# SRG Consultation 8: Panels assessment criteria proposed component and tie-point descriptors

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| **Proposed Example of Research Excellence component descriptor**  This component is concerned with the quality of research and research-related activity, including research impact. As part of the evidence in this component, EPs will ordinarily include three Examples of Research Excellence. EPs submitted by New and Emerging, part-time, and/or staff with extraordinary circumstances will include fewer EREs depending on the circumstance or combination of circumstances. Each ERE will comprise:   * **a core research output** (required) which must be submitted for assessment * **up to three supplementary and related research outputs or research activities** (optional) which are briefly described along with bibliometric or equivalent details sufficient to enable audit * **a brief contextualising narrative** (required) which summarises the key discoveries, innovations, contributions, and/or impacts the ERE demonstrates, and which can link together the core research output with any supplementary items.   EPs may also include up to eight Other Examples of Research Excellence, which may be either research outputs or activities.  In scoring the ERE component, the number of total EREs and/or OEREs, and the number, presence or absence of any supplementary items within each ERE, has no bearing on the assessment of quality.  **Research outputs** are any form of assessable output which embody research findings and are generated out of research activity meeting the PBRF Definition of Research, and may include:   * published or otherwise disseminated academic work such as scholarly books, journal articles, Master’s or doctoral theses, or presentations * published or otherwise disseminated creative work that embodies original research such as works of fiction, artworks, or compositions. * publicly available or confidential work that embodies original research such as reports, policies, legislation, or designs * work published or otherwise disseminated in digital, visual, audio, or other non-print media including computer programs, waiata, carving, buildings * other forms of outputs such as granted patents, materials, products, performances, orations, and exhibitions.   **Research activities** describe activity concerned with the planning, preparation, production, dissemination and sharing of research meeting the PBRF Definition of Research. **Research activities** also include activity and outcomes associated with the recognition and impact of research, and may include:   * presentation or sharing of research outputs, outcomes, or work in progress in scholarly, industry or sector-based, iwi, community or public fora. Examples might include academic, industry or professional conference presentations, public lectures or seminars, hui, fono, workshops, presentations or displays * external support for research projects and activity, including competitive or other funding, contracts or commissions, public or private sector collaborations or partnerships, and community, iwi, or marae support * recognition of research activity and/or outputs in the form of fellowships, prizes, awards, secondments, appointments or elections to relevant roles, honours or other indicators of peer or external esteem * outreach and engagement activity concerned with engaging with and contributing to non-academic communities and stakeholder groups. Examples might include evidence of research impact meeting the PBRF definition of research impact through uptake and use of or engagement with research outputs or activities.   Examples might include legislative, regulatory, or policy changes, economic or commercial outcomes or benefits including products, practices and processes, social, health, environmental or cultural benefits or changes, or other changes to services or quality of life, at all levels from the global to the local community.  The EP may include research which is pure, basic, theoretical, applied, creative, community, or practice-based, so long as it meets the PBRF Definition of Research. All types and modes of research will be considered equal and no quality distinctions should be made on that basis alone.  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, noting that the appropriate peers and peer review processes may in some contexts or fields be external to the academy. Other quality-assurance processes, including but not limited to referees, commissioning processes, and community, iwi or marae endorsement will also be given regard. Review processes may cause overlap between the ERE and CRE components. Assessors need to ensure that they adequately differentiate between review outcomes as they relate to evidencing of quality-assurance process for core research outputs submitted in the ERE component (for example evidence of peer review of the output), and review activity or outcomes (for example awards, prizes, funding, invitations to present research) that may be presented either as supplementary or OERE research activities or as part of the CRE component. Most of the assessment time should be spent on the ERE component. | |
| **Proposed ERE scoring scale** | |
| **Score** | **Tie-point descriptor** |
| 7 | The EP demonstrates a body of leading-edge research outputs and/or activities that is recognised by peers as ranking with the best of its kind in terms of its originality, rigour, and significance, and/or in terms of the reach and significance of its impact.  EREs, including core research outputs and any supplementary outputs or activities, likely represent significant intellectual or creative advances, contributions to the formation of new paradigms, novel conceptual or theoretical analysis or theories, the recovery or revitalisation of significant knowledges, highly novel or creative practical applications or syntheses of research, or other important new or creative findings with wider implications. EREs may evidence research that has delivered very significant impact that has either wide-ranging reach across multiple stakeholders, or has achieved profound depth of change or benefit, or both.  Outputs could demonstrate research that is exemplary or at the leading edge in its field, highly innovative, has significance beyond its field or across fields, or all of the above. They would be expected to demonstrate the highest levels of intellectual rigour, imaginative insight or methodological skill, and/or to form a primary point of reference to be disseminated widely.  A significant proportion of research outputs should be presented through the most appropriate and best channels relative to the field or topics of research.  Where relevant, research and research-related activities may have gained the highest level of recognition from peers, which may also include peers within industry, communities, iwi, hapū, marae, the public and third sectors, and/ or professional practice.  Research-related activities likely demonstrate very significant outcomes from collaboration, dissemination, and/or engagement with the leading or most relevant representative groups and bodies within or outside academic domains. They may have delivered impacts which may be either very significant, have extensive reach potentially across multiple beneficiary groups, or both. Such impacts could include significant changes in professional, policy, organisational, artistic, or research practices, commercial developments, processes, and applications, or other outcomes which have significant benefits for public stakeholder groups, private sector or commercial enterprises, or communities. |
| 6 |
| 5 | The EP demonstrates a body of research outputs and/or activities that is recognised as high-quality in terms of its originality, rigour, and significance, and/or in terms of the reach and significance of its impact.  EREs, including core research outputs and any supplementary outputs or activities, likely represent substantial new ideas, interpretations, or critical findings, valuable contributions to existing paradigms, the recovery or revitalisation of knowledge, innovative practical applications or syntheses of research, or other new or creative findings. EREs may evidence research that has delivered significant impact; reach may be significant in terms of breadth or depth or both.  Outputs could demonstrate research that is recognised as high quality and significant within its field. They would be expected to demonstrate a high level of intellectual rigour, insight or methodological skill, and may be a point of reference within the relevant field.  Research outputs will typically be presented through reputable and appropriate channels relative to the field or topic of research.  Where relevant, research and research-related activities may have gained recognition from peers, which may also include peers within industry, communities, iwi, hapū, marae, the public and third sectors, and/ or professional practice.  Research-related activities may demonstrate some significant outcomes from collaboration, dissemination, and/or engagement with relevant representative groups and bodies within or outside academic domains. They may have delivered impacts which have achieved either reach or significance for a beneficiary group. Such impacts could include changes or contributions to changes in professional, policy, organisational, artistic, or research practices, commercial developments, processes, and applications, or other outcomes which have realised benefits for public stakeholder groups, private sector or commercial enterprises, or communities. |
| 4 |
| 3 | The EP demonstrates a body of research outputs and/or activities that is recognised as meeting the minimum standards of originality, rigour, and significance relative to the field, and/or as having achieved some limited impact.  EREs, including core research outputs and any supplementary outputs or activities, likely represent some contributions to or developments on existing ideas, paradigms or interpretations, practical applications research, or other findings that have some significance within the field. EREs may evidence impact, likely limited to small stakeholder groups and/or to a more superficial degree of change or benefit.  Outputs could demonstrate research that has a sound and justifiable methodology and is recognised as meeting minimum quality assurance standards within the field. Outputs should typically be presented through reputable channels relative to the field or topic of research.  Where relevant, research and research-related activities may have gained some limited recognition from peers, which may also include peers within industry, communities, iwi, hapū, marae, the public and third sectors, and/ or professional practice.  Research-related activities may demonstrate evidence of collaboration, dissemination, and/or engagement with representative groups and bodies within or outside academic domains; outcomes and impacts for specific beneficiary groups may be limited. Such impacts could occur within public, private, third sector or community contexts but are likely to be limited both in terms of significance and reach. |
| 2 |
| 1 | The EP demonstrates minimal evidence of research or research-related activity. The research presented is assessed as having limited or no originality, significance, or rigour, and has achieved little or no impact.  EREs represent little or no additional contributions to or applications of knowledge. Research outputs demonstrate no or very limited contributions to understanding or insight in the discipline or field, or lack the appropriate application of theory or methods, or both. Research-related activities demonstrate very limited collaboration, dissemination, or engagement, with little evidence of outcomes or of peer recognition. |
| 0 | No evidence of research or research-related activity is presented. |
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| **Proposed Contributions to the Research Environment component descriptor**  This component is concerned with the contribution a staff member has made to sustaining, developing, and/or growing the research environment and culture of which they are a part. The component allows for recognition of activities and outcomes that are indicative of a vital, high-quality, sustainable research environment that may exist across academic, community, industrial, public, and commercial domains. Research environments and the activity that sustains and grows them may be local, regional, national or international in orientation.  EPs will normally be expected to include a minimum of one and up to ten CRE items, unless the EP is submitted by a New and Emerging Researcher, in which case no CRE items are required. In scoring the CRE component, the number of CRE items submitted should have no bearing on the assessment of quality so long as the minimum of one item (where relevant) has been included.  The component will recognise the following types of activity or outcome:   * **Contributions to Research Discipline, Culture, and Environment** that demonstrate the staff member’s contribution to the general development, sustainability, vitality or visibility of their discipline, field or the broader research environment, culture or capability both within and outside academic domains. Examples might include research leadership roles such as head of department, laboratory, centre, or institute director, institutional or other research related committee membership, activity related to establishing, validating, representing, raising awareness of, and advocating for the discipline or field, or acting in the ‘critic and conscience’ role. * **Facilitating, Networking and Collaboration** activity that demonstrate the staff member’s contribution to the research environment specifically through developing and supporting research networks, groups, or collaborations that develop or sustain their discipline, field, or the broader research environment, culture or capability both within and outside academic domains. Examples might include setting up, leading, or contributing to research centres, groups, seminars, wānanga, fono, lecture series, reading groups, fora, or networks. * **Researcher Development, Capability-Building, and Mentoring** activity that demonstrates the staff member’s contribution to developing and growing the research environment specifically through staff development, mentoring and support both within and outside academic domains. Examples might include formal mentoring roles, leadership roles and advocacy/representative roles for particular career stages, or contributions to promotions processes and appointments panels. * **Reviewing, Refereeing, Judging, Evaluating and Examining** activity that demonstrates the staff member’s contributions to developing and sustaining their discipline or field through reviewing, refereeing, judging, evaluating and examining their peers. Invitations to undertake such activity may also indicate the staff member’s standing and/or peer esteem within the discipline or field. Examples might include positions on editorial boards, publisher, journal, institutional or other peer-review roles, funding or awards panel membership. * **Student Development and Support** activity which demonstrates the staff member’s contributions to developing or growing research capacity and capability through supervision, mentoring, support, evaluation or review of research students, activity aimed at addressing equity and inclusivity issues including for Māori and Pacific research students in particular, as well as esteem and recognition factors associated with a staff member’s research student supervisees. * **Peer esteem and research recognition factors not included in ERE section**, including indicators associated with the staff member and/or work over the duration of a career rather than associated with a specific ERE or OERE. Examples might include prizes, awards, honours, elected roles or other indicators.  Panels recognise that the items submitted across the six CRE types will differ in kind depending on disciplinary norms and that inherent opportunities for research environment contributions will likewise vary across fields or disciplines. It is not expected that evidence of contributions across all six types will be submitted, and neither will submission of evidence across a greater or lesser range of types form the sole basis for quality assessment. All six types of CRE are considered as equally valuable and as equally capable of producing the highest score. | |
| **Proposed CRE scoring scale** | |
| **Score** | **Tie-point descriptor** |
| 7 | The EP demonstrates that the staff member makes a leading contribution to a sustainable research environment in New Zealand and/or internationally. This is likely to be shown through, for example:   * research leadership at the highest levels (for example, membership of significant research selection and/or assessment panels nationally or internationally, leading major collaborative research centres, consortia, units, teams or other groups including initiatives at the highest level of Te Ao Māori, Pacific, and other communities, institutional or cross-institutional, national or international leadership roles including of research or professional membership organisations and bodies); * leading or contributing to the development of significant institutional, national, or international research capacity-building or support including infrastructure, services, collections, funds, fellowships; * significant contributions to or leadership of 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 for Māori and Pacific research students and researchers, and/or supporting research students to produce research outputs that are quality-assured; * contributions to knowledge in the discipline through editorship positions, membership of editorial panels or refereeing of top-ranked journals. * The staff member may have a public profile either nationally or internationally as a consequence of their expertise in their field or discipline, and may regularly provide expert public commentary or raise awareness of the role or value of their discipline or field. |
| 6 |
| 5 | The EP demonstrates that the staff member makes a strong contribution to a high-quality, sustainable research environment in New Zealand and/or internationally. This is likely to be shown through, for example:   * research leadership which may include membership of research selection and/or assessment panels nationally or internationally, membership or participation in collaborative research centres, consortia, units, teams or other groups, institutional or cross-institutional, national or international leadership roles including of research or professional membership organisations and bodies; * contributing to the development of institutional research capacity-building or support including infrastructure, services, collections, funds, fellowships; * contributions to research-focused conferences, stakeholder engagement, or attracting research funding or support; * attracting renowned scholars to the TEO and/or New Zealand; * a record of successful supervision of post-graduate students; contributions to other research student development, mentoring, and support initiatives including for Māori and Pacific research students, and/or supporting research students to produce research outputs that are quality-assured; * contributions to knowledge in the discipline through editorship positions, membership of editorial panels or peer review roles at high-quality journals; * The staff member may have a developing public profile as a consequence of their expertise in their field or discipline, and may have provided expert public commentary or raised awareness of the role or value of their discipline or field. |
| 4 |
| 3 | The EP demonstrates that the staff member has made some contribution to a high-quality, sustainable research environment in their discipline or field at an organisational or national level. This is likely to be shown through, for example:   * participation in research centres, consortia, units, teams or other groups within their specific discipline or at the institutional level; * contributions to the institutional research environment through membership of relevant committees or discipline-related bodies; * contributions to research-focused conferences or seminars, or to stakeholder engagement activity; * the successful supervision of post-graduate students, including Māori and Pacific research students; * contributions to knowledge in the discipline through membership of editorial panels or peer review roles at journals that are recognised within the discipline or field. * The staff member may have had some experience of providing public commentary as a consequence of their specific research expertise. |
| 2 |
| 1 | The EP demonstrates minimal evidence of contribution to the staff member’s research environment. Any activity is likely to be limited to the departmental or sub-organisational level, or to platforms and events that are not well-recognised within the discipline or field. There may limited or no evidence of research student supervision or support. |
| 0 | No evidence of contributions to the research environment is presented. |