November 2018 – 7 December 2018
	Second Moderation Panel meeting	December 2018

Phase	Deadline/activity	Date
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 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.



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.

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.



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

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.



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 Environment components, and now includes research impact.

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 can include 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 quality 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 although a TEO’s internal process may require this. 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.

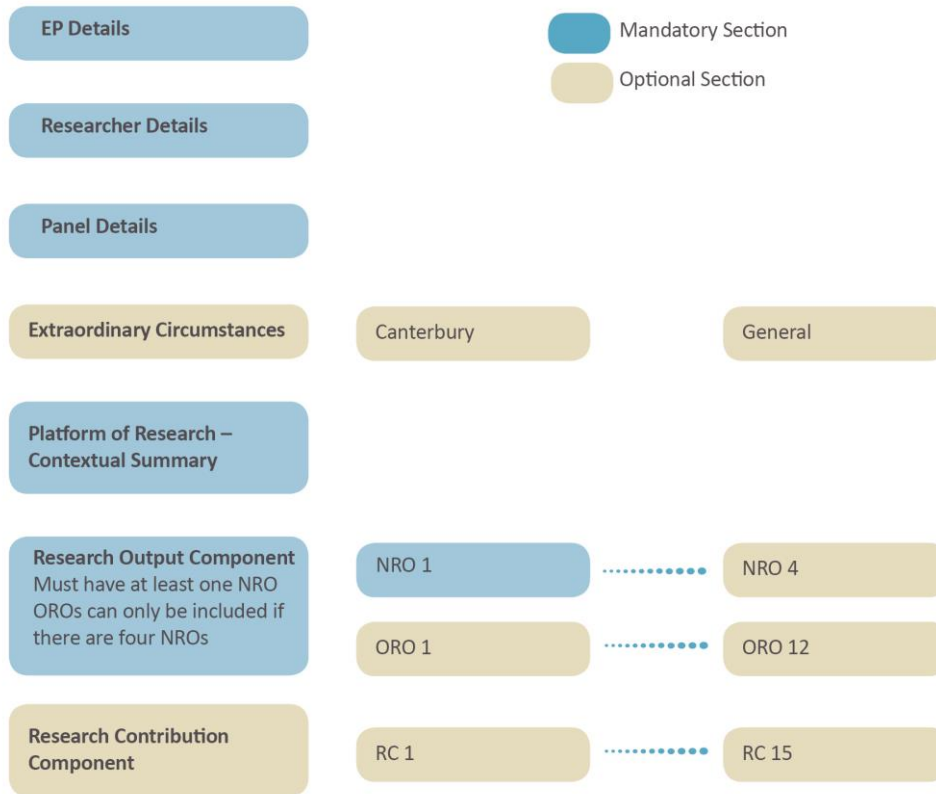
What information is in an Evidence Portfolio?

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

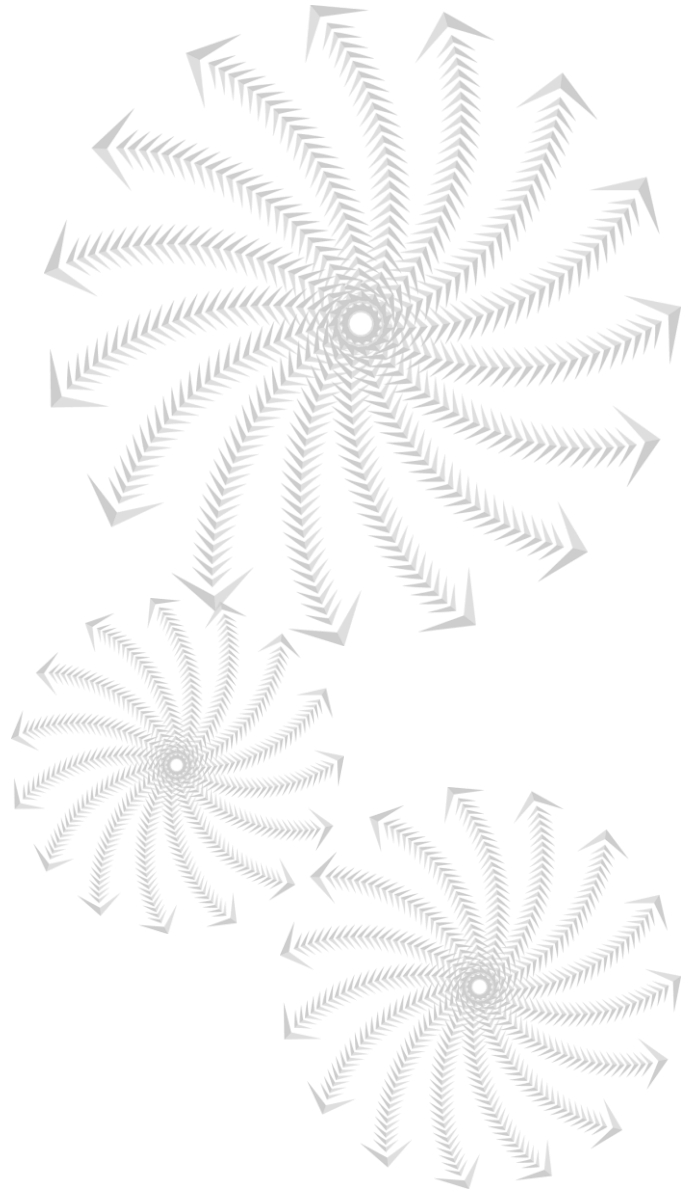
- › EP Details
- › Researcher Details
- › Panel Details
- › Extraordinary Circumstances:
 - General
 - Canterbury
- › Platform of Research – Contextual Summary
- › RO Component:
 - NROs
 - OROs
- › RC Component.

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.



2018 Quality Evaluation

What is the Quality Evaluation assessment?

The 2018 Quality Evaluation assessment

The Quality Evaluation is the assessment of the research quality of tertiary education organisation (TEO) staff. This quality is assessed by expert peer review panels through the research activity presented in an Evidence Portfolio (EP) for each eligible staff member.

- › An EP is assessed on its two components:
 - Research Outputs (RO)
 - Research Contribution (RC).
- › The Quality Evaluation assessment is primarily concerned with the quality of the research rather than the quantity of research outputs and research contributions submitted in the EP.

The general principles of the Quality Evaluation assessment

The following principles should be used in assessing EPs:

- › The Quality Evaluation is a standards-referenced rather than a norm-referenced assessment process. There are no predetermined limits on the proportion of PBRF-eligible staff members that can be assigned to particular Quality Categories.
- › The standards are based on the descriptors for each of the two components of the EP. There are specific tie-points that set out the standards expected for the scores two, four and six for the [RO component](#) and the [RC component](#).
- › The assessment is a holistic, judgement-based process that incorporates **all** the information provided in the full EP including the Platform – Contextual Summary. This information is then judged against the component and tie-point descriptors for each of the two components of the EP and also the descriptors for each Quality Category.
- › Only the information contained in the EP, along with any Nominated Research Outputs (NROs) examined by the relevant peer review panel, will be used for assessment purposes. No external information will be taken into account, for example, what a panellist may know as part of their professional role. Panels cannot seek out any additional information to inform their judgements.
- › There are [specific considerations](#) for new and emerging researchers that relate to assigning the [C\(NE\) Quality Category](#).
- › There is provision for the recognition of extraordinary circumstances that affect the quantity of research and/or research-related activity during the assessment period.
- › In the RO component, each output must meet the PBRF Definition of Research and the output(s) collectively would normally be of sufficient quality to meet the [standard for an RO score of two](#) (as a minimum) to be considered for a funded Quality Category.
- › At the Holistic assessment stage, particular attention will be given to EPs that:
 - are on, or close to, the boundaries between Quality Categories
 - have a lower quantity in either of the two components because of extraordinary circumstances

- have unusual combinations of scores between the components (for example, seven for RO but two for RC).

What is the platform of research?

The research platform is the body of research that primarily includes the outputs as described in the NROs and the Other Research Outputs (OROs). EPs can contain up to four NROs and up to 12 OROs.

A minimum of one NRO is required for an EP to be accepted for consideration by the TEC for assessment.

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

The Platform of Research – Contextual Summary should provide the panel with a clear introduction and overview to the research outputs and research-related activity presented within the EP, and reflect the overall platform of research. It should answer the questions: who is the researcher, what are they doing and what is their research? EPs may present evidence of the breadth of their platform outside of the NROs and OROs in this section.

Guidance about quantity of research or research-related activity

The Final Quality Category is based, in part, on evidence of an adequate platform of research.

Reduction in quantity related to extraordinary circumstances

Some EPs may claim the extraordinary circumstances provision where the staff member has experienced circumstances that have seriously impacted the quantity of research and/or research-related activities during the assessment period.

Where a staff member claims there is a reduction in the quantity of research and/or research-related activity and the EP claims the extraordinary circumstances provision, the EP will be automatically flagged for detailed review as part of the [Holistic assessment process](#).

Other considerations related to quantity

If a panel member considers that the result of the scoring reflects an issue related to the quantity of research outputs or research-related activity but extraordinary circumstances have not been claimed, then this should be discussed with the other member of the panel-pair assessing the EP to ensure that the scores are appropriately calibrated against the tie-point descriptors.

If the consensus is that the result of the scoring (as shown by the Indicative Quality Category) does not seem to give an appropriate grade in that it does not align well with the Quality Category descriptor, then panellists should first reconsider the component scoring. If the component scoring is considered appropriate but concerns about the Quality Category remain, then the EP should be identified for detailed review as part of the [Holistic assessment process](#).



There are two **extraordinary circumstances** provisions for the 2018 Quality Evaluation (**general and Canterbury**) that aim to ensure the equitable treatment of staff members who have experienced circumstances that have seriously impacted the quantity of research and research-related activities during the assessment period.

TEOs only submit extraordinary circumstances in EPs where it has determined and verified that the staff member's circumstances are legitimate and the circumstances have occurred over a minimum time period of three years during the assessment period.

More information on the extraordinary circumstances provisions can be found in the section *What are extraordinary circumstances?* in the [Guidelines for tertiary education organisations participating in the 2018 Quality Evaluation](#)

Assessing new and emerging researchers

EPs from staff members identified as new and emerging researchers may be assigned the following Quality Categories: A, B, C(NE) and R(NE).

There are special assessment requirements for new and emerging staff to be considered for the C(NE) Quality Category. New and emerging researchers must meet the same standards as all other staff members to be considered for the A and B Quality Categories. The EPs of new and emerging researchers that do not meet the standard for a funded Quality Category will be assigned an R(NE) Quality Category.

Research Outputs component

New and emerging researchers can be considered for the C(NE) Quality Category with fewer outputs in the RO component than what might normally be considered for an established researcher or for a C Quality Category.

The minimum requirement for an EP to be accepted for assessment is one NRO. The submission of a thesis is **not** a requirement for new and emerging researchers; however, **if** a doctoral, Master's or professional qualification thesis is submitted as one of the NROs, it is expected that at least one other quality-assured NRO is also submitted.

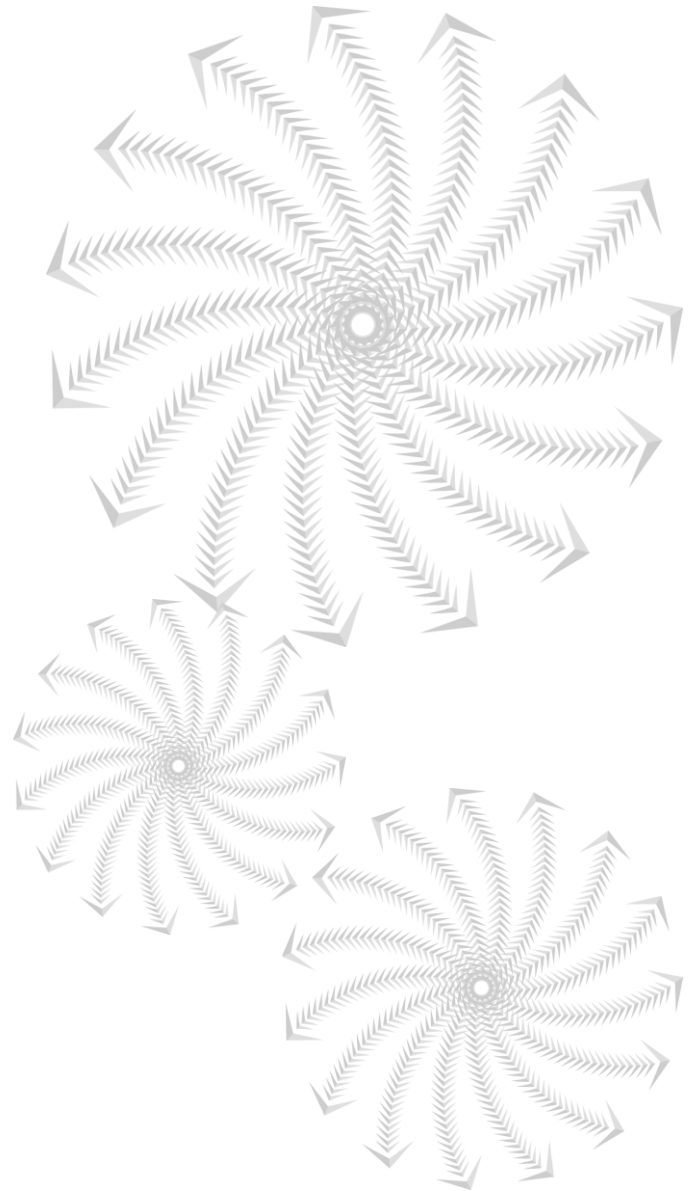
Collectively, the outputs need to be of sufficient quality to meet the standard for an RO score of two (as a minimum). This allows for a new and emerging researcher to be considered for the C(NE) Quality Category. The submission of a thesis and one other quality-assured NRO does not mean that a score of two or a C(NE) Quality Category will automatically be awarded.

Research Contribution component

Evidence in the RC component is not required for a new and emerging researcher's EP to be assigned a C(NE) Quality Category. New and emerging researchers are encouraged; however, to complete this component of their EP, as this may allow the EP to be considered for a higher Quality Category.

Scoring of new and emerging researchers

A new and emerging researcher awarded a score of two for their RO component and a one or zero in their RC component, will have their weighted score automatically rounded up from 140 or 170 to 200 in the 2018 Quality Evaluation. This is the only unique scoring consideration for new and emerging researchers. New and emerging researchers are required to meet the same standards as established researchers to obtain an A or B Quality Category.



2018 Quality Evaluation

What is the role of peer review panels?

Responsibilities of panel Chairs, Deputy Chairs and members

The role of a peer review panel is to assign a Quality Category to each Evidence Portfolio (EP) that has been allocated to it. The responsibilities of panel Chairs, Deputy Chairs and members are outlined below.

Responsibilities of a panel Chair in the assessment process

The responsibilities of a peer review panel Chair are to:

- › ensure the panel operates within the policies, guidelines and procedures established by the TEC
- › manage any conflicts of interest as they relate to panellists
- › assign each EP to two panel members for pre-meeting assessment and determine which of these panel members will be the lead for that EP
- › if necessary, decide whether an EP requires additional input from another peer review panel (cross-referral)
- › advise and mentor panel members, as required, on the assessment criteria and processes
- › chair meetings of the panel to review and calibrate the scores and to assign EPs to Quality Categories
- › ensure panel decisions are documented and that critical issues necessary for a fair review are appropriately addressed
- › ensure that the panel completes its preparation and evaluation work to agreed timeframes
- › ensure that all panel members have an opportunity to contribute to the process and participate fully in the panel's activities
- › take due regard of the decisions of the moderators and the Moderation Panel
- › maintain confidentiality of both the deliberations and decisions of the panel
- › exercise due skill and care in the performance of their responsibilities
- › identify instances where they may have a conflict of interest and raise this with the Principal Moderator prior to the conflict affecting the assessment process
- › report to the TEC Board at the end of the Quality Evaluation.

Responsibilities of a Deputy Chair in the assessment process

The responsibilities of a peer review panel Deputy Chair are to:

- › support the Chair in their duties as required; including but not limited to chairing the meeting of the panel in instances where the Chair may have a conflict of interest
- › understand the principles, guidelines and procedures of the PBRF Quality Evaluation
- › assess EPs assigned to them by the panel Chair, primarily by assigning preparatory and preliminary scores as required
- › understand the broad criteria under which the evaluations are to be made, and apply these objectively to the work of the panel



PBRF peer review panels consist of members who jointly represent a comprehensive range of subjects and interests.

Panellists are appointed for their specific expertise and knowledge, and expertise in assessing research, and do not act as representatives of their employer or discipline.

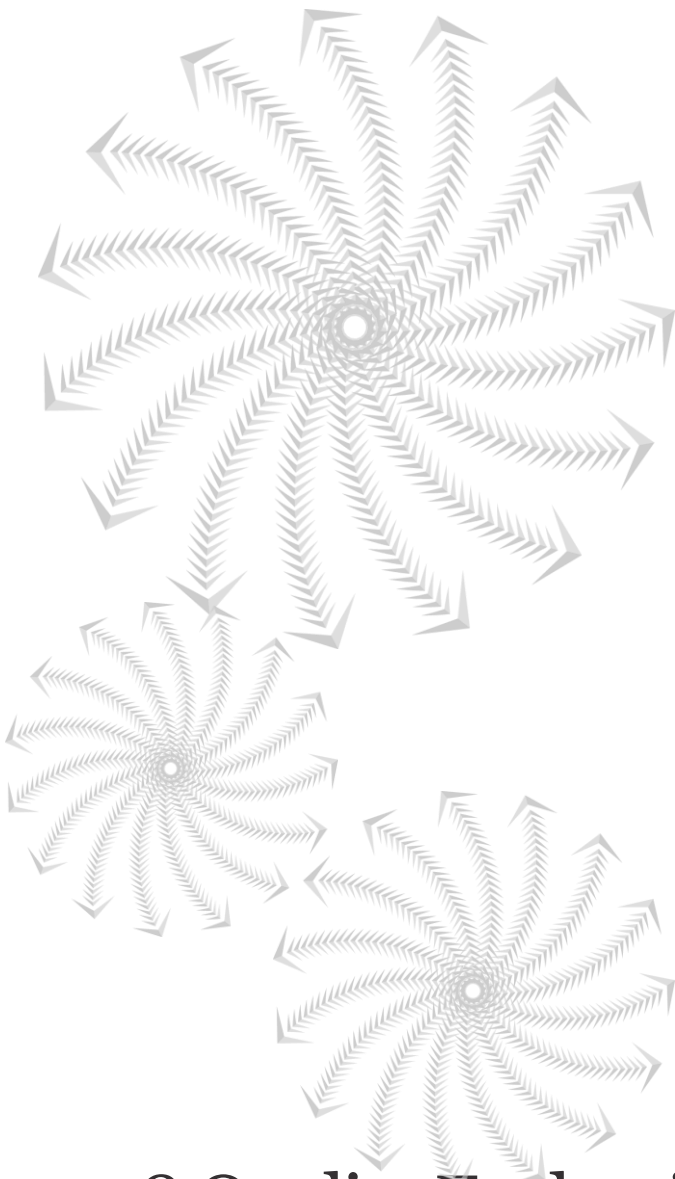
Panels are supported by a **TEC Panel Advisor** who provides technical, process and administrative advice; monitors the assessment process; and supports the Chair and panellists as required.

- › be diligent in their preparation for meetings and in completing tasks allocated to them by the panel Chair (for example, undertaking initial assessment of EPs allocated to them in a timely manner)
- › contribute fully, constructively and dispassionately to all panel processes and take collective ownership for the panel decisions
- › maintain confidentiality of both the deliberations and decisions of the panel
- › exercise due skill and care in the performance of their responsibilities
- › identify instances where they may have a conflict of interest and raise this with the panel Chair prior to the conflict affecting the assessment process.

Responsibilities of panel members in the assessment process

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

- › understand the principles, guidelines and procedures of the PBRF Quality Evaluation
- › assess EPs assigned to them by the panel Chair, primarily by assigning preparatory and preliminary scores as required
- › understand the broad criteria under which the evaluations are to be made and apply these objectively to the work of the panel
- › be diligent in their preparation for meetings and in completing tasks allocated to them by the panel Chair (for example, undertaking initial assessment of EPs allocated to them in a timely manner)
- › contribute fully, constructively and dispassionately to all panel processes and take collective ownership for the panel decisions
- › maintain confidentiality of both the deliberations and decisions of the panel
- › exercise due skill and care in the performance of their responsibilities
- › identify instances where they may have a conflict of interest and raise this with the panel Chair prior to the conflict affecting the assessment process.



2018 Quality Evaluation

How do conflicts of interest and confidentiality work?

Guidelines for conflict of interest

All panellists involved in the 2018 Quality Evaluation are required to comply with the TEC's conflict of interest policy.

Conflict of interest policy



In this context, the term 'panellists' should be read to include panel Chairs, Deputy Chairs, panel members, Moderators, the TEC Panel Advisor, and other TEC staff involved in the 2018 Quality Evaluation.

Definition

In the PBRF Quality Evaluation process, individuals are appointed as peer review panellists in their own right, for their specific skills and expertise in both research and the assessment of research.

In this context, 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.

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

Principles

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

- › all conflicts of interest must be declared and recorded
- › a conflict of interest can be declared at any time during the process, but must be done as soon as practicable
- › the panel Chair (or Deputy Chair if the Chair has a conflict) has discretion to take decisions on the action required in any situation
- › the action required depends on the nature of the conflict
- › all actions on declared conflicts will be recorded
- › individual panellists can exclude themselves from panel discussions on a particular EP even if this is not required by the policy.

The policy is also guided by the fact that the Quality Evaluation process, through the use of panel-pairs and wider panel assessment, ensures that no single panellist is responsible for the decision on the final Quality Category given to an Evidence Portfolio (EP).

Identifying a conflict of interest

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 EP?
- › 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.

Examples of possible conflicts of interest

Examples of possible conflicts of interest can include, but are not limited to:

- › assessment of one's own EP
- › assessment of the EP of:



Professional differences of opinion do not necessarily constitute a conflict of interest.

- a family member/partner or close personal friend
 - a current colleague within the same small academic unit or research team
 - a close colleague or someone reporting directly to the panellist or to whom the panellist currently reports
 - a colleague with whom the panellist has, or has had at any time in the assessment period, a research collaboration and/or direct teaching collaboration
 - an academic who is undertaking doctoral work under the supervision of the panellist
- › assessment of an EP where the panellist may receive a personal financial or other benefit from awarding a high Quality Category
 - › any situation where the panellist considers they might not provide an objective review of another researcher’s EP because of a direct, indirect, potential or perceived conflict of interest, or where a reasonable observer would consider the panellist to be conflicted.

Conflict at institutional level

In some circumstances, the following activities can be perceived as representing a conflict of interest for panellists:

- › involvement in the internal assessment process that TEOs use to determine which EPs to submit to the TEC
- › the provision by panellists of either general or specific advice or guidance on the preparation of EPs within their TEO.

The provision by panellists of general information and guidance about the assessment process within or outside their employing TEOs is not considered a conflict of interest by the TEC; however, to ensure that the peer-review process is perceived as fair, impartial and effective the TEC has determined the following principles generally apply to panellists:

- › If the panellist is involved in the internal assessment of their TEO’s EPs, or they have provided specific advice or guidance on individual EPs at their TEO while serving on a panel, they cannot assess EPs from their TEO at the individual assessment stage and can only contribute to panel discussions at the request of the Chair.
- › If the panellist has no involvement in the internal assessment of their TEO’s EPs, they have not provided specific advice or guidance on individual EPs at their TEO while serving on a panel, and they have no other conflict of interest, they cannot be a lead assessor for EPs from their TEO but they may be assigned as a second assessor.

When to declare a conflict of interest

A panellist may declare a conflict of interest at any time during the Quality Evaluation process. Conflicts must be declared as soon as practicable after the person concerned realises that a conflict exists. The TEC would expect any new, known or potential conflicts to be declared at the following points in the Quality Evaluation process:

- › when first appointed
- › on assignment of EPs
- › at the beginning of peer review panel meetings
- › when discussing an individual EP at the panel meeting.



If a panellist has provided specific advice or guidance on the preparation of EPs at a TEO within the assessment period, but is no longer at that TEO, the panellist should identify this as a potential conflict of interest. If the specific advice or guidance on the preparation of EPs has only been at a unit level (for example, a school or department level), then the relevant unit should be identified.

Responsibilities

All conflicts of interest must be recorded within the PBRF IT System, which will create an Interests Register.

All panellists are responsible for registering conflicts of interests and undertaking any action required by the panel Chair or Deputy Chair.

The TEC is responsible for registering any conflict of interest notices submitted by TEOs. The TEC's Panel Advisors are responsible for recording any action(s) that may be required, and monitoring the Interests Register.

The Chair of each panel, on the advice of the TEC Panel Advisor, is responsible for deciding whether a conflict of interest exists in any instance.

The Chair of each panel is also responsible for ensuring that:

- › all known conflicts and any action(s) that may be required have been recorded in the Interests Register
- › appropriate action(s) is taken in respect of the conflict of interest during assignment, assessment and/or panel meetings
- › the action(s) taken with respect to declared conflicts as part of the panel meeting process is recorded in the panel meeting minutes.

The Principal Moderator is responsible for considering conflicts of interest for Chairs and determining the appropriate action to be taken.

The TEC's process assurance auditor is responsible for undertaking an independent review of the Interests Register and the actions taken.

Actions to take

The nature of any action(s) to be undertaken by a panellist will depend on the extent of the conflict of interest. Most potential conflicts will be managed at the assignment stage of the assessment process, with conflicted panellists not being assigned individual affected EPs.

Actions may include, but are not limited to, one or more of the following:

- › not receiving or being able to access an individual or group of EPs
- › having no involvement in the EP assessment at any stage and leaving the room when the EP is being discussed and decisions made at the panel meeting
- › having no involvement in the EP assessment at the individual assessment stage but remaining in the room when the EP is being discussed by the panel at the panel meeting, and participating in the discussion and/or decision-making if asked by the panel Chair
- › possible involvement in the EP assessment at the individual assessment stage (although not as the Lead assessor) and full participation in the discussion and decision-making on the EP.

The TEC may determine that a panellist's conflicts of interest are at a level that they may impact on the operation of a fair, impartial and effective evaluation process. In such a situation, the TEC reserves the right to stand-down a panellist.

Chair conflicts

Where the Chair has a conflict of interest, this must be declared to the Principal Moderator and the TEC's Panel Advisor assigned to that panel. The decision on what action, if any, should be taken will rest with the Principal Moderator.

In these circumstances, the Principal Moderator may ask the Deputy Chair to act as Chair for the period if it is decided that the Chair is unable to participate. If this is not appropriate, the Principal Moderator will ask another panellist to act as Chair for the period the Chair is unable to participate.

The TEC's Panel Advisor will be responsible for recording any action(s) undertaken in the panel meeting minutes.

Assessment of panellists' own EPs

A member of the Moderation Panel, the TEC's Moderation Panel Advisor, or the TEC's process assurance auditor will be present during panel meetings when the EP of a panellist is being assessed.

When a panellist's own EP is being assessed by the panel, the panellist will leave the room. Other panellists from the same institution may also be required to leave the room. The Chair will be responsible for determining an appropriate quorum. The Chair will need to discuss and receive the Principal Moderator's approval of this before the start of the meeting.

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.

Confidentiality policy

All panellists involved in the 2018 Quality Evaluation are required to comply with the TEC's confidentiality policy.

The TEC requires all panellists in the 2018 Quality Evaluation to sign a confidentiality agreement. This ensures that all information received, and all discussions and decisions made in the process are kept confidential.

The TEC's confidentiality policy, which all contracted panellists agreed to comply with, is set out below.

Confidentiality of Information Policy

As a participant in the PBRF 2018 Quality Evaluation assessment process, you will receive information and be a party to discussions and decisions that may be confidential. You are responsible for taking all reasonable steps to maintain the security of the information provided to you and maintaining this confidentiality in perpetuity.

Information***Electronic Information***

You must retain any electronic information in a secure manner.

You must not treat electronic information in such a way that it could be accessed by others with or without your knowledge.

Storage and destruction of physical information

You are permitted to obtain and retain physical copies of TEC information (or supporting information) provided for meetings. You must keep these papers secure at all times to avoid the accidental disclosure to a third person. You are not permitted to make additional copies of this information unless expressly authorised by the TEC.

You may elect to return any or all physical copies of information you hold to the TEC for disposal at any time during your tenure as a participant in the PBRF 2018 Quality Evaluation assessment process.

At the end of your tenure you must return to the TEC or securely dispose of, all physical copies of information you hold that has not been publicly released.

No other uses

You are not permitted to use electronic or physical information for any purpose other than that for which it was provided.

Official Information Act 1982 and Privacy Act 1993

Information received by the TEC will be official information in terms of the Official Information Act (OIA), and may be personal information under the Privacy Act, so may be requested by various parties. The TEC will be responsible for dealing with any requests made under the OIA or the Privacy Act.

For the purposes of section 27(1)(c) of the OIA and section 29(1)(b) of the Privacy Act, this paragraph constitutes a promise that the TEC will keep confidential at all times your notes relating to your assessment of the EPs. You acknowledge, however, that if the TEC receives a request for such notes under the OIA or the Privacy Act, the TEC may be under a legal obligation to release such information and such release will not amount to a breach of the terms of this letter by the TEC.

Confidential information

Confidential information includes, but is not limited to, EPs, associated evidence of nominated research outputs, and the assessment information related to EPs.

Treatment of confidential information

You must not circulate or communicate confidential information provided to you by the TEC, whether in hard copy or by electronic means, to another person for any reason.

Physical copies of any electronic confidential information can be made for the purpose of assessment only. You must keep these papers secure at all times to avoid the accidental disclosure to a third person.

You must not treat confidential information in such a way that it could be

accessed by others with or without your knowledge.

At the end of your tenure as a participant in the PBRF 2018 Quality Evaluation assessment process you must:

- › return to the TEC for disposal, or securely dispose of, any or all physical copies of confidential information you hold
- › delete any or all electronic copies of confidential information you hold.

No other uses

You are not permitted to use confidential information for any purpose other than that for which it was received.

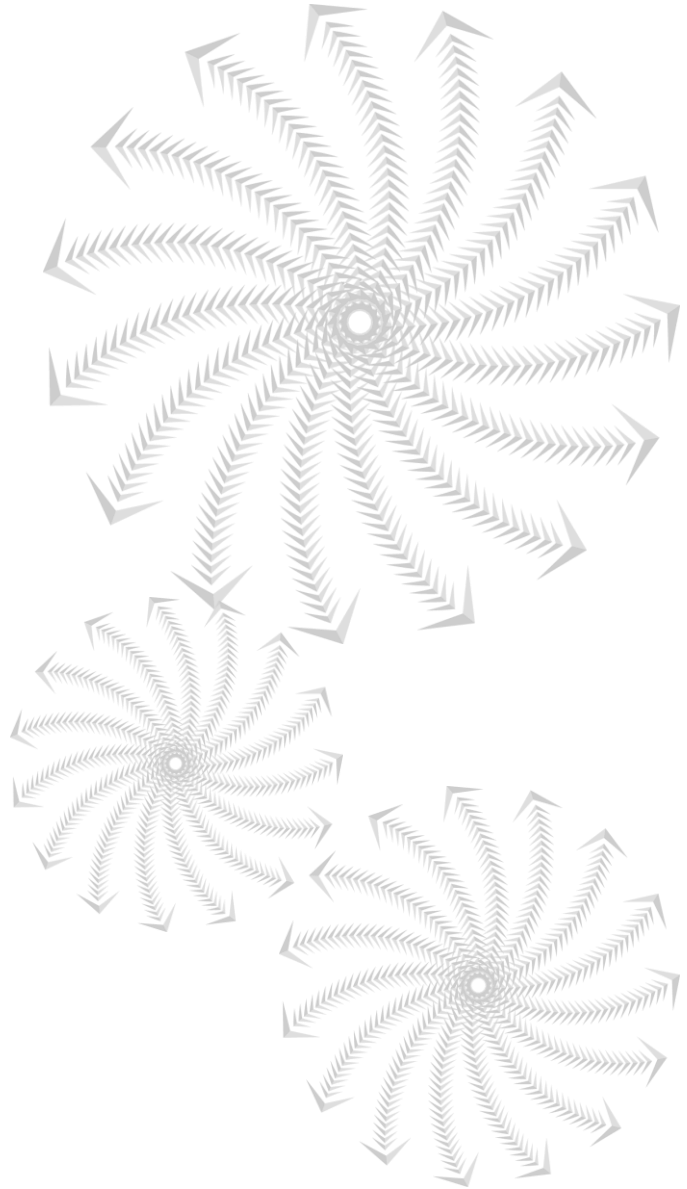
PBRF meeting discussions

Discussions and communications

You must treat as confidential all discussions and communications between fellow participants (Moderators, panel Chairs, panel members), the TEC Panel Advisor and other TEC employees.

Outcomes

You must treat as confidential any decisions made by PBRF peer review panels in perpetuity.



2018 Quality Evaluation

How does the scoring system work?

The scoring system for Evidence Portfolios

The numerical scoring system

The first stage in the assessment of Evidence Portfolios (EPs) is based on allocating scores for each of the two components of the EP.

The scoring scale used has the following characteristics:

- › the scale has a range from zero to seven
- › seven is the highest score on the scale and zero is the lowest
- › a score of zero would reflect that no evidence has been provided in the EP for that component
- › only whole number scores can be allocated
- › the scores of two, four and six are tie-points – these are used to distinguish between different descriptions of quality.

Both the Research Output (RO) and Research Contribution (RC) components are scored using the zero to seven-point scale. Each component has a specific descriptor and tie-point descriptors to help the panels with scoring.

The component descriptor provides an introduction to the component being assessed. The tie-point descriptors encapsulate the standard expected for that score.

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

A score of at least two on the RO component is required for the award of a C and a C(NE) Quality Category. The Holistic assessment, however, may over-ride this.

The weighting system for scores

The RO component is weighted at 70 percent of the total score while the RC component is weighted at the remaining 30 percent of the total score.

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

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

A weighted score will be automatically calculated by the PBRF IT System for each component of each EP.

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

EP component	Raw score (0-7)	Weighting (%)	Weighted score
RO	4	70	280
RC	5	30	150
Total weighted score			430

Relationship between the total weighted score and Quality Categories

The table below is used for the scoring of all EPs except those identified as new and emerging researchers.

		RO Score							
		0	1	2	3	4	5	6	7
RC Score	0	0	70	140	210	280	350	420	490
	1	30	100	170	240	310	380	450	520
	2	60	130	200	270	340	410	480	550
	3	90	160	230	300	370	440	510	580
	4	120	190	260	330	400	470	540	610
	5	150	220	290	360	430	500	570	640
	6	180	250	320	390	460	530	600	670
	7	210	280	350	420	490	560	630	700
Quality Category		R		C		B		A	

A score of at least two on the RO component is required for the award of a C and a C(NE) Quality Category. The Holistic assessment, however, may over-ride this.

The table below is used for the scoring of all EPs identified as new and emerging researchers. A new and emerging researcher awarded a score of two for their RO component and a one or zero in their RC component, will have their total weighted score automatically rounded up from 140 or 170 to 200 in the 2018 Quality Evaluation.

		RO Score							
		0	1	2	3	4	5	6	7
RC Score	0	0	70	200	210	280	350	420	490
	1	30	100	200	240	310	380	450	520
	2	60	130	200	270	340	410	480	550
	3	90	160	230	300	370	440	510	580
	4	120	190	260	330	400	470	540	610
	5	150	220	290	360	430	500	570	640
	6	180	250	320	390	460	530	600	670
	7	210	280	350	420	490	560	630	700
Quality Category		R(NE)		C(NE)		B		A	

What are the Quality Categories?

While the following descriptors provide a useful reference point, they are generalised in approach. In determining or assigning Quality Categories, panels are expected to take account of other factors including (but not limited to) extraordinary circumstances and the overall principle of Holistic assessment of EPs.

Quality Category A

For an A to be assigned it would normally be expected that the EP contains evidence of research outputs of a world-class standard and research-related activity that shows a high level of peer recognition and esteem within the relevant research subject area and indicates a significant contribution to the New Zealand and/or international research environments, and may also show evidence of other significant demonstrable impact during the assessment period.

*This Quality Category can be awarded to the EPs of all PBRF-eligible staff members **including** new and emerging researchers.*

Quality Category B

For a B to be assigned it would normally be expected that an EP contains evidence of research outputs of a high quality and research-related activity that shows acquired recognition by peers for their research at least at a national level and indicates a contribution to the research environment beyond their institution, and/or a significant contribution within their institution, and may also show evidence of other demonstrable impact during the assessment period.

*This Quality Category can be awarded to the EPs of all PBRF-eligible staff members **including** new and emerging researchers.*

Quality Category C

For a C to be assigned it would normally be expected that an EP contains evidence of quality-assured research outputs and research-related activity that shows some peer recognition for their research and indicates a contribution to the research environment within their institution or the wider community during the assessment period.

*This Quality Category can be awarded to the EPs of all PBRF-eligible staff members **except** new and emerging researchers.*

Quality Category C(NE)

For a C(NE) to be assigned it would normally be expected that an EP contains evidence of quality-assured research outputs produced during the assessment period. They may have limited or no research-related activity in the RC component.

This Quality Category can be awarded to the EPs of new and emerging researchers only.

Quality Category R

An EP will be assigned an R when it does not demonstrate the quality standard required for a C Quality Category or higher.

*This Quality Category can be awarded to the EPs of all PBRF-eligible staff members **except** new and emerging researchers.*

Quality Category R(NE)

An EP will be assigned an R(NE) when it does not demonstrate the quality standard required for a Quality Category C(NE) or higher.

This Quality Category can be awarded to the EPs of new and emerging researchers only.

Defining ‘world-class research’

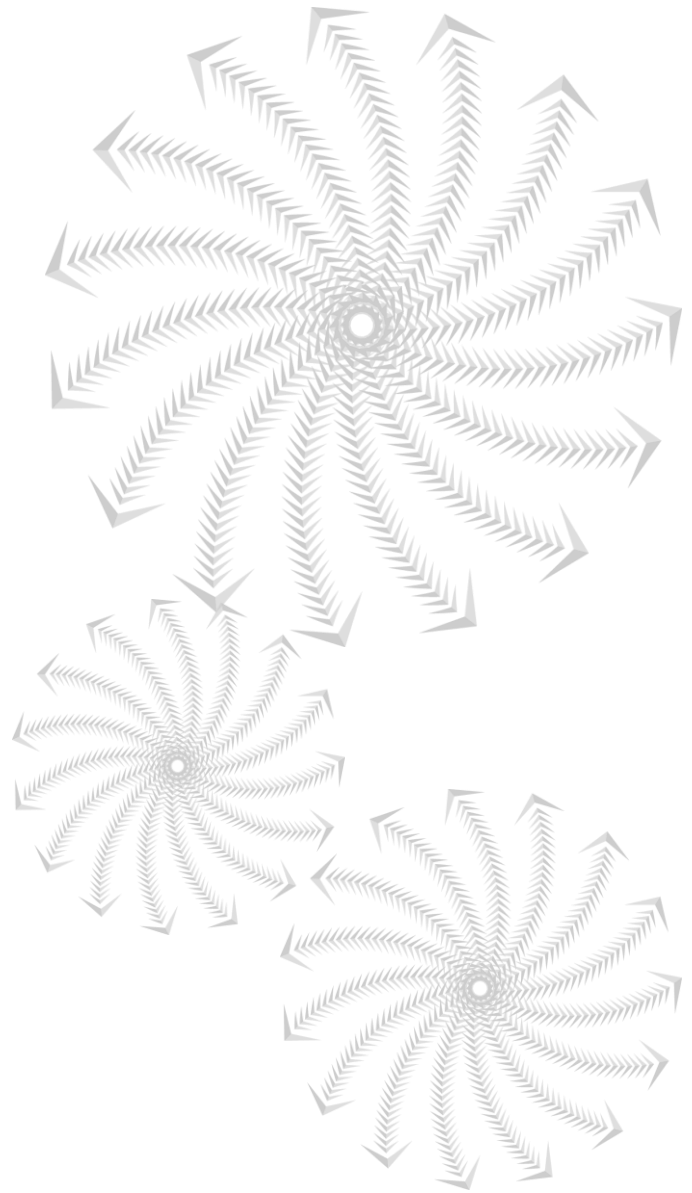
The use of ‘world class’ in relation to the RO and RC component scoring descriptors denotes a standard, not a type or focus of research.

World-class research outputs are those outputs that rank with the best within their broader discipline, regardless of the topic, theme or location of the research, or place of publication.

Research outputs that deal with topics or themes of primarily local, regional or national focus or interest can be of world-class standard. For example, research that focuses on Māori or Pacific topics or themes, New Zealand history, or New Zealand culture, economy, wellbeing or ecology may rank with the best research of its discipline conducted anywhere in the world.

Research contributions that reflect the esteem of peers considered to be global experts in their field, or show how the staff member contributes to a world-leading research environment, can be considered of world-class standard.

The scope of world-class characteristics, as indicated in the tie-point descriptors for the RO and RC components, may overlap. The characteristics are not ranked in any particular order, other characteristics may also denote world-class research outputs or activities, and the characteristics are not cumulative.



2018 Quality Evaluation

What are the stages of
the assessment process?

The panel assessment process

The process of assessing an Evidence Portfolio (EP) starts with the assignment of the EP to panellists and ends with the panel determining a Final Quality Category. A diagram of the assessment process is included at the end of this section.

- › The 2018 Quality Evaluation uses a **points-based scoring system** with a range from zero to seven to allocate scores to the two components of an EP. The Research Output (RO) component is weighted at 70 percent of the total score while the Research Contribution (RC) component is weighted at the remaining 30 percent of the total score.
- › There are six **Quality Categories** that can be assigned by a panel; A, B, C, C(NE), R and R(NE). The first four Quality Categories (A, B, C, C(NE)) attract funding and are reported.
- › The assessment is a five-stage process conducted in two parts:
 - the pre-panel-meeting assessment process where:
 - **preparatory** scores for the RO and RC components are determined individually by each pair of assigned panel members, and possibly also cross-referred panel members
 - **preliminary** scores for the RO and RC components are determined collectively by the two primary panel members (panel-pair) after consultation with each other. This consultation may include input from any cross-referred panel members. An Indicative Quality Category will be automatically assigned based on the Preliminary component scores.
 - the panel meeting assessment process where:
 - calibrated panel scores for each of the two components based on the calibration of the preceding sets of scores are determined. A Calibrated Panel Quality Category will be automatically assigned based on these calibrated component scores
 - a Holistic Quality Category may be determined based on a detailed review and holistic judgement for some EPs
 - a Final Quality Category is confirmed for each EP submitted to the panel.
- › In deciding on the assignment of a Quality Category to an EP, panels will need to ensure their decisions are defensible.

Assignment of Evidence Portfolios to panel members

Panel Chairs will assign EPs to two panel members (panel-pair) for pre-meeting assessment and scoring.

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

- › the expertise of the panel members in the subject areas in which the staff member is being assessed
- › any declared conflicts of interest
- › achieving a balance of workload across panel members.

Panel Chairs will designate one member of the panel-pair as **lead** for that EP.

The lead panel member will:

- › coordinate the discussion with the other assigned panel member during the Preliminary scoring stage
- › if cross-referral has taken place



Calibration in the context of the Quality Evaluation assessment is the process where panel members align their judgements (as individuals and as a panel) against the Research Output component and the Research Contribution component scoring descriptors.

Calibration occurs in a number of ways:

- as part of the training of panels
- the discussions that occur as part of a panel-pair, and with the cross-referral assessors where needed
- the discussions that occur as part of a whole panel meeting.

Panels can make adjustments to scoring through the different stages of the assessment process as a result of this calibration.

- consider Preparatory scores and comments provided as a result of cross-referral
- include the cross-referral assessor in the discussion to determine the Preliminary component scores in all cases where a difference in preparatory scoring could impact on the Quality Category result
- › record any discussion points with other panel members and any cross-referral assessors involved in the assessment
- › lead any discussion on that EP at the panel meeting.

The Chair will assign themselves a number of EPs to ensure they are able to work with each member of the panel. The Chair will be the second panel member on these EPs. This will be part of the calibration process.

If an EP has been submitted by a TEO for the Chair, the Deputy Chair will assign this EP to the appropriate panel members.

The panel Chair will also, if necessary, determine whether the EP will be cross-referred to another peer review panel.

Cross-referring an Evidence Portfolio to the Māori Knowledge and Development Panel and the Pacific Research Panel

An EP can be cross-referred to the Māori Knowledge and Development (MKD) Panel and the Pacific Research Panel in two ways, either

- › at the request of the Chair of the panel the EP is assigned to (that Chair will provide specific advice on which part or parts of an EP need to be considered in the cross-referral assessment), or
- › by the TEO completing the Māori Research or Pacific Research elements of the EP.

The decision on whether the cross-referral is accepted is made by the Chairs of the panel(s) receiving the cross-referral.

Cross-referring an Evidence Portfolio to another panel for assessment

A request for an EP to be cross-referred to any panel other than MKD or Pacific can **only** be made by the Chair of the panel the EP is assigned to.

Normally, a panel Chair will seek a cross-referral for an EP to another panel (or other panels) when a significant proportion, but not a majority, of the outputs listed in the RO component falls within the subject areas covered by the other panel(s).

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

The Chair of the assigned panel will provide specific advice on which part or parts of an EP need to be considered in the cross-referral assessment.

The decision on whether the cross-referral is accepted is made by the Chair(s) of the panel(s) receiving the cross-referral.

Transferring an Evidence Portfolio to another panel

Participating tertiary education organisations (TEOs) will have selected a panel, subject area and provided a primary field of research for each EP submitted to the TEC. The panel Chair will review this information as part of the assignment process, as well as

any conflicts of interest related to the EP. The Chair may also review the NROs submitted if necessary, to make a decision regarding the assignment or possible transfer of an EP.

The panel Chair can seek a transfer of the EP to another panel through the TEC for several reasons including, but not limited to, the following:

- › the primary subject area of research falls within the coverage of another panel
- › a conflict of interest exists within the primary panel that cannot be resolved within the primary panel
- › the relevant subject-area expertise resides in a different panel.

The TEC will transfer an EP to another panel based on the recommendation of the panel Chair and advice may be sought from other panel Chairs or a Moderator, or both. The TEC will make the final decision on the transfer of an EP to another panel, changing the subject area, and recording the reason for the transfer.

The new panel is responsible for assessing and reporting on the EP and the EP may be cross-referred to the original panel for additional input if the panel Chairs agree that this is required.

The submitting TEO will be notified if an EP is transferred to another panel as part of the reporting of results. The notification will include the reason(s) for the transfer.

Pre-meeting assessment and scoring

Panel members are required to work within the established policies, guidelines and procedures for the PBRF and within the specific guidelines for their particular panel.

Panel members are responsible for assessing the EPs assigned to them, and they are required to:

- › follow the assessment process
- › advise the Chair if they have any conflicts of interest that prevent them from assessing any of the EPs assigned to them
- › review all the material in the EPs assigned to them
- › review or request any of the NROs, as required
- › if necessary, advise the panel Chair that a cross-referral assessment may be required
- › determine and record in the PBRF IT System Preparatory component scores (RO and RC) for each assigned EP, using the PBRF assessment policies, the descriptors and tie-points for each component, the panel-specific guidelines, and taking into account any advice from the Moderators
- › maintain confidentiality in relation to all material in, and discussions relating to, the EPs reviewed.

Determining Preparatory scores

Each member of the panel-pair an EP is assigned to is required to determine and record a set of Preparatory scores for both components of an EP.

The Preparatory scores are determined independently of any other member of the panel.

A cross-referral panel member assigned to an EP also determines and records a Preparatory score for one or both of the components of the EP, depending on the request provided by the panel Chair. The cross-referral panel member must also 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.

Determining Preliminary scores

The panel-pair assigned to work together on an EP will discuss the Preparatory scores they have given to the EP, then determine and record one set of component Preliminary scores for that EP.

If the EP has been cross-referred to another panel, the panel-pair will include the cross-referral assessor in the discussion to determine the Preliminary component scores in all cases where a difference in scoring could impact on the Quality Category result.

The Preliminary scores are determined after calibration of their Preparatory scores, including those from the panel-pair and any cross-referral panel members. It is possible for changes (higher or lower) to be made to the Preliminary component scores as a result of the panel members' calibration of the Preparatory scores against the tie-point descriptors.

If agreement cannot be reached on Preliminary scores, the lead panel member will identify the EP as 'decline to score'. This means that the EP will go directly to the Calibrated panel component score stage at the panel meeting. No Preliminary scores will be recorded.

Deriving Indicative Quality Categories

When a set of Preliminary component scores are recorded, the PBRF IT System will derive an Indicative Quality Category for that EP using the total weighted score. This is not the Final Quality Category that an EP will receive, as it is the result of only partially calibrated scoring.

The PBRF IT System will automatically make changes to [scoring for the C\(NE\) Quality Category for new and emerging researchers](#) where appropriate at this stage in the assessment process. This is the only difference in the scoring process for new and emerging researchers.

Panel meeting assessment and scoring

The final stages of the assessment process occur at the panel meeting.

Panel members are required to:

- › prepare for and attend the panel meeting
- › follow the assessment process
- › confirm they have no conflicts of interest that prevent them from participating in the panel discussions
- › maintain confidentiality in relation to all material in, and discussions relating to, the EPs reviewed.

Determining Calibrated Panel component scores

At the panel meetings, panel members will discuss and calibrate the various component scores against the tie-point descriptors. These scores are then recorded in the PBRF IT System. This process uses EPs submitted to the panel that are considered exemplars of the standards to ensure that the panel is in agreement on the Calibrated Panel component scores.

It is possible for changes (higher or lower) to be made to the Calibrated Panel component scores as a result of the panel's calibration of the Preliminary component scores against the tie-point descriptors.

The panel will determine the Calibrated Panel component scores for any EPs where the panel-pair declined to score at the Preliminary scoring stage.

Deriving Calibrated Panel Quality Categories

The TEC's PBRF IT System will derive a Calibrated Panel Quality Category for each EP when a set of Calibrated Panel component scores are recorded.

Determining Holistic Quality Categories

The purpose of the Holistic assessment is to determine which of the available Quality Categories is most appropriate for an EP, by taking all relevant factors into consideration.

It is expected that for the majority of EPs the Calibrated Panel Quality Category will become the Final Quality Category as changes at the Holistic assessment process are primarily for exceptions.

Criteria for Evidence Portfolios to be considered for detailed Holistic assessment

The panel will be required to undertake a detailed review of the Calibrated Panel Quality Category assigned to their EPs as part of the Holistic assessment process, where the panel has determined that those EPs meet either of the criteria below:

- › the EP has claimed extraordinary circumstances, or
- › the panel has identified any uncommon issues about the EP, for example:
 - specific quantity and/or quality issues that may include unusual or uncommon research outputs and/or research activities
 - specific scoring concerns that may include differences in scoring either by the panel-pair or cross-referral assessors, unusual scoring combinations like a low RO score but a high RC score, or where the panellist believes the raw component scores may not accurately represent the overall quality of the EP.

EPs with a total-weighted Calibrated Panel component score greater than 70 points (one RO component score) from a boundary that do not meet any of these criteria would not normally be considered for detailed assessment as part of the Holistic assessment process.

Panel considerations at Holistic assessment

Panels are required to determine whether the Calibrated Panel Quality Category awarded to each EP identified for detailed review are consistent with the Quality Category descriptors, and other EPs assigned those categories, when all relevant factors and information from the EP are considered holistically.

The panel will take the following information into account when making a decision to change a Quality Category as part of the Holistic assessment process:

- › the Quality Category descriptors and the Quality Categories arising out of each of the stages of the assessment process are consistent when looking at all information presented in the EP
- › the scoring of the RO and RC components at each of the stages of the assessment process
- › the information set out in the Platform of Research – Contextual Summary and the recorded FTE

- › whether the extraordinary circumstances claimed are eligible for consideration and sufficient to affect the Quality Category assigned to the EP
- › whether the evidence in the RC component is consistent with the judgements made about the appropriate score for the RO component, particularly if there is a low RO score and a high RC score.

The panel will then determine and confirm a Holistic Quality Category for each EP assessed as part of this process. Holistic Quality Categories are recorded in the PBRF IT System for all EPs.

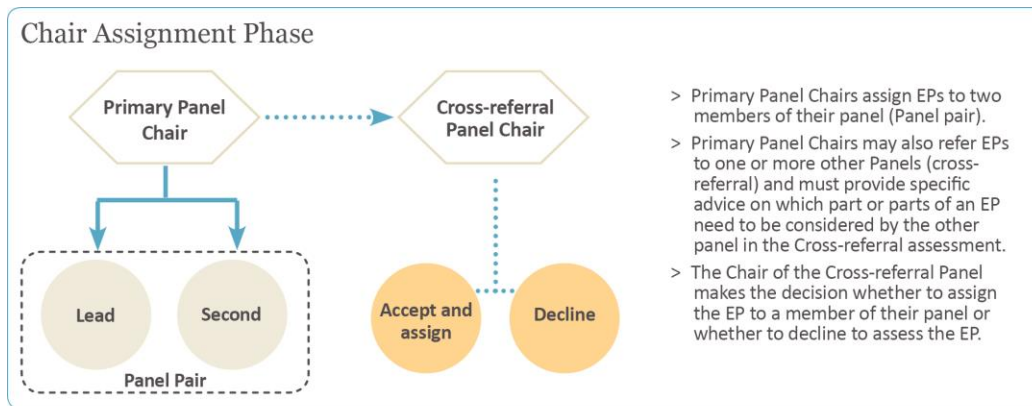
The Holistic Quality Category may or may not be different from the Calibrated Panel Quality Category. If the Holistic Quality Category is different, it may be higher or lower than the Calibrated Panel Quality Category and panels will record the factors that influenced their decision. This information will be available to staff members who request their detailed results.

There is no requirement for the component scores and Quality Category to be in agreement if the Holistic assessment of an EP produces a different result.

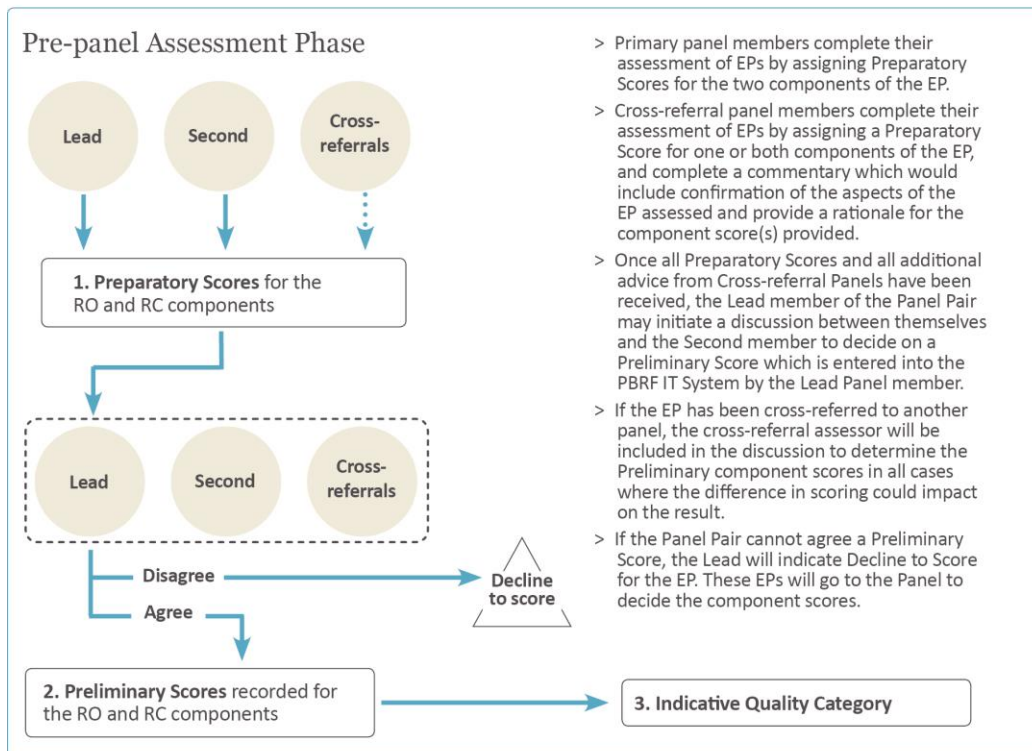
Assigning Final Quality Categories

Following the determination of any Holistic Quality Categories, panels will confirm the Final Quality Category recorded in the PBRF IT System for each EP.

Quality Evaluation assessment process



Assignment Phase Panel members review their assigned EPs, record and advise Chair and TEC Panel Advisor of any additional conflicts of interest, advise Chair that the EP may require a cross-referral, and finalise their actual assessment workload.

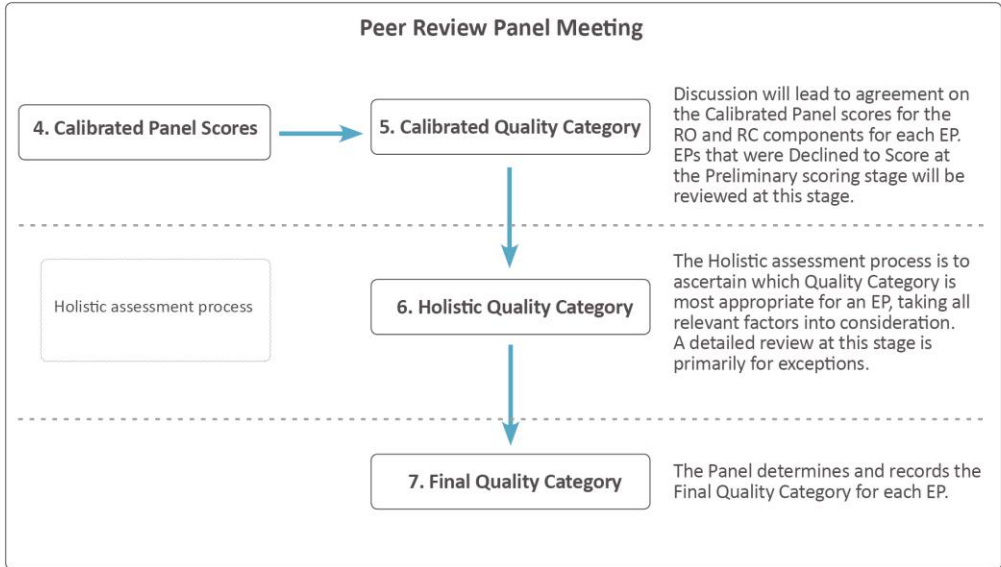


Pre-panel Meeting Panel members will be able to review their EPs in preparation for presenting these at their Panel meeting.

First Moderation Meeting

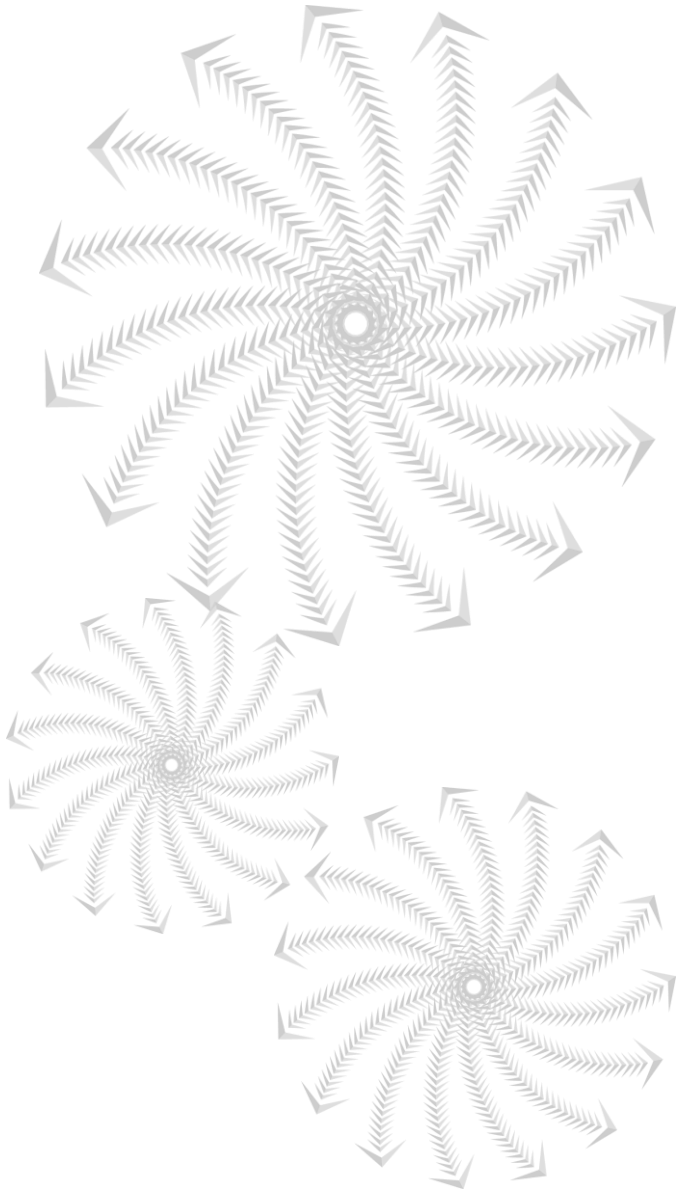
Panel Assessment Phase

> Panels come together to make final decisions on all EPs primarily assigned to their Panel. The TEC Panel Advisor is the only person who can confirm scores in the PBRF IT System. Panel members will be able to view information.



Second Moderation Meeting

Reporting of Results



2018 Quality Evaluation

How are research outputs assessed?

Assessing the Research Output component

The Research Output (RO) component is the most important of the two assessment components in the Quality Evaluation.

- › The RO component accounts for 70 percent of the overall assessment of the staff member's Evidence Portfolio (EP).
- › Each research output submitted in the RO component must be eligible for submission which means:
 - it meets the PBRF Definition of Research
 - the final version of any research output included in the EP, including confidential outputs, was first made available in the public domain during the assessment period (**1 January 2012 – 31 December 2017**)
 - it can be provided for assessment by the peer review panel (for NROs) or audit (NROs and OROs).

General principles for assessing the Research Output component

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

- › all research activity will be considered on its merits regardless of whether it is concerned with basic, fundamental, strategic, artistic or applied research - the assessment of research activity will treat the outputs of practice-based research fairly, in relation to the outputs of other research
- › all types of research output will be considered on their merits and one type of research is not considered to be of greater quality than another because of the nature of the output type (for example, a performance should not be considered of lesser standing than a publication in a journal or vice versa)
- › the absence of quality assurance for an output will not automatically be taken to imply low quality.

Allocating scores to the Research Output component

The following table provides a detailed description of the RO component, and the tie-point descriptors for the scores of six, four and two. This information must be used to assign a score to the RO component of the EP.

A score of at least two on RO is required for the award of a C or C(NE) Quality Category. The Holistic assessment, however, may over-ride this.

Component	Research Output (RO)
Descriptor	<p>This component is concerned with the production of quality research outputs. As part of the evidence in this component, staff members will present up to four NROs (that represent their best research outputs) and 12 OROs. Research outputs are any form of assessable output embodying the findings of research and generated out of research activities, and include:</p> <ul style="list-style-type: none"> › printed academic work

	<ul style="list-style-type: none"> › published and confidential work › work published in non-print media › other forms of outputs such as granted patents, materials, products, performances, and exhibitions. <p>The EP may include research primarily concerned with methodological, theoretical and analytic issues (basic or strategic research), and/or applied research primarily directed to and impacting on practices, technologies, policies, or processes.</p> <p>The absence of quality assurance will not of itself be taken to imply low quality but the onus is on the submitter to provide evidence of quality. Evidence of research outputs having been reviewed through peers is one measure of quality. Other quality-assurance processes, including referees and commissioning processes (but not limited to these examples) will also be given regard.</p> <p>Review processes may cause overlap between the RO and RC components. Assessors need to ensure that they adequately differentiate between pre-publication/production review as it relates to the quality-assurance process for the RO component and post-publication/production review that may be presented as part of the RC component.</p> <p>Most of the assessment time should be spent on the RO component.</p>
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Research Output (RO) component tie-point descriptors		
Scores	7	
	6	<p>The EP would be expected to demonstrate leadership and accomplishment in research exemplified by a platform of world-class research that includes highly original work that ranks with the best of its kind.</p> <p>The EP would likely be characterised by, for example, outputs that represent intellectual or creative advances, contributions to the formation of new paradigms, generation of novel conceptual or theoretical analysis or theories, or important new findings with wider implications.</p> <p>It could indicate research that is exemplary in its field, at the leading edge, highly innovative, or all of the above. It would be expected to demonstrate intellectual rigour, imaginative insight or methodological skill or to form a primary point of reference to be disseminated widely.</p> <p>A significant proportion of research outputs should be presented through the most appropriate and best channels.</p> <p>The research outputs would be likely to result in substantial impact or uptake. Such impacts could also include product development, uptake and dissemination; or significant changes in professional, policy, organisational, artistic, or research practices.</p>
	5	

	<p>4 The EP would be expected to demonstrate a platform of significant research output that has generated substantial new ideas, interpretations or critical findings and that makes a valuable contribution to existing paradigms and practices. The research outputs generate new information or ideas and are well researched and technically sound.</p> <p>The EP typically includes research outputs that are presented in reputable channels considered as being very good.</p> <p>The research is likely to contribute to further research activities and to have demonstrable impacts reflected in developments that may include product development, processes or tools; or uptake and dissemination; or changes in professional, organisational, policy, artistic, or research practices.</p>
	<p>3</p>
	<p>2 The EP would be expected to demonstrate a platform of research activity (or developing research activity) and output that is based on a sound and justifiable methodology, and that makes a contribution to research within the discipline or to applied knowledge, or both. This is normally demonstrated by the production of research outputs that have been subject to quality assurance processes.</p>
	<p>1 Minimal evidence of research activity. The research outputs are assessed as having limited or no significance or impact, as contributing little or no additional understanding or insight in the discipline or field, or as lacking in the appropriate application of theory or methods, or both.</p>
	<p>0 No evidence of research activity.</p>

Selecting, accessing and examining Nominated Research Outputs

The assessment of Nominated Research Outputs (NROs) is the critical aspect of the Quality Evaluation assessment process.

- › Panel members will primarily assess (examine) the evidence provided as the main research object and may also consider any evidence submitted as supporting information.
- › As a whole, each peer review panel is expected to examine at least 50 percent of the NROs listed in each Evidence Portfolio (EP). Panel members are expected to examine at least two of the NROs listed in an EP to enable them to form a reliable judgement about the overall quality of the Research Output (RO) component and to score it appropriately.
- › Panel members select which particular NROs they want to examine.
- › All the NROs cited in an EP (as the main research object) will be available to a panel member either as a link to an electronic document or as a physical copy (provided on request).
- › Panels do not examine Other Research Outputs (OROs) in the same way as NROs in the Quality Evaluation assessment process.

Selecting a Nominated Research Output for assessment

Panel members will examine NROs to determine the quality of the research. The Description field of each NRO supports the assessment of the NRO by providing information on the nature and significance of the research, and the quality assurance process where this is necessary. The Individual Contribution field for the NRO provides specific detail on the contribution the staff member has made to the research. This information may help panel members to determine which NROs they choose to examine in further detail.

Panel members are required to examine a minimum of two NROs listed in an EP. The number of NROs examined, and which NROs are selected for examination may vary for a variety of reasons including but not limited to:

- › a [cross-referral](#) has been sought on an EP and assessment of a specific NRO(s) has been requested
- › confirming a particular NRO meets the PBRF Definition of Research
- › there being serious doubt about the appropriate score for the RO component of an EP; or there is a significant risk of an error of judgement being made (for example, there is uncertainty as to whether the quality of the RO component is just above or just below a particular tie-point) if it is not examined
- › when a significant proportion of ROs listed in the EP are non-quality-assured or are confidential
- › confirming the quality of the RO component, if there are additional questions after the examination of a particular NRO.

All research output types, including those identified as confidential, can be selected for examination. There is no requirement for the panel members responsible for assessing an EP to select the same NROs for examination. Panel members must ensure that all confidential research outputs are kept confidential.

*If a research output is in a **language other than an official New Zealand language**, it is the responsibility of the submitting TEO to ensure that those research outputs are accessible to panels for assessment. While some panels may have the capacity and expertise to deal with research in other languages, in particular the Pacific panel, this is not assumed for all panels. Panels are appointed for their expertise in assessment and their subject area knowledge. Panels are not expected or intended to have expertise in a range of languages. In addition, the TEC will not organise or fund translation of research outputs for assessment purposes.*

If a TEO submits research in a language other than a New Zealand official language, this should be clearly indicated in the Field of Research Description of the Evidence Portfolios.

Accessing copies of selected Nominated Research Outputs

Panel members will be able to access either:

- › an electronic form of the NRO through a link in the EP, or
- › a physical form of the NRO.

The EP will clearly identify whether the NRO is an electronic or physical form.

Issues with electronic links to Nominated Research Outputs

If an electronic link to an NRO is not working, the panel member will need to contact the TEC to have it fixed. If it cannot be fixed the TEC will request an updated link or copy from the tertiary education organisation (TEO).

Requesting and accessing physical versions of Nominated Research Outputs

If the TEO has indicated that there is only a physical version of the NRO available, the panel member will use the PBRF IT System to request that the NRO be provided to the TEC. A copy of the NRO will be requested from the relevant TEO through the PBRF IT System. When the NRO has been provided to the TEC by the TEO, the TEC will forward it to the panel member.

Some NROs (for example, installations) may require the panel member to visit a site to properly assess the NRO. The location details will be provided in the NRO.

If a physical version of an NRO is readily available to the panel member (for example, via their institution's library), the panel member can access a copy of the NRO themselves. Panel members must ensure that they are accessing the correct version of the NRO.

Examining selected Nominated Research Outputs

Examination allows panel members to check and clarify the nature, integrity and general quality of the outputs.

Examining in this context is defined as applying a level of scrutiny that allows the panel member to make an informed judgement about the overall quality (and score for) the RO component of the EP. This could be achieved by either reading an NRO in full, substantially or sufficiently to make that assessment, or an equivalent level of scrutiny for those NROs that are not provided in a written form.

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

What needs to be considered when examining Nominated Research Outputs?

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

- › Is the research methodology clear, sound and appropriate?
- › What kind of contribution or impact does the NRO make to human knowledge, understanding or creativity (for example, theoretical, conceptual, empirical, practical, or artistic)?
- › How does the quality of the NRO affect the overall quality of the RO component in regard to scoring?

Recording that a Nominated Research Output has been examined

Each panel member must record which NROs that they have examined in the PBRF IT System.

Recording that an NRO has been examined means that the information in evidence submitted as the main research object for that NRO has been assessed and included in the panel member's decision on the scoring of the RO component.

If the panel member accesses an NRO but the information for that NRO is not included in their assessment and scoring decision (for example, the evidence is inappropriate for assessment) then the panellist **must not** record it as examined.

What if there are other problems with Nominated Research Outputs?

If the main research object is not of sufficient quality to be examined, or does not meet the evidence requirements for the research output type, the panel member is not required to assess that NRO (they may need to choose other NROs to meet the minimum examining requirements). The panel member should apply their judgement based on the information that is available to them. Panel members cannot request an updated or revised version of the NRO or additional material for the NRO.

If panel members have concerns about the eligibility an NRO (or any OROs), the validity of particular aspects of the RO (for example, the authorship or the contribution of the staff member in question) or find mistakes in the information provided in the NRO Description, the panel member can submit an Audit Concern through the PBRF IT System. These concerns will be checked by the TEC's audit team.

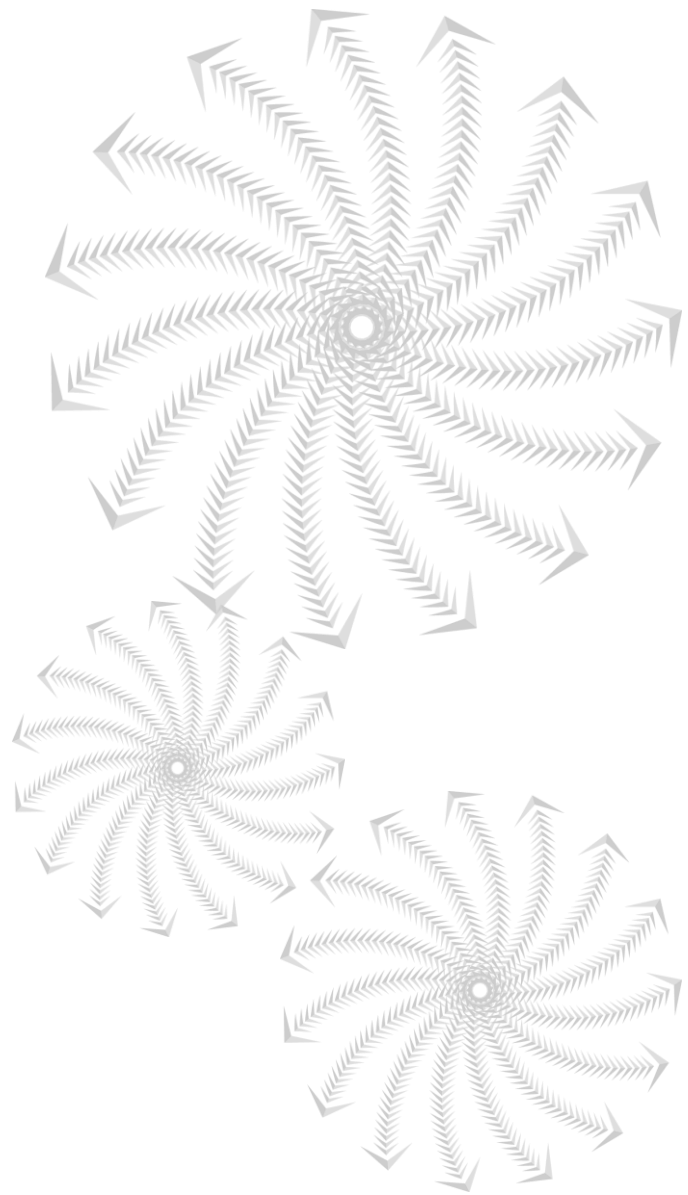
Number of Nominated Research Outputs to be examined

Each peer review panel is expected to examine at least 50 percent of the NROs listed in the EPs that it is responsible for assessing.

Panels may examine more than 50 percent if they consider this to be appropriate and necessary. Each panel has identified a target in the panel-specific guidelines on the TEC website.

Generally, each panel member will review at least two NROs from the EPs they are assigned. The actual number reviewed may vary from panel member to panel member.

The percentage of NROs examined by a panel is measured through the PBRF IT System.



2018 Quality Evaluation

How are research contributions assessed?

Assessing the Research Contribution component

The Research Contribution (RC) component describes the contribution and recognition of a staff member's research and research-related activities inside and outside of academia.

- › The RC component accounts for 30 percent of the overall assessment of the staff member's Evidence Portfolios (EP).
- › Each EP can contain up to 15 items in the RC component.
- › Research contributions can be generally classified into peer esteem, contributions to the research environment, and community/end-user impact.
- › There are 12 research contribution types.

General principles for assessing the Research Contribution component

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

- › all research-related activities and outcomes in the RC component must have occurred within the assessment period (**1 January 2012 – 31 December 2017**)
- › Fellowships that began outside but continue into the assessment period are eligible for inclusion in EPs
- › all research contribution types will be considered on their merit – this means no one specific type will be weighted higher than another
- › the RC component should reflect the broad range of activities and outcomes that are undertaken and/or achieved by a researcher relative to opportunity, and be appropriate to an individual's research discipline
- › the items submitted within EPs will differ across the 12 research contribution types.



The Research Contribution component replaces and expands on the Peer Esteem (PE) and Contribution to the Research Environment (CRE) components of EPs in previous Quality Evaluation assessment rounds.

Allocating scores to the Research Contribution component

The following table provides a detailed description of the RC component, and the tie-point descriptors for the scores of six, four and two. This information must be used to assign a score to the RC component of the EP. The [definition of world-class research](#) also applies to this component.

A score of at least two on the RC component is normally required for the award of a C Quality Category. The Holistic assessment, however, may over-ride this.

An RC component score is not required for the award of a C(NE) Quality Category.

Component	Research Contribution (RC)
Descriptor	<p>This component of an EP describes the contribution and recognition of a staff member’s research and research-related activities, specifically:</p> <ul style="list-style-type: none"> › the esteem in which their peers, within and outside of tertiary education organisations (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. <p>This component allows for a number of activities that are indicators of a vital, high-quality research environment, and provide indicators of the social, cultural, environmental and economic benefits of the research including the advancement of mātauranga Māori. These activities may be local, national and/or international in orientation and impact.</p> <p>These can include:</p> <ul style="list-style-type: none"> › Contribution to research discipline and environment that reflects the staff member’s contribution to the general development of their discipline or general improvements to research capability and/or the research environment inside and/or outside of academia. › Facilitation, networking and collaboration that provides 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. › Invitations to present research or similar that 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, including invitations to give keynote addresses, or other similar invitations. › Other evidence of research contribution that are not included in the other categories but demonstrate the contributions made, and/or esteem held, by a staff member and their research within or outside of academia.

- › Outreach and engagement that reflects the contribution the staff member makes to the wider community in New Zealand and/or internationally through their research-based expertise.
- › Recognition of research outputs that reflects the esteem in which a staff member's specific research outputs are held by their peers and others.
- › Research funding and support that provides an indicator of the contribution the staff member makes to the research environment or reflects the staff member's esteem where the funding/support is competitive.
- › Research prizes, fellowships, awards and appointments that indicate the staff member's research reputation within and outside of academia, and as such, these items are about selective memberships.
- › Researcher development that reflects the staff member's contribution to the range of activities related to mentoring colleagues in relation to research development.
- › Reviewing, refereeing, judging, evaluating and examining that provide an indicator of the esteem a staff member may have amongst their peers.
- › Student factors which reflect the staff member's contribution to student-related activity, as well as esteem factors associated with their research students.
- › Uptake and impact which provides an indication of the contribution the staff member's research has had inside and/or outside of academia.

Research Contributions can be generally classified into three categories, namely peer esteem, contributions to the research environment, and community or end-user impact.

Panels recognise that the items submitted within EPs will differ across the three categories and the 12 research contribution types, and that the nature of disciplines and the opportunities they inherently have for esteem, contributions and community or end-user impact will differ.

To obtain a high score, strong and consistent evidence of both peer esteem and contributions to the research environment would normally be expected. Strong and consistent examples of community or end-user impact will also contribute to a high score, although it is not expected that all staff members will have, or include, such examples.

Research Contribution (RC) component tie-point descriptors	
Scores	7
	6

The EP would be expected to demonstrate that the staff member's research has consistently attracted world-class recognition and the esteem of peers considered the experts in their field throughout the period; and that they can demonstrate a strong contribution to a world-class research environment in New Zealand and/or internationally, inside and/or outside of traditional academia. They may also have evidence that their research or expertise or both has had a significant impact, influence or benefit on the wider community or end-users.

Evidence that the staff member has a strong and consistent history of world-class recognition by their peers is likely to be shown through, for example, invitations to present and/or contribute to world-class research (for example, invited attendance, or presentations at prestigious academic, cultural and industry conferences and events); the receipt of highly prestigious prizes or awards for research; selective memberships or fellowships of leading learned societies/academies or prestigious institutions, or special status with professional or academic societies; important directorships or advisory board memberships; attracting top research students and mentoring their own students into postdoctoral and other fellowships, scholarships and positions within the research, industry or cultural sectors (as esteem factors associated with the staff member's research students).

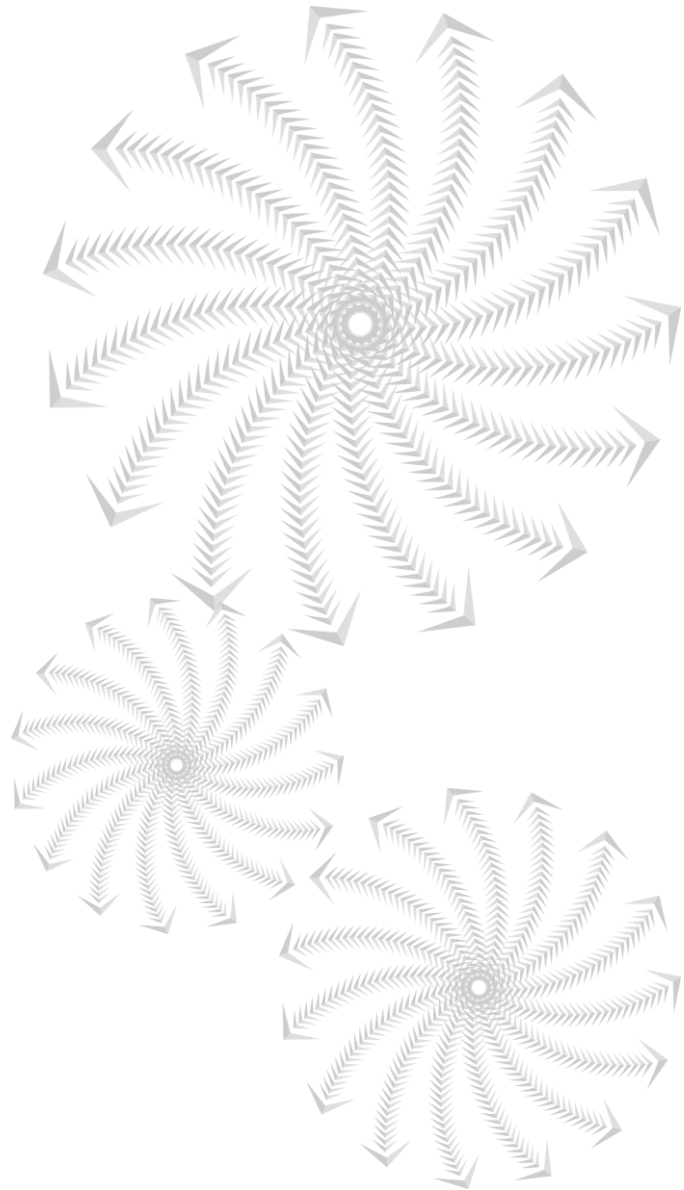
Evidence that the staff member makes a strong contribution to a world-class research environment in New Zealand and/or internationally is likely to be shown through, for example, membership(s) of renowned collaborative research teams and/or research selection panels in New Zealand and/or internationally; research leadership at the highest levels (for example, leading/participating in major research consortia); the development of research infrastructure; significant contributions to research-focused conferences, stakeholder engagement, or attracting research funding or support; attracting renowned scholars to the TEO and/or New Zealand; a consistent record of successful supervision of post-graduate students; contributions to developing new research capacity that go beyond student supervision, including among Māori and Pacific researchers, and/or supporting research students to produce research outputs that are quality-assured; contributions to knowledge in the discipline and movement into significant places of creative practice; undertaking editorship positions or membership of editorial panels or refereeing of top-ranked journals.

There may be evidence within the EP that the staff member's research and/or expertise has had a significant impact, influence or benefit on the research community, the wider community, industry, audience or end-users. This may include, for example, positive reviews or acknowledgement by esteemed end-users or favourable citations of research; significant changes to practice within a professional, cultural, or research community as a result of

	<p>the staff member's research; marked benefits to the research or wider community, business or industry through substantial new technology, design, processes, models, tools, methods, services; significant changes in understanding, attitude, awareness, behaviour regarding issues as shown in public debate or presentation, media coverage, policy advice; significant investment by partners or end-users into the research programme or further research outputs or both over an extended period of time; or other social, well-being, environmental, cultural or economic benefits.</p>
5	
4	<p>The EP would be expected to demonstrate that during the assessment period, the staff member's research has been consistently recognised within New Zealand or elsewhere, and is esteemed beyond their own institution; they have contributed research and leadership within the broader discipline in addition to contributing to their own organisation(s) research environment and/or outside of traditional academia; or they may have evidence that their research and/or expertise has had a recognised impact, influence or benefit on the wider community or end-users.</p> <p>Evidence that the staff member has a consistent record of recognition by their peers is likely to be shown through, for example, invitations to present and/or contribute to important research events (for example, invited attendance, keynote addresses, or presentations at academic, cultural, and/or industry conferences/events within New Zealand or elsewhere); the receipt of prizes or awards for research; significant commissions of research; membership of a professional society or similar with restricted or elected membership, or honours or special status with professional or academic societies; advisory board memberships; reviewing of journal submissions and book proposals; doctoral examinations; mentoring their own graduate students into research scholarships or postdoctoral fellowships or junior lectureships in departments with a good research reputation (esteem factors associated with the staff member's research students).</p> <p>Evidence that the staff member makes a consistent contribution to the research environment in New Zealand and/or internationally is likely to be shown through, for example, collaborative research across disciplinary boundaries or across organisations and/or membership(s) of research selection panels or leading research consortia within New Zealand; organising and hosting conferences; contributions (that are not research outputs) to research-focused conferences, stakeholder engagement, or attracting research funding or support; attracting researchers and scholars to the TEO; a consistent record of successful supervision of students; contributions to developing new research capacity that go beyond student supervision, including among Māori researchers and Pacific researchers, and supporting research students to produce research outputs possibly in conjunction with academic staff; contributions to debate in the discipline and/or public understanding of developments/implications in the discipline; undertaking editorship positions or membership(s) of editorial panels of reputable journals</p>

	<p>within New Zealand or elsewhere.</p> <p>There may be evidence within the EP that the staff member's research and/or expertise has had an impact, influence or benefit on the research community, the wider community, industry, audience or end-users. This may include, for example, positive reviews or acknowledgement by end-users or favourable citations of specific research outputs; changes or partial changes to practice within a professional, cultural or research community as a result of the staff member's research; recognised benefits to the research or wider community, business or industry through new technology, design, processes, methods, models, tools, services; recognised changes in understanding, attitude, awareness, behaviour regarding issues as shown in public debate or presentation, media coverage, policy advice; moderate investment by partners or end-users into the research programme or further research outputs or both; or other social, well-being, environmental, cultural or economic benefits.</p>
3	
2	<p>The EP would be expected to demonstrate that the staff member is developing recognition for their research among their peers, particularly their contribution to and developing rigour in the application of research techniques; they have contributed to their immediate research environment, primarily within their organisation(s) and/or outside of traditional academia; or they may have evidence that their research and/or expertise has had a minor but recognised impact, influence or benefit on the wider community or end-users.</p> <p>Evidence that the staff member is developing recognition within their own institution and/or beyond is likely to be shown through, for example, invitations to present research to informed audiences, within and possibly beyond the applicant's immediate institution; invitations to contribute to research, particularly as a named researcher in an externally funded research programme(s) or project(s); commissions to undertake research; invitations to referee research outputs; the receipt of prizes or awards for research.</p> <p>Evidence that the staff member is contributing to a high-quality research environment within their organisation(s) and/or beyond is likely to be shown through, for example, participating in committees of organisational bodies or discipline-related bodies dealing with research matters; organising and hosting research-focused conferences and/or seminars; contributions to stakeholder engagement; attracting, or helping to attract, research funding or support; hosting visiting researchers; the successful supervision of Master's and doctoral students, including Māori and Pacific students.</p> <p>There may be evidence within the EP that the staff member's research and/or expertise has had some impact, influence or benefit on the research community, the wider community, audience, or end-users. This may include, for example, positive reviews or acknowledgement by relevant end-users or positive</p>

	<p>citations of research; minor but recognised benefits to the research or the wider community, business or industry through new technology, design, processes, models, tools, methods, services; minor but recognised changes in understanding, attitude, awareness, behaviour regarding issues as shown in public debate or presentation, media coverage, policy advice; minor investment by partners or end-users into further research outputs; or other social, well-being, environmental, cultural or economic benefits.</p>
1	<p>The EP demonstrates that during the assessment period there is minimal evidence of esteem generated through research, either within or outside of academia; minimal evidence of any contributions to the research environment; and minimal evidence of any impact, influence or benefit that their research and/or expertise has had inside or outside of academia.</p>
0	<p>The EP demonstrates that during the assessment period there is no evidence of esteem generated through research; no contributions to the research environment; and no impact, influence or benefit that their research and/or expertise has had inside or outside of academia.</p>



2018 Quality Evaluation

What is the moderation process?

The moderation process

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

- › The Moderation Panel consists of the Principal Moderator (Chair of the panel), the two Deputy Moderators and the 13 peer review panel Chairs. The Moderation Panel is supported by the TEC's Moderation Panel Advisor.
- › The structure of the Moderation Panel also provides a support mechanism for panel Chairs.

Purpose of the moderation process

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

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



The moderation process for the 2018 Quality Evaluation has been updated to reflect changes in the technology and information available during the assessment process. This means the moderation can occur simultaneously with the assessment process.

The moderation process

There are four stages in the moderation process.

Stage	Purpose	Timing	
1	Individual assessment moderation/monitoring	Identify any patterns or variations in the preparatory and/or preliminary scores within their panels that might indicate potential bias, error, or the inconsistent application of assessment criteria.	August – November 2018
2	Initial Moderation Panel meeting	Review the scoring data from the pre-panel meeting assessments to ensure the consistent application of assessment standards across panels.	November 2018
3	Panel assessment moderation/monitoring	Identify any patterns or variations in the Calibrated Panel component scores and Quality Categories within and across the panels that might indicate potential bias, error, or the inconsistent application of assessment criteria.	November – December 2018
4	Second Moderation Panel meeting	Review the Final Quality Categories assigned by panels to ensure consistency across panels.	December 2018

Pre-panel assessment moderation and monitoring

The goal of moderation during the pre-panel assessment stage of the Quality Evaluation is to identify any patterns or variations in the Preparatory and/or Preliminary scores within panels that might indicate potential bias, error, or the inconsistent application of assessment criteria.

The TEC Panel Advisors provide Chairs and Moderators with an analysis of the preparatory and preliminary scores generated by panel members, including cross-referral assessors. This information allows Chairs to identify inconsistencies within their panels and Moderators to identify inconsistencies across panels, for example, by looking at the correlation between lead, second, and cross-referral Preparatory scores and Preliminary component scores.

The report will also include information provided by cross-referral assessors. Changes to the assessment process mean cross-referral assessors may be involved in the discussion with the panel-pair regarding the preliminary scores. Chairs can monitor cross-referral assessments and where issues or potential issues arise, these can be discussed between Chairs and Moderators before the initial assessment process concludes.

TEC Panel Advisors also monitor and review any concerns raised by panel members and provide updates to Chairs and Moderators identifying potential issues. While most concerns are likely to relate to the TEO audit of the data, this provides Chairs and Moderators with an opportunity to intervene if necessary.

Initial Moderation Panel meeting

The initial Moderation Panel meeting will be held in November 2018 once the individual assessment process has been completed.

The purpose of this meeting will be to:

- › confirm that the judgements of the panel have been based on the consistent application of principles and standards across all the panels, while at the same time not reducing the individual panel judgements to a mechanistic application of the assessment criteria
- › address any outstanding issues that have emerged for members of the panels that might impact on the consistent application of standards during panel meetings
- › agree consistent approaches to issues that have the potential to compromise the integrity and consistency of the PBRF standards during panel meetings – for example, the consistent and appropriate treatment of new and emerging researchers, applied and practice-based research, or the approach to the assessment of unusual or uncommon types of research outputs.

As a result of the meeting, the Chair of each panel will, with help from their Panel Advisor, be in a position to:

- › promote the principles of consistency
- › ensure adherence to agreed procedures and standards
- › identify and respond to areas of potential risk
- › communicate to panel members the Moderation Panel's agreed approach to any identified issues.

For this to be achieved, the following information (at a minimum) will be the basis of discussion at the meeting:

- › a review of the status of the EPs for each of the panels, including:
 - summary data of the numbers of EPs submitted by each TEO, EPs submitted to each panel, EPs submitted to each subject area, EPs transferred and cross-referred to other panels, and the number of new and emerging researchers
 - a summary of EPs assessed by each panel and by panel members, including assessment of NROs
- › an analysis of the standard deviations, standard errors, and box and whisker diagrams outlining the spread of Indicative Quality Category (determined from the Preliminary scores) results by panel and subject area
- › an issues report based on moderation undertaken during individual assessment
- › a comparison of the Quality Categories assigned in previous Quality Evaluation exercises against the Indicative Quality Categories.

This information will be prepared by the TEC's Moderation Panel Advisor. However, all data reports will be available through the PBRF IT System throughout the assessment process.

Panel assessment moderation and monitoring

The goal of moderation during the panel meetings of the Quality Evaluation will be to identify any patterns or variations in the Calibrated panel scores and Quality Categories across the panels that might indicate potential bias, error, or the inconsistent application of assessment criteria.

Moderators will need to consider whether:

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

Where there are possible material inconsistencies or an inadequate explanation of recommendations, the Moderators will need to address these concerns with the Chair of the relevant panel in order for the Chair to review the Quality Categories assigned to their EPs, or provide further explanation of them.

The changes in the Holistic assessment process for the 2018 Quality Evaluation means Moderators will give a specific focus to this process to ensure that aspects such as extraordinary circumstances have been taken account of and applied consistently.

Moderators will be provided with information on a daily basis during the two weeks of panel meetings to ensure they can determine there is consistency in the judgements and standards being applied across the panels, and that Chairs are undertaking any actions required of them.

The information for Moderators will include changes between Preliminary Quality Categories and Calibrated Panel Quality Categories by panel, changes at the Holistic assessment stage, and distribution of Quality Categories by panel and subject area across Quality Evaluations. The aim is to identify if any additional issues need to be addressed as early as possible.

Chairs will also be provided with information on a daily basis; this information will be focused on supporting the workflow of the panel.

Second Moderation Panel meeting

This meeting will be held in December 2018 once the panel meetings have been completed.

The purpose of this meeting will be to:

- › provide an independent review of the standards that have been applied by panels in the assignment of Quality Categories to EPs
- › confirm that there has been consistent application of the Holistic assessment process, including the extraordinary circumstances provisions
- › review the Final Quality Categories assigned to ensure consistency across panels.

For this to be achieved, the following information (at a minimum) will be prepared by the Moderation Panel Advisor:

- › An analysis of the Quality Categories agreed within each panel and across all panels, which will also show:
 - any outlier results in respect of subject areas, TEOs or panels
 - the extent to which panels have departed from, or confirmed, the quality profiles generated from the preliminary scores
 - a comparison of the 2018 aggregate Quality Categories profile and distribution against the 2003, 2006 and 2012 aggregate profile and distribution.

The Chair of each panel will also briefly present a summary of their panel meeting that may include comment on the practices of panel members, the panel process, and any issues that arose during the review process.

Reconvening of panels

A panel may need to be reconvened if there is a need to review its recommendations following the moderation process or the complaints process. Panels will be reconvened via video/teleconference only.

Reconvening panels will include:

- › the Chair and any members of the panel required to review the recommendations (excluding those members with any conflicts of interest or those without the required expertise in the subject area)
- › the Principal Moderator and at least one Deputy Moderator or a Chair of another panel
- › the appropriate Panel Advisor and/or the Moderation Panel Advisor and/or other TEC staff as appropriate.

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

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

- › the reasons for the request for the review
- › the outcomes of the panel's reconsideration, specifying any changes resulting from the review
- › a commentary justifying the outcome (such as, any changes to, or confirmation of, their original recommendations).

This report will be required within five working days of the panel reconvening. This information will be provided to the TEC Board if there are any changes which result in a change to the funding allocations.

Moderation Panel reporting

The Moderation Panel report provides advice and assurance to the TEC Board on the consistent application of principles and standards within and across panels. This ensures a high level of confidence in the recommendations presented to the TEC Board by each of the panels.

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

- › panel reports to the TEC Board
- › any additional reports from the Chairs of panels that were asked to review their recommendations
- › relevant benchmarking information from the moderation process.

The Moderation Panel's report includes:

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

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.
Nominated academic unit	The academic unit nominated by the TEO for each of the staff members for whom an Evidence Portfolio is submitted.

Term	Meaning
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 transferring or concurrently employed PBRF-eligible staff members.
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.

Term	Meaning
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>
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.

Term	Meaning
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	<p>The criteria that staff have to meet to be eligible to participate in the Quality Evaluation.</p>
Subject area	<p>One of the 43 subject areas defined to represent the range of research disciplines assessed in the Quality Evaluation.</p>
TEC	<p>Tertiary Education Commission.</p>
TEO	<p>Tertiary education organisation.</p>
Tie-points	<p>The standards expected for the scores two, four and six in each of the two components of an Evidence Portfolio.</p>
Total weighted score	<p>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.</p>

Term	Meaning
URI	A Uniform Resource Identifier (URI) is a <u>string</u> of <u>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.