



Tertiary Education  
Commission  
Te Amorangi Mātauranga Matua



**Performance-Based Research Fund**  
Guidelines for tertiary education organisations  
participating in Quality Evaluation 2026



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



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## Chief Executive's preface

Tēnā koutou

The Tertiary Education Commission is pleased to publish the guidelines for the Performance-Based Research Fund (PBRF) Quality Evaluation 2026 following two years of engagement and support from the tertiary sector and other key stakeholders.

The Quality Evaluation recognises and rewards the breadth and diversity of research excellence across the tertiary education sector in Aotearoa New Zealand. Our research cultures and environments are vibrant, diverse, and uniquely enriched by the ontologies and epistemologies of Te Ao Māori and the Pacific. The research carried out in our tertiary education organisations profoundly impacts our society, culture, and economy, contributes to global discoveries and development, and informs our degree and postgraduate level tertiary teaching and learning.

Following the independent PBRF Review in 2019/20 and Cabinet's decisions in 2021, a number of operational design changes have been introduced to Quality Evaluation 2026. These changes include a more flexible Evidence Portfolio design, the introduction of an Achievement Relative to Opportunity framework, revised criteria for New and Emerging researchers, and changes to the panel appointment criteria and processes. Through these changes, we aim to achieve more equitable outcomes that better recognise the diversity of our research workforce, research and research excellence, and its impact. We hope that researchers of all disciplines and approaches, and of all career stages and personal circumstances, can see a place for their work to be recognised in the Quality Evaluation.

Stakeholder feedback from organisations and individuals has been vital during the process of working through these design changes and developing the guidelines. We thank the sector for the robust and thoughtful feedback we have received.

I would like to thank our PBRF Sector Reference Group which, under the leadership of Co-Chairs Professor Wiremu Doherty and Professor Wendy Larner, has contributed considerable time and expertise to the mahi and developed considered solutions to a range of complex issues. I would also like to thank the peer review panel Co-Chairs and initial cohort of panel members who have developed the panel-specific guidelines early in the process to ensure that those participating in Quality Evaluation 2026 have the full range of information needed to support their submissions.

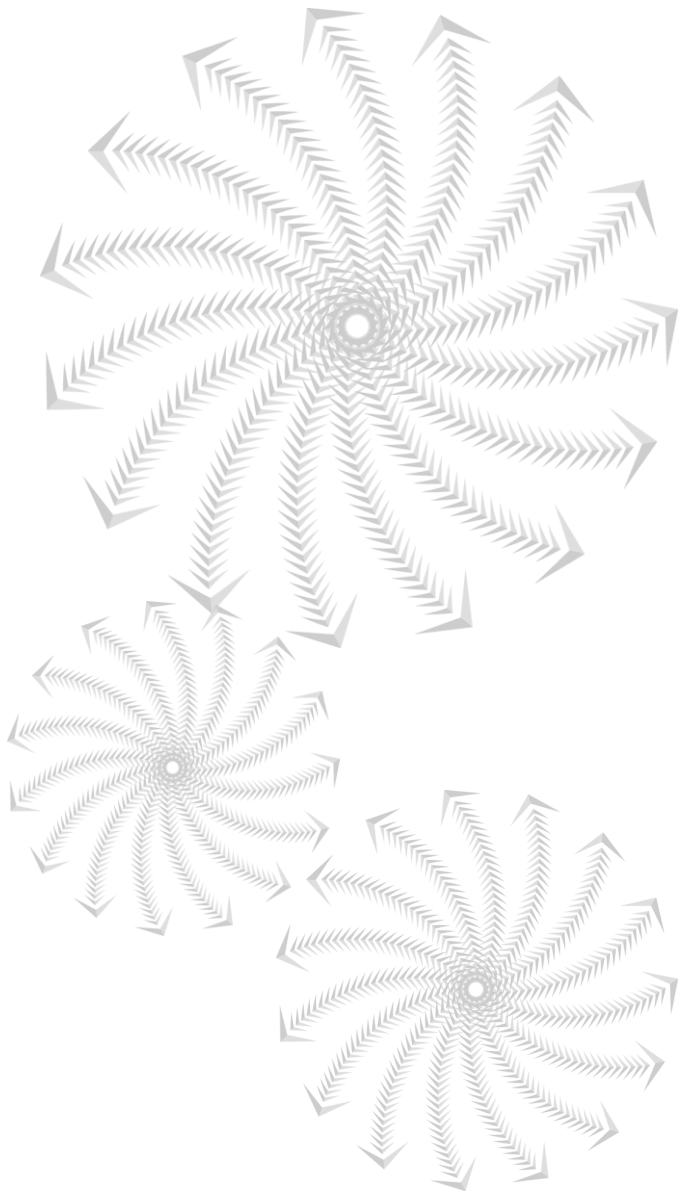
Finally, I would like to acknowledge the impact of the COVID-19 pandemic on our research communities. I know that many researchers have experienced serious disruption as a result of the pandemic, and I know our tertiary education organisations have also experienced significant challenges. In recognition of these wider impacts, the Quality Evaluation has been postponed two years from its original date of 2024. These guidelines also set out ways in which more severe impacts on individual staff members can be recognised.

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, the integrity of the PBRF and its international reputation is ensured by

all participating organisations and staff members demonstrating their willingness to support the Quality Evaluation process both in spirit and in detail.

A handwritten signature in black ink, appearing to read 'Tim Fowler', with a stylized flourish at the end.

Tim Fowler  
Chief Executive  
Tertiary Education Commission



# Guidelines for TEOs participating in Quality Evaluation 2026

# How to use these guidelines

## Structure of these guidelines

These guidelines are divided into chapters explaining different parts of the Quality Evaluation process. The topics covered are listed in the table of contents.

This document provides the information that tertiary education organisations (TEOs) need to:

- › understand what happens in the Quality Evaluation
- › determine organisational and staff eligibility
- › understand the new Achievement Relative to Opportunity framework
- › complete Evidence Portfolios (EPs)
- › submit conflict of interest notices
- › participate in the audit process
- › understand the reporting of results
- › make complaints about errors.

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](http://www.tec.govt.nz).

## Other available guidelines

For Quality Evaluation 2026, we have provided guidelines for three specific audiences:

- › tertiary education organisations (this document)
- › panels carrying out the assessment process
- › participating TEO staff members (not yet available).

The *Guidelines for the assessment process* provide information about the assessment process undertaken by members of the panels. This includes information on the responsibilities of the panels, the scoring system and detailed scoring descriptors for EPs, the stages in the assessment process, the moderation process, and information about conflicts of interest and confidentiality.

The *Guidelines for participating TEO staff members* provide 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 peer review panels also develop *Panel-Specific Guidelines* which provide subject and discipline-specific information to help staff as they develop their EPs. These are designed to be read in conjunction with the TEO and staff guidelines.

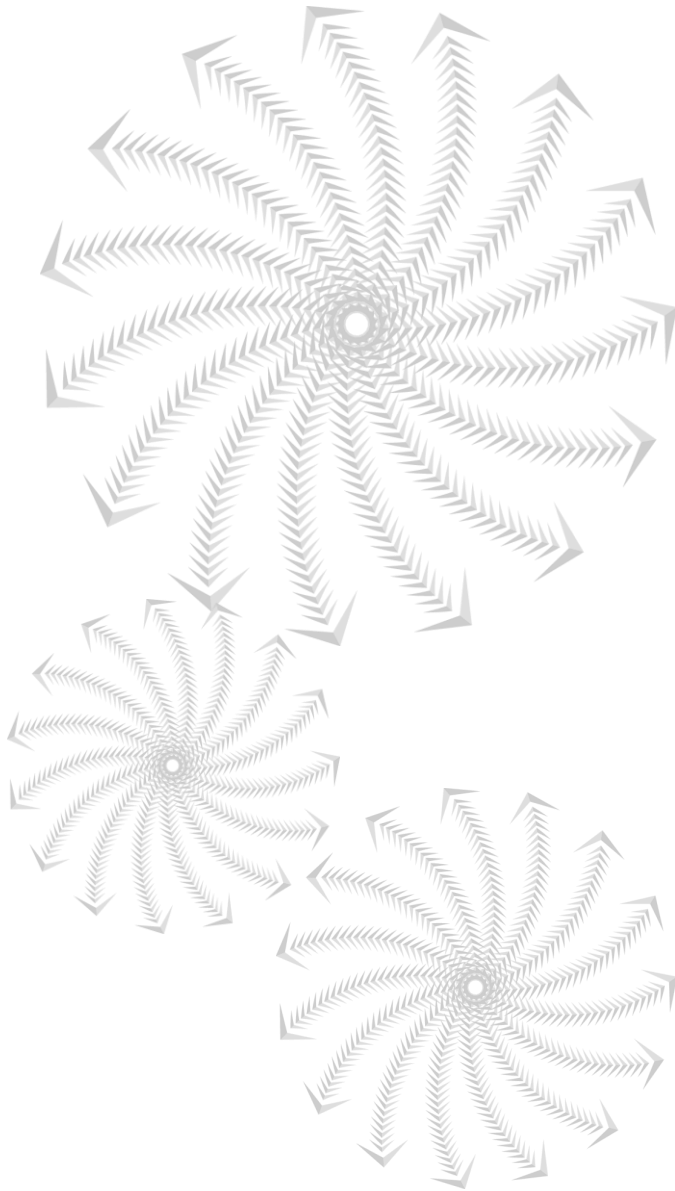
The table below shows the main audience for each document. A tick (✓) indicates that the document also contains information relevant for that particular audience.

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

## Changes to the guidelines

In previous Quality Evaluations, sector queries and other decisions affecting the Quality Evaluation process have led to minor clarifications to the Guidelines following publication. Any future changes made to these guidelines will be set out in the table below.

Change	Page reference	Date of update
Brief description of the change	p. xx	Month, Year



# Quality Evaluation 2026

## An 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 Fund allocates \$315 million a year in total across three components: the Quality Evaluation, Research Degree Completions, and External Research Income.

Quality Evaluation 2026 is an assessment of the research performance of staff at eligible tertiary education organisations (TEOs) for the period 1 January 2018 to 31 December 2025. The results of Quality Evaluation 2026 will determine the allocation of 55 percent of the Fund for a seven-year period (2026 to 2032).

TEOs determine which of their staff members are eligible to participate and if their research is likely to meet the standard for a funded Quality Category. They compile Evidence Portfolios (EPs) for these staff based on the relevant submission options for them under the Achievement Relative to Opportunity framework. EPs that TEOs decide are not likely to meet the requirements for achieving a funded Quality Category are not submitted for panel assessment.

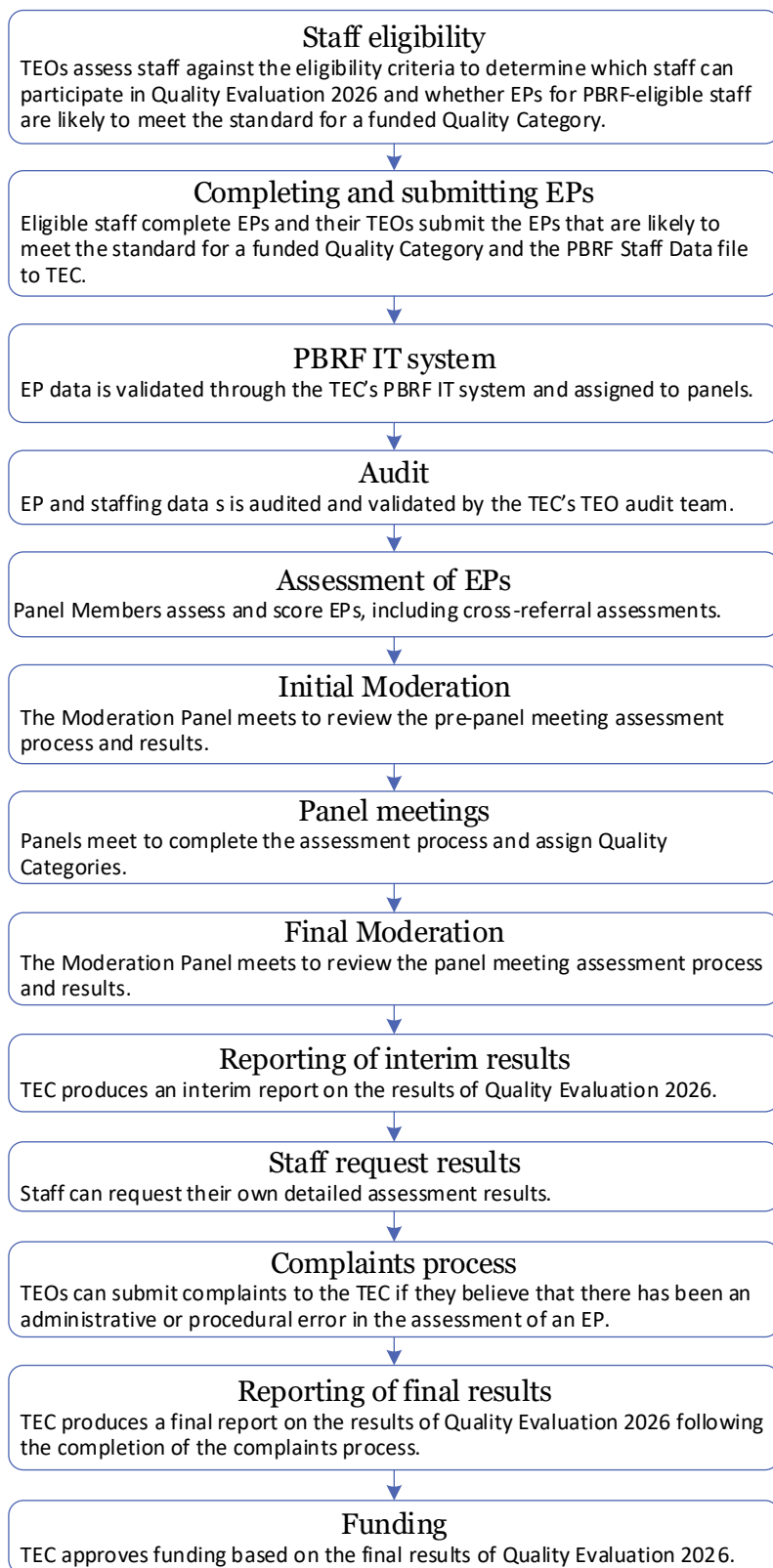
TEOs submit a Staff Data File, which provides information to confirm the identity, eligibility status, and submission details of staff who are submitting EPs to the TEC. Following this, TEOs submit EPs to be considered by one of the 14 peer review panels. This information is submitted through the PBRF IT System and audited by the TEC to ensure that staff meet the eligibility criteria and that the information provided in EPs is accurate. This information is used in the reporting of results and forms the basis of the funding calculation.

The peer review panels complete their assessment and assign one of six Quality Categories to each EP. Where needed, elements of an EP can be cross-referred to other panels. The overall process is overseen by a Moderation Panel, which ensures PBRF 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.

At the conclusion of the Quality Evaluation, the TEC reports the results and calculates updated TEO funding allocations for the Quality Evaluation component.

## The stages of the Quality Evaluation 2026 process





## Key dates for Quality Evaluation 2026

Phase	Deadline/activity	Dates
<b>The assessment period</b>	Eligibility period for Evidence Portfolio items	1 January 2018 – 31 December 2025
<b>Audit – process</b>	TEO process assurance audit	February 2025 – December 2025
<b>Staff eligibility period</b>	Staff must be employed or contracted by the submitting TEO within this period and <b>on 11 June 2026</b> to be considered PBRF-eligible	12 June 2025 – 11 June 2026
<b>TEOs submit EPs and Staff Data files</b>	Preliminary submission date for EP data and PBRF Staff Data files	<b>3 July 2026</b>
	Period for final review and correction of EP data and PBRF Staff Data files	3 July 2026 – 4.00pm 9 July 2026
	Close-off date for resubmission of EP data and PBRF Staff Data files	<b>4.00pm 9 July 2026</b>
	Deadline for Vice-Chancellor's/Chief Executive Officer's declaration	<b>4.00pm 13 July 2026</b>
<b>Audit – data</b>	Data evaluation audit	July 2026 – December 2026
<b>Panel assessment and moderation</b>	Assignment of EPs for assessment	11 July 2026 – 23 August 2026
	Requesting physical ERE Outputs <i>15 working days to request, 15 working days to supply</i>	11 September 2026 – final date for Panel requests
	Pre-meeting panellist assessment of EPs	24 August 2026 – 30 October 2026
	Panel meetings	16 November 2026 – 4 December 2026
	Moderation Panel meeting	December 2026

Phase	Deadline/activity	Dates
<b>Reporting and complaints process</b>	Interim report on Quality Evaluation 2026 results released	April 2027
	Final Quality Categories reported to TEOs	
	Staff requests for Quality Evaluation 2026 results start	
	35-day period for TEOs to lodge complaints	April 2027 – May 2027
	60-day period for the TEC to investigate complaints	May 2027 – July 2027
	Final report on 2026 Quality Evaluation results released	September 2027
<b>Funding allocations</b>	Indicative funding allocations for 2026 and 2027 updated with new results Indicative allocations for 2028 calculated	October 2027

## Which organisations are eligible to participate in the PBRF?

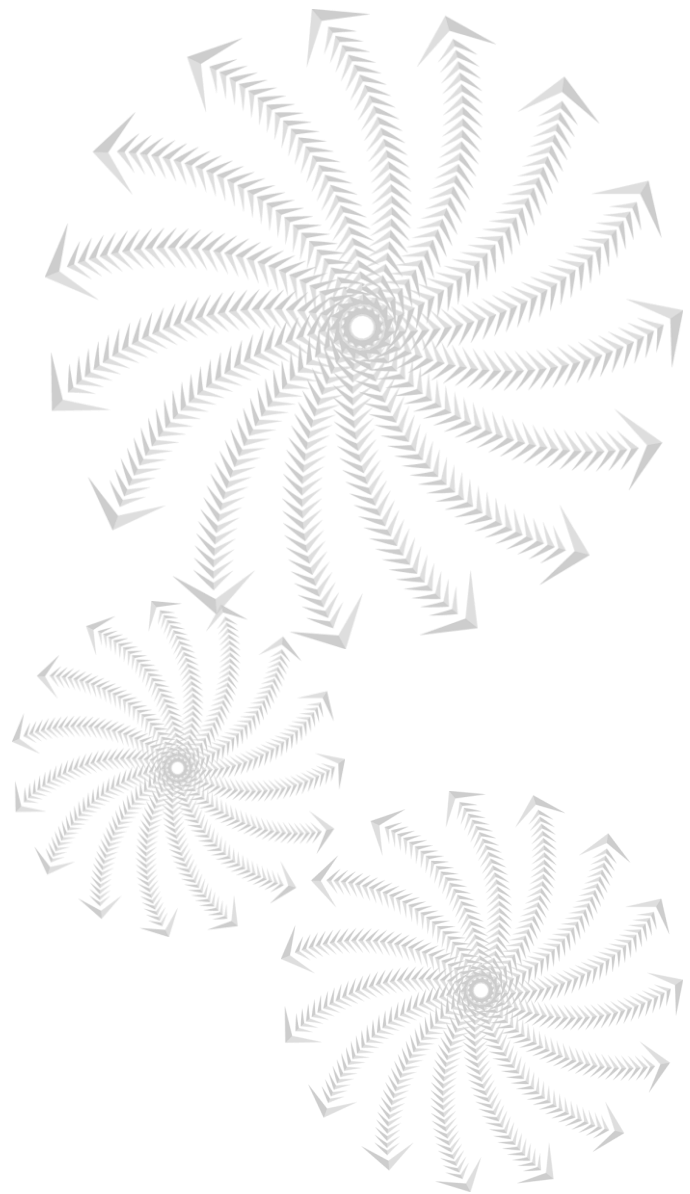
TEOs that want to participate in Quality Evaluation 2026 must meet both of the following criteria:

- › The TEO receives TEC funding via the Delivery on the New Zealand Qualifications and Credentials Framework at Levels 7 (degree) and above (DQ7+) Fund.
- › The TEO has degree-granting authority on 11 June 2026.

The next funding period for the PBRF is 2026 to 2032. TEOs that want to seek funding from the PBRF for this period must participate in Quality Evaluation 2026.

TEOs cannot receive PBRF funding from 2026 to 2032 through either the Research Degree Completion or External Research Income elements of the PBRF unless they have participated in Quality Evaluation 2026.

Note that to receive DQ7+ funding from the TEC, an organisation must have an approved Investment Plan.



# Quality Evaluation 2026

## What is research?

## What counts as research in Quality Evaluation 2026?

The PBRF Definition of Research is intended to be a broad and inclusive characterisation that includes original investigation in all domains, including mātauranga Māori, Pacific research, and creative, professional, and applied research. The PBRF Quality Evaluation explicitly recognises that research excellence occurs across the full spectrum of original investigative activity.

### PBRF Definition of Research

For the purposes of the PBRF, research is defined as a process of investigation or inquiry leading to new, recovered, or reinterpreted knowledge or understanding which is effectively shared and capable of rigorous assessment by the appropriate experts.

In Aotearoa New Zealand our distinctive research cultures and environments draw on diverse ontological, epistemological, and methodological traditions of critical inquiry, experimentation, and knowledge-creation. This definition of research includes Māori ways of knowing, being, and conducting rangahau such as kaupapa Māori and mātauranga Māori; diverse Pacific ways of knowing, being, and conducting research; and work that embodies new insights of direct relevance to the specific needs of iwi, hapū, marae, communities, government, scholarship and teaching, industry, and commerce, which may be developed through collaborative and practice-led processes involving stakeholders from those constituencies.

Research can be an individual or collective process and may be embodied in the form of artistic works, performances, designs, policies, or processes that lead to novel or substantially improved insights.

For further clarification, research includes:

- › Activity that leads to scholarly books, journal articles, and other nationally and internationally published outputs and presentations that offer new, recovered, or reinterpreted knowledge;
- › Activity that leads to contributions to the intellectual underpinning of different ontologies and epistemologies, subjects, and disciplines (for example, dictionaries, scholarly editions, teaching materials that embody original research, or teaching practices or activities that produce original research);
- › Applications of existing knowledge to produce new or substantially improved materials, devices, products, designs, policies, granted patents, or creative outputs;
- › Re-centering and revitalisation of knowledge (for example, the study of raranga, whakapapa narratives, waiata composition, navigational knowledge, translation studies, historical or literary archival studies, or ecological research); and



**The PBRF Definition of Research** has been expanded to ensure that it better reflects the diversity of ontologies and epistemologies in Aotearoa New Zealand and reflects the importance of mātauranga Māori as a taonga under Te Tiriti o Waitangi.

- › The synthesis and analysis of previous research to the extent that the insights generated are new.

It does not include:

- › routine testing and data collection lacking analysis, interpretation and/or evaluation;
- › preparation for teaching that does not embody original research (for example, collation of existing research and research outputs into handbooks or textbooks where this does not embody new insights); or
- › the legal and administrative aspects of intellectual property protection and commercialisation activities.

## Mātauranga Māori

The new definition of research includes explicit reference to Māori ways of knowing, being, and conducting rangahau. Rangahau and knowledge of relevance to Māori communities, such as kaupapa Māori and mātauranga Māori, are essential components of Aotearoa New Zealand’s distinctive research cultures.

The Mātauranga Māori Panel’s Panel-Specific Guidance has elaborated the ontologies, epistemologies, methodologies, knowledges and understandings which comprise Te Āo Māori. This elaboration applies across all panels and will be used to determine whether EPs should be cross-referred.

## Pacific Research

The new definition of research includes explicit reference to diverse Pacific ways of knowing, being, and conducting research. Research and knowledge of relevance to Pacific communities are essential components of Aotearoa New Zealand’s distinctive research cultures.

The Pacific Research Panel’s Panel-Specific Guidance has elaborated the topics, ontologies, epistemologies, methodologies, knowledges and understandings which make up Pacific research cultures. This elaboration applies across all panels and will be used to determine whether EPs should be cross-referred.

## Research excellence and impact

For the purposes of the Quality Evaluation, research excellence will be assessed in terms of originality, rigour, reach, and significance, with reference to the quality standards appropriate to the subject area and to the unique nature of Aotearoa New Zealand’s research cultures and needs.

Excellence will be assessed across the following areas of activity:

- › The production and creation of knowledge, including ontologies, epistemologies, and methodologies unique to Māori and to Pacific communities;
- › The dissemination and application of that knowledge within academic and/or other communities and its impact outside the research environment; and
- › Activity which sustains and develops the research environment, within and across both academic and non-academic domains.

For the purposes of the Quality Evaluation, the impact of research is defined as a positive effect on, change, or benefit to society, culture, the environment, or the economy at any level, outside the research environment.

Impacts on scholarship, research, or the advancement of knowledge within the research environment are not included under impact as they already fall within the definition of excellence.

## Revised Quality Category descriptors

Quality Categories are awarded to each EP based on an assessment of quality. They also carry a funding weighting that is an input into the formula for calculating PBRF Funding.

### Quality Category A

The panel considers that as a whole the EP contains evidence of activity that is recognised by peers as outstanding, representing the leading-edge in its field (including if appropriate through international publication or dissemination), demonstrates very significant contributions to the research environment, and/or has led to very significant impact.

- › Research outputs are recognised by peers as leading-edge for the field in terms of their originality, rigour, and significance and/or in terms of the reach and significance of their impact.
- › Research-related activities demonstrate very significant outcomes from collaboration, dissemination and/or engagement within or outside academic domains; they may have delivered very significant impacts, with considerable reach, and where relevant 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 environment contributions demonstrate very significant contributions to the vitality and sustainability of the research culture and environment, which is likely to occur beyond the field of research.

### Quality Category B

The panel considers that as a whole the EP contains evidence of activity which is recognised by peers as high-quality within its field (including if appropriate through international recognition), demonstrates significant contributions to the research environment, and/or has led to significant impact.

- › Research outputs are recognised by peers as high quality for the field in terms of their originality, rigour, and significance and/or in terms of the reach and significance of their impact.
- › Research-related activities demonstrate significant outcomes from collaboration, dissemination and/or engagement either within or outside academic domains; they may have delivered significant impacts with reach, and where relevant 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 environment contributions demonstrate significant contributions to the vitality and sustainability of the research culture and environment.



### The Quality Categories

have been revised for 2026 to reflect changes to the definition of research and clarified understandings of excellence and impact.

**Quality Category C**

The panel considers that as a whole the EP contains evidence of activity which is recognised by peers as having met quality-assurance standards within its field (including if appropriate through international recognition), demonstrates some contributions to the research environment and/or has led to some impact.

- › Research outputs are recognised by peers as meeting the quality standards of the field in terms of their originality, rigour, and significance, and/or demonstrate impact which is limited in terms of reach or significance.
- › Research-related activities demonstrate some outcomes from collaboration, dissemination and/or engagement either within or outside academic domains; they may have delivered moderate impacts and where relevant may have gained some recognition by peers, which may also include peers within industry, communities, iwi, hapū, marae, the public and third sectors, and/or professional practice.
- › Research environment contributions demonstrate some contributions to the vitality and sustainability of the research culture and environment.

**Quality Category C(NE)**

The panel considers that as a whole the EP contains evidence of activity which is recognised by peers as having met quality-assurance standards within its field (including if appropriate through international recognition), and/or has led to some impact. The EP may contain evidence of contributions to the research environment.

- › Research outputs are recognised by peers as meeting the quality standards of the field in terms of their originality, rigour, and significance, and/or demonstrate impact which is limited in terms of reach or significance.
- › Research-related activities demonstrate some outcomes from collaboration, dissemination and/or engagement either within or outside academic domains; they may have delivered moderate impacts and where relevant may have gained some recognition by peers, which may also include peers within industry, communities, iwi, hapū, marae, the public and third sectors, and/or professional practice.
- › Research environment contributions, if present, demonstrate some contributions to the vitality and sustainability of the research culture and environment.

This Quality Category can be awarded to the EPs of New and Emerging Researchers only.

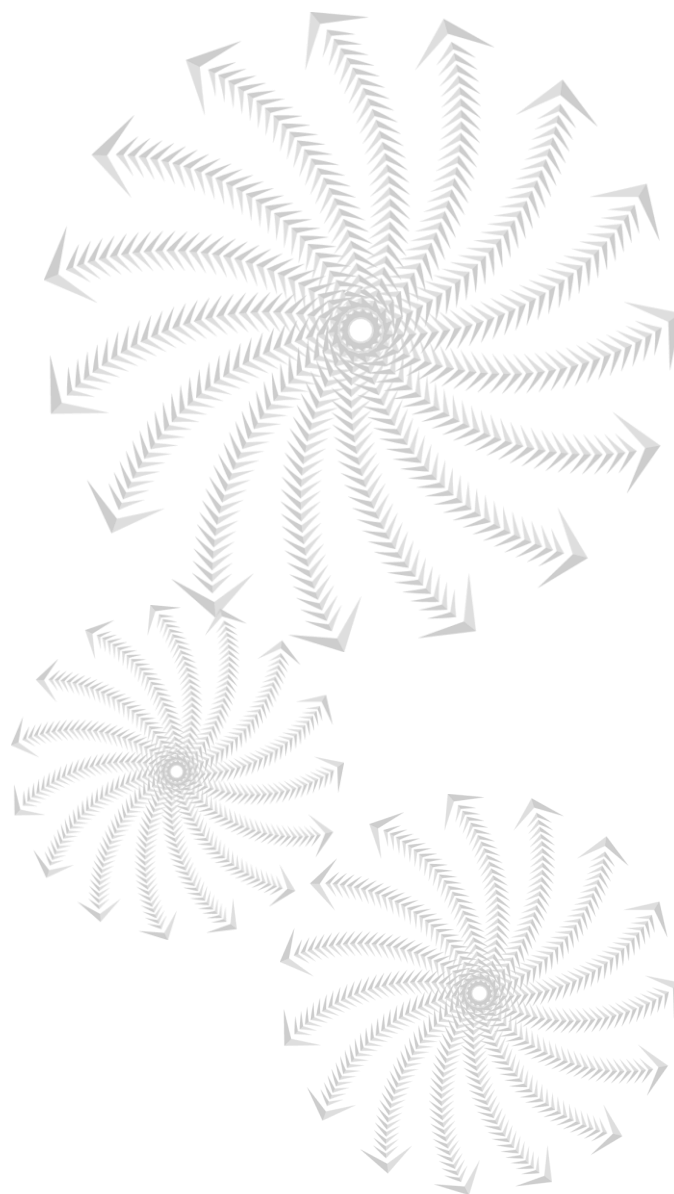
**Quality Category R**

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

**Quality Category R(NE)**

An EP will be assigned an R(NE) when the evidence included 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.



# Quality Evaluation 2026

## Who is eligible to participate?



## Who is eligible to participate in Quality Evaluation 2026?

This chapter explains the staff eligibility criteria that must be used by tertiary education organisations (TEOs) to determine which staff members are eligible to participate in Quality Evaluation 2026.

- › The principle that underpins the staff eligibility criteria for Quality Evaluation 2026 is that a staff member is expected to make, or has made, a substantial and independent contribution to:
  - degree or postgraduate level teaching at an Aotearoa New Zealand TEO; and/or
  - research activity at an Aotearoa New Zealand TEO.
- › Each participating TEO must assess all employed or contracted individuals involved in teaching at degree or postgraduate level, or research, or both, against the PBRF staff eligibility criteria. For the purposes of the Quality Evaluation, these individuals are referred to as staff members.
- › Staff employed or otherwise contracted in wholly owned subsidiaries such as commercialisation companies and in fully controlled trusts of the TEO are PBRF-eligible (if they satisfy the other eligibility criteria), since these bodies operate under the control of the participating TEO.
- › Different eligibility requirements apply to staff contracted to a TEO by a non-TEO.
- › TEOs can only submit the Evidence Portfolios (EPs) of staff members who are PBRF eligible and employed or otherwise contracted by that TEO on the **PBRF staff eligibility date** of 11 June 2026.

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

## Staff eligibility criteria for Quality Evaluation 2026

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

1. They are employed or otherwise contracted (under a contract for service):
  - at any time between 12 June 2025 and 11 June 2026 (see eligibility for transferring staff); **and**
  - under one or more agreements or concurrent agreements of paid employment or service with a duration of at least one year on a continuous basis.
2. They meet one of the following conditions. They are employed:
  - A minimum of 0.2 FTE throughout the duration of their employment if they are resident in Aotearoa New Zealand; or
  - a minimum of 0.5 FTE throughout the duration of their employment if they are not resident in Aotearoa New Zealand.
3. They meet the substantiveness test for teaching **or** research, **or both**, by:
  - fulfilling a ‘major role’ in the teaching and assessment of at least one degree or postgraduate-level course or equivalent (**the substantiveness test for teaching**)
  - being required to undertake one or more of the following: the design of research activity; the preparation of research outputs that is likely to result in being named as an author (or co-author or co-producer) on one or more research outputs; the academic supervision of graduate research students in a primary, joint, or co-supervisor role (**the substantiveness test for research**).
4. Their employment or service contract functions include degree and/or postgraduate-level teaching, or research, or both.

### Interpretation of the eligibility criteria

#### *Only Aotearoa New Zealand-based staff members are eligible*

Only staff members who are based in Aotearoa New Zealand are eligible to participate in Quality Evaluation 2026.

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

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

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

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

- › the 12-month period from 12 June 2025 to 11 June 2026; or

- › the 12-month period from their contract start date, if their appointment was after 12 June 2025.

TEOs must use one of these two 12-month contract periods to determine the amount of time the staff member is based in Aotearoa New Zealand.

### ***Employment on a continuous basis***

Employment on a **continuous basis** means the staff member had no gaps in their service. The following are not considered to be gaps in service:

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

### ***Definition of an FTE***

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

### ***Definition of a major role in teaching***

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

A **degree-level course or equivalent** is a course that leads to a degree or related qualification. Degree-level courses include those at Level 5 or above on the New Zealand Qualifications and Credentials Framework (NZQCF). 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.

## **Eligibility criteria for staff contracted from a non-TEO**

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

- › fulfilling a major role in the teaching and assessment of at least one degree or postgraduate-level course or equivalent during each year in Aotearoa New Zealand for **three years bridging the staff-eligibility date** of 11 June 2026; **and**
- › undertaking one or more of the following: the design of research activity; the preparation of research outputs that is likely to result in being named as an author (or co-author or co-producer) on one or more research outputs; the academic supervision of graduate research students.

The **three years bridging the staff-eligibility date** includes any continuous three-year period between 12 June 2023 and 11 June 2029.

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

If any of the three-year period extends beyond 11 June 2026, it is expected that staff members are contracted either on a permanent basis or fixed-term basis covering the entire period. This requirement can be demonstrated by preparing a memorandum that indicates the courses that the staff member will be expected to teach (and their role in teaching) for the three years.

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

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

## Understanding staff eligibility criteria dates

The **PBRF staff eligibility date** is 11 June 2026. This is the key date for determining staff eligibility. Only staff members employed at a participating TEO on this day are considered eligible to submit an EP.

Staff must be employed or contracted at any time between 12 June 2025 and 11 June 2026. Staff must be employed for at least one year (12 months) on a **continuous basis**. This may be on one contract or multiple sequential contracts.

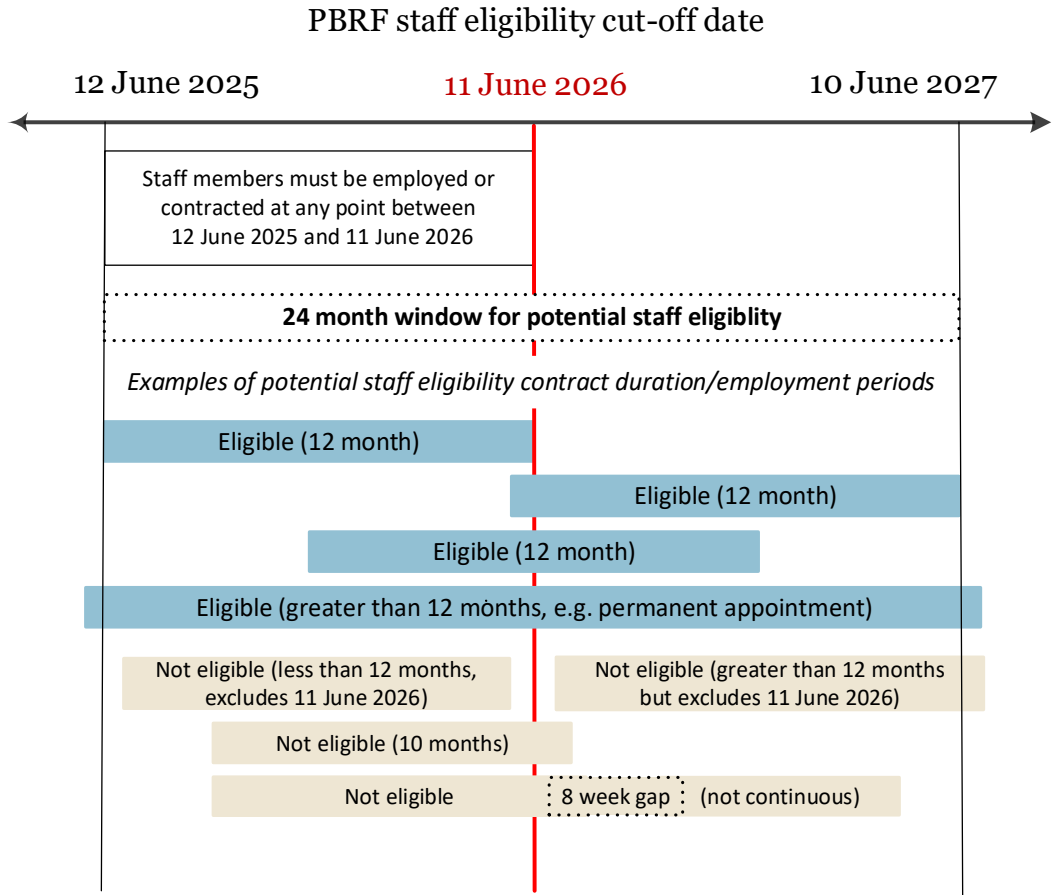
These two criteria combined mean the earliest that an eligible staff member's contract can start, if their contract is only for the 12-month minimum, is 12 June 2025 (as their contract's last day will be 11 June 2026). The last date on which a contract can start, whether for 12 months or longer, is 11 June 2026.

As staff members must be employed on 11 June 2026 for a minimum of one year, there is a window of 24 months where a staff member's employment can make them eligible to participate in Quality Evaluation 2026.

The 12-month **employment period** used to determine eligibility may differ, depending on how long the staff member is contracted for. TEOs must ensure that they apply the staff-eligibility criteria and the 12-month employment period to an individual staff member consistently. For example, if a staff member has a contract duration period of 1 January 2026 to 31 December 2026, the TEO must use this period when determining the staff member's eligibility, if the staff member is considered to be based in Aotearoa New Zealand, **and** for determining their FTE.

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

## Staff eligibility periods



## Additional information on determining staff eligibility

### Employment agreement requirements

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

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

If a staff member meets the substantiveness test for degree and/or postgraduate-level teaching, or research, or both, but their employment agreement or contract for service does not specify these functions, this does not make them automatically ineligible for PBRF. The TEO, however, may need to address this discrepancy to ensure that the staff member does meet the staff-eligibility criteria and that the reason for this has been clearly documented.

## Calculating FTE

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

FTE is to be calculated for the 12-month period from 12 June 2025, or the appointment date of the first PBRF-eligible appointment if that appointment was after 12 June 2025. TEOs cannot arbitrarily choose which 12-month contract period to calculate FTE.

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

### Calculating FTE where there are multiple contracts

The FTE rules apply to the total employment over the year 12 June 2025 to 11 June 2026, even if it is made up of employment from two or more contracts (which do not need to be  $\geq 0.2$  FTE each), or where a staff member's FTE status changes during the year.

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

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

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

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

## Eligibility of staff on leave

A staff member will be eligible for inclusion in Quality Evaluation 2026 if they are on any of the following types of short-term leave on the PBRF staff eligibility date:

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



### Examples of calculating FTE

If a staff member is employed from 1 May 2026 to 31 December 2027 at 1.0 FTE for the entire period, their FTE is calculated for the 12-month period starting on 1 May 2026 and is recorded as 1.0.

### Calculating FTE where there are multiple contracts

If a staff member has two concurrent contracts (both contract duration periods are 1 January 2025 to 31 December 2028) and is employed for 0.2 FTE in one contract and 0.7 FTE in the other contract, these should be taken together and treated as 0.9 FTE

### Calculating FTE where there are changes in employment status

If a staff member changes from full-time employment on 30 November 2025 to take on a 0.5 FTE role, then they would count as follows:

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

If a staff member is hired at 0.5 FTE on 1 January 2026 and moves to an ongoing full-time role at 1.0 FTE on 1 June 2026, then they would count as follows:

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

If a staff member on a one-year contract worked for six months at 0.7 FTE from 1 January 2026 and then six months at 0.1 FTE from 1 July 2026, then the staff member is ineligible as they must be at least 0.2 FTE throughout the period of employment.

Staff members on long-term leave on 11 June 2026 will be considered PBRF eligible if the following two criteria are met:

- › their employment agreement requires them to return to their substantive role within one year from the start of their period of absence
- › the staff member recruited specifically to cover their duties in the TEO does not have an EP submitted to Quality Evaluation 2026 by the TEO.

Long-term leave in the context of Quality Evaluation 2026 means one or more of the following:

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

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

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

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

## Eligibility of staff members employed by two or more TEOs or who leave in the year before 11 June 2026

### Staff employed concurrently by two or more TEOs

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

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

### *Submitting data for concurrently employed staff members*

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

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

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

### Transferring staff members

PBRF-eligible staff members who leave a participating TEO after 12 June 2025 and are employed by another participating TEO before or on 11 June 2026 are considered **transferring staff members**.

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

The following table shows the proportion of an FTE applying to staff members leaving or arriving at a TEO in the 12 months before 11 June 2026. The same proportions will be applied if a staff member's FTE is less than 1.0.

Month	Proportion of FTE for staff leaving in this month	Proportion of FTE for staff arriving in this month
July 2025	0.08	0.92
August 2025	0.17	0.83
September 2025	0.25	0.75
October 2025	0.33	0.67
November 2025	0.42	0.58
December 2025	0.50	0.50
January 2026	0.58	0.42
February 2026	0.67	0.33
March 2026	0.75	0.25
April 2026	0.83	0.17
May 2026	0.92	0.08
June 2026	1.00	0.00

### Submitting data on transferring staff members

Only the TEO that employs the staff member on 11 June 2026 can submit an EP for that staff member. TEOs should, however, include information on any PBRF-eligible staff member who left after 12 June 2025 but before 11 June 2026 in their Staff Data file. This will ensure that the TEC can match and pro-rata funding appropriately. TEOs should record the entire FTE of the transferring staff member in the Staff Data file, not the percentage based on the table above.

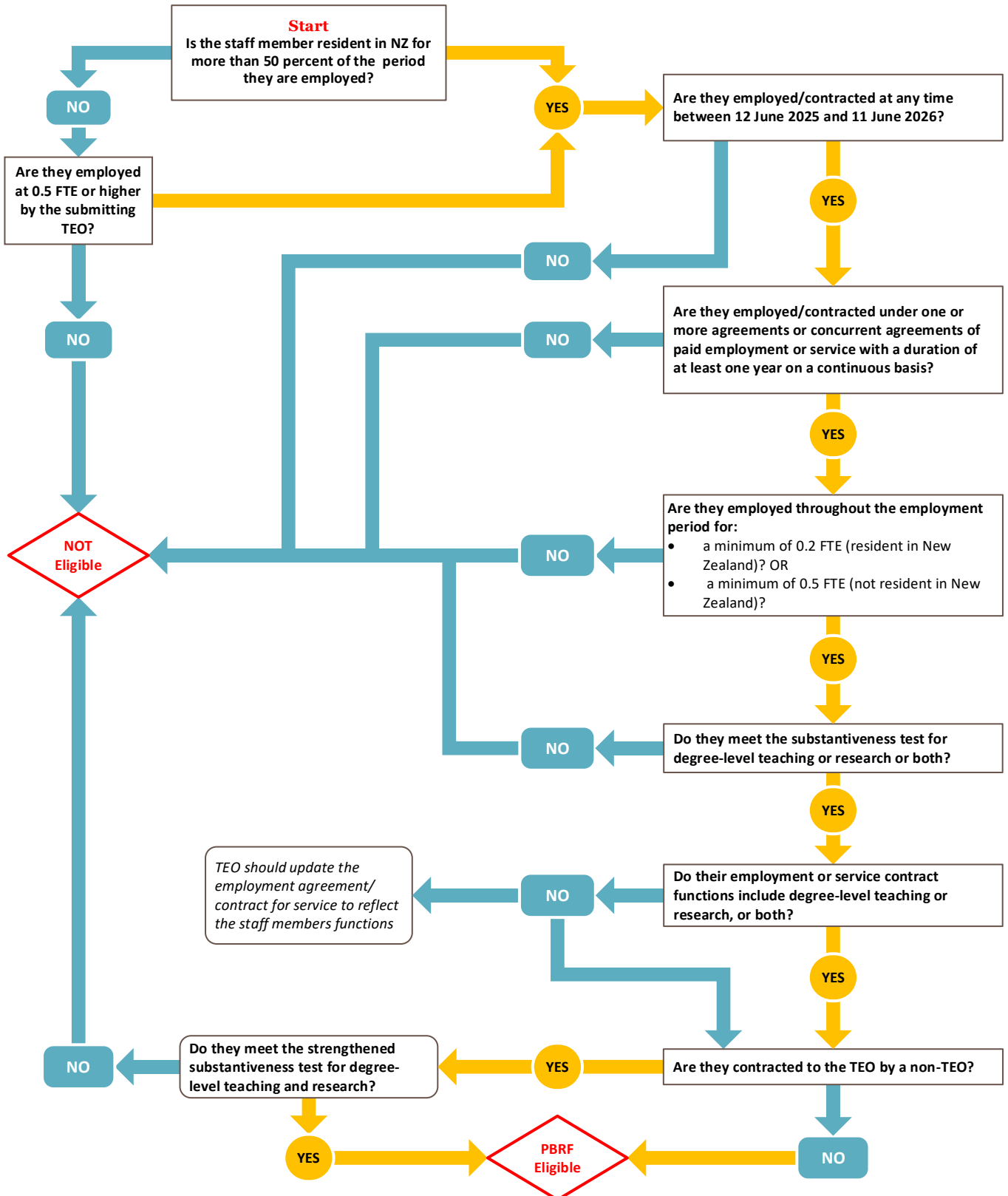
The TEC will apportion time for staff members who have a break in service between positions according to the month in which they left one organisation and commenced employment in the other (so they will count for less than 1.0 FTE).

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



Staff members who are not employed in a participating TEO on 11 June 2026 are not eligible to participate even if they have been employed in the 12 months before that date.

**Staff-eligibility decision tree for Quality Evaluation 2026**



## PBRF Staff Data file

TEOs participating in the PBRF are required to submit a PBRF Staff Data file. This contains information about staff members employed or contracted for services between 12 June 2025 and 11 June 2026:

- › for whom an EP is being submitted for Quality Evaluation 2026
- › who are PBRF eligible but left the TEO between 12 June 2025 and 11 June 2026 (potentially transferring staff)
- › who are PBRF eligible and concurrently employed by another TEO at 11 June 2026 that is submitting the EP.

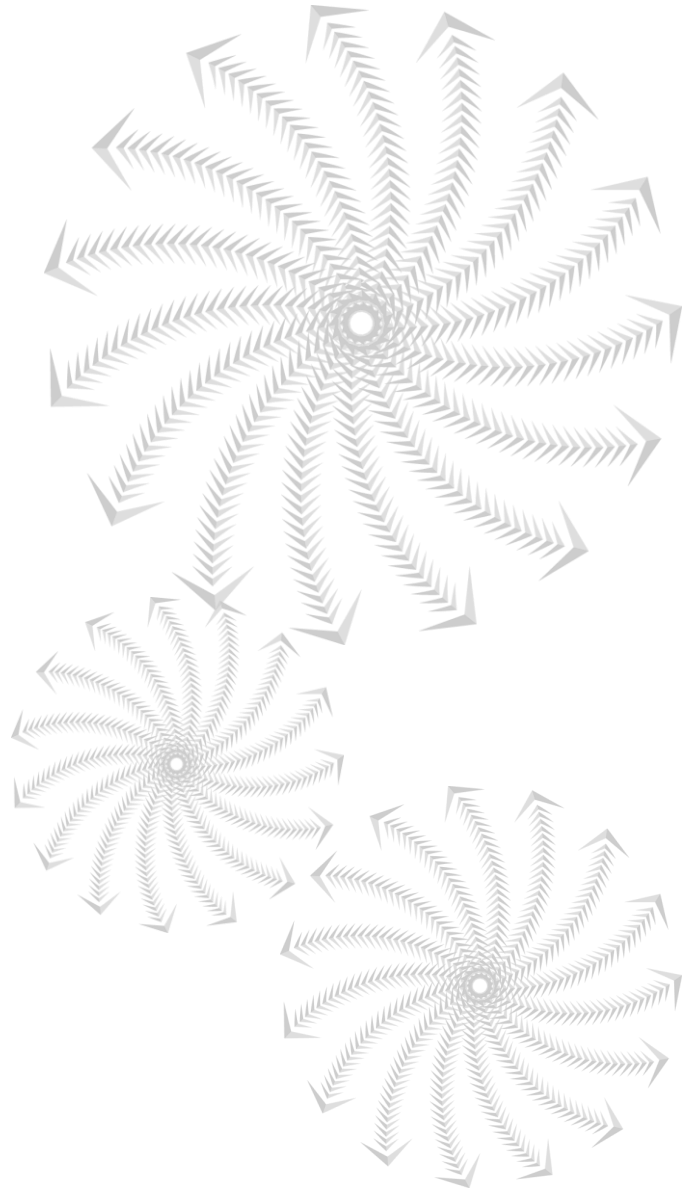
This information must be submitted by TEOs through the PBRF IT System by **4.00pm 9 July 2026**.

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

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

- › their PBRF Unique Identifier
- › an individual identifier to help the TEO and TEC to identify the staff member
- › their title and name, including their preferred name if they use a different first name
- › their date of birth, gender, and ethnicity
- › their FTE for funding purposes (as set out above)
- › their employment start dates and, where applicable, end dates (essential for transferring staff)
- › if they are a New and Emerging Researcher, the date during the assessment period at which they became eligible
- › if they are submitting as a Part-Time staff member, confirmation of their average annual FTE over the assessment period (either 0.2-0.49 or 0.5-0.8 FTE)
- › their nominated academic unit within the TEO.

If a staff member is recorded as a New and Emerging Researcher or as Part-Time in the Staff Data file they can choose either to submit three EREs or to reduce submission requirements in line with the Achievement Relative to Opportunity framework.



# Quality Evaluation 2026

## Achievement relative to opportunity

## Making Quality Evaluation 2026 more equitable and inclusive

This chapter provides an overview of the new Achievement Relative to Opportunity framework. It covers why the framework has been introduced and which staff members it covers.

### An 'Achievement Relative to Opportunity' framework

In July 2021, the Government released decisions on changes to the PBRF based on the recommendations of the PBRF Review held in 2019-2020. This included instructing the TEC to simplify the New and Emerging qualifying criteria and revise extraordinary circumstances qualifying criteria to:

- › Introduce a 'merit relative to opportunity' element to allow assessment of research quantity in ways that promote equity and inclusion
- › Ensure the process collects and evaluates information in a sensitive way, and limits the number of people with access to this information
- › Review and potentially remove the minimum threshold of three years for extraordinary circumstances
- › Allow for part-time employment to be considered more deliberately throughout assessment, including potentially in this category, and
- › Take account of the negative impacts of COVID-19.<sup>1</sup>

To achieve this, Quality Evaluation 2026 introduces an equity-based Achievement Relative to Opportunity framework (the framework). The framework goes beyond the previous extraordinary circumstances provision, which are now redesigned as Researcher Circumstances and sit within the framework.

The framework recognises a wider range of professional and personal circumstances which can have an impact on individual researchers' capacity to carry out research and research-related activity during the assessment period. For Quality Evaluation 2026, these circumstances are defined as:

- › Meeting the New and Emerging Researcher eligibility criteria
- › Meeting the new Part-Time employment definition
- › Declaring one or more of the eligible Researcher Circumstances types.

The purpose of recognising these three categories under the framework is to promote equity of outcomes for all staff who participate in the Quality Evaluation. This is achieved by providing different submission options for staff members who are eligible under the framework.

Quality Evaluation 2026 has also redesigned the way eligibility as a New and Emerging Researcher is determined, with a view to making this less complex for TEOs and more equitable for staff members.

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<sup>1</sup> *Final Report back on the review of the Performance-Based Research Fund*, paragraph 59.  
<https://assets.education.govt.nz/public/Final-report-back-on-the-Review-of-the-Performance-Based-Research-Fund.pdf>

## Recognising staff members don't have the same opportunity to produce research

Under the framework, Quality Evaluation 2026 recognises that participating staff members will not have had the same opportunity to produce research during the assessment period. Rather than expecting panels to make subjective judgements about how this might have affected quality, the framework provides the opportunity for eligible staff members to submit fewer EREs, and/or for New and Emerging Researchers not to submit CRE items, without disadvantage. This approach is consistent with the PBRF's focus on quality rather than quantity in assessing research excellence.

The previous approach of asking staff members to submit between one and four Nominated Research Outputs (NROs) on a voluntary basis led to an inequitable situation where nearly all EPs submitted in 2018 contained the maximum of four. This meant that New and Emerging Researchers, Part-Time staff, and staff with extraordinary circumstances were all expected in practice to have the same quantity of NROs as other staff.

For Quality Evaluation 2026, there is a common, fixed requirement that all EPs will have three EREs, unless the staff member is eligible under the framework. Where any of these three categories apply to an eligible staff member, they will have different EP submission options to a staff member to whom these circumstances do not apply.

There is a distinction in the framework between the approach for New and Emerging and Part-Time staff members compared to the approach for staff members with Researcher Circumstances. Being New and Emerging or Part-Time both relate to an individual's employment status and therefore cannot be opted into or out of for the purposes of the Quality Evaluation. Researcher Circumstances provisions, however, recognise personal circumstances outside of employment status, and are voluntary to declare.

Under the framework, New and Emerging and Part-Time staff members who meet the criteria can choose whether they want to submit three EREs or if they want to submit fewer EREs, in accordance with the options open to them. These staff members will be recorded as New and Emerging and/or as Part-Time in the Staff Data file regardless of which submission option they choose.

For Researcher Circumstances, the choice for a staff member is whether to make a declaration. If a Researcher Circumstances declaration is made and validated by the submitting TEO, then the staff member's EP **must** contain fewer than three EREs. The number of EPs will depend on the duration of the Researcher Circumstances declared. If the staff member wishes to submit three EREs, they can do so, but they cannot also declare Researcher Circumstances. Under the framework, the sole reason for a staff member to claim Researcher Circumstances is to enable them to submit fewer EREs.

## Focus on submission requirements

The purpose of the framework is to create an accommodation for staff members who have experienced reduced opportunities to conduct research and produce research outputs during the assessment period.

The principle underlying this approach is that the most equitable way that an individual's circumstances can be meaningfully reflected in submission requirements is by considering the amount of time the circumstance/s has affected their research activity as a proportion of the total assessment period. On this basis, submission options and requirements for EPs submitted by New and Emerging and Part-Time staff, and for staff members declaring Research Circumstances, vary according to the amount of time the circumstance has applied.

This approach removes the need for staff members with Research Circumstances to have to share personal and private information and for panels to make highly subjective judgements about how this related to the quality of the EP being considered. Under the framework, the specific nature or severity of individuals' circumstances has no bearing on determining submission requirements beyond recognition of the amount of time they were affected.

Staff members eligible under the framework who choose to submit one or two EREs can still submit up to eight OEREs and up to ten CREs. They can also include up to three Supplementary Items in each ERE they include. Unless they are New and Emerging, staff members who are Part-Time or who declare Researcher Circumstances must still include at least one CRE item in the CRE component.

## Replacing Extraordinary Circumstances with Researcher Circumstances

As part of the introduction of the framework, extraordinary circumstances have been replaced by Researcher Circumstances. This change includes not just a new name, but also some revisions to the previous three types and the addition of two new types of eligible circumstance. There have also been changes to the process for making declarations and the role these play in the assessment.

Previously, staff members could declare extraordinary circumstances and still submit four NROs. They were required to make a personal statement which was included in their EP. This was then considered by the assessment panel at the Holistic Quality Category stage. To be included, the circumstance had to have a duration of at least three years. This approach has now been replaced by providing staff members with the option to submit fewer EREs.

### Changes to existing types and new types

The previous Extraordinary Circumstances - Canterbury Earthquakes provision, which was part of the design of the PBRF in 2012 and 2018, has been removed. However, staff members can still make declarations related to the impacts of the Canterbury Earthquakes under the new *Force majeure* type of Researcher Circumstances described further below.

The three types defined under previous general Extraordinary Circumstances have been retained with some minor changes.

Two new types have been added: ***Career breaks or interruptions in employment*** and ***Force majeure***. These new types have been added to create more flexibility to recognise the kinds of events that can impact on staff members.

The addition of *Force majeure* recognises that the design of the PBRF will benefit from anticipating disruptions due to unexpected events. The design of the PBRF

means that any assessment period carries a moderate likelihood of having to find a way to manage disruptions. This has been seen with the need to introduce a Canterbury Earthquakes provision for 2012 and in this round with the COVID-19 pandemic. Both previous Canterbury Earthquakes provisions and a new COVID-19 provision have been incorporated into the *Force majeure* category.

These types are explained in the section on Researcher Circumstances below.

### Removing personal statements

Feedback from the previous Quality Evaluation and the PBRF Review highlighted concerns from both staff members and panels about the requirement to submit a personal statement in an EP. This process was seen as an inappropriate intrusion on staff members' privacy and potentially retraumatising.

As employers, TEOs have previously played a role in validating staff members' extraordinary circumstances declarations, and this will continue. However, under Researcher Circumstances any requirement to submit a personal statement as part of the EP has been removed.

The submitted EP will contain information that Researcher Circumstances have been claimed, the type, and the duration. This will provide assurance to panels that the EP has the correct number of EREs, and a very broad indication of the reason for this.

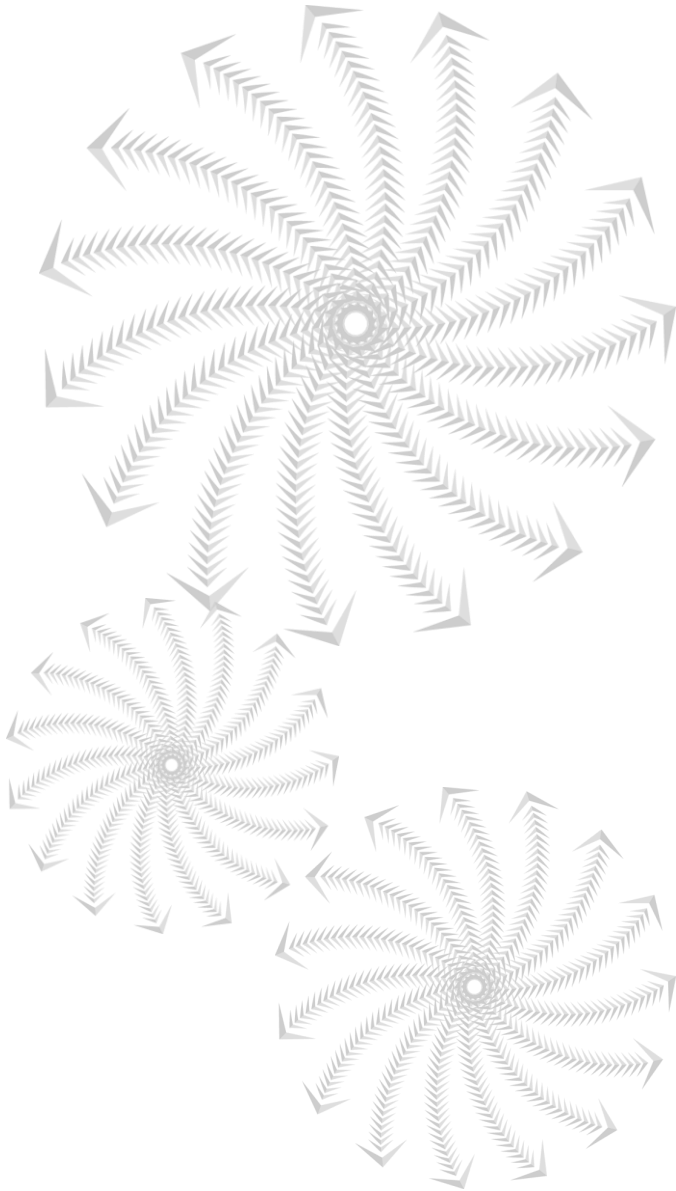
### Duration of eligible impacts

The settings for the duration of researcher circumstances have been changed. Researcher circumstances can now be claimed where the impact on research is six months or more, rather than three years.

The Government instructed the TEC to consider removing or reducing the current requirement that extraordinary circumstances must have impacted on research quantity for a minimum of three years total during the assessment period. This followed a recommendation in the PBRF Review to reconsider this limit in particular because it is longer than common parental leave periods, and thus may reinforce inequities for women, who are more likely to take parental leave.

The Office for Disability Issues has also provided advice that a three-year limit is not consistent with the [New Zealand Disability Strategy](#), which defines a person as disabled where their condition lasts for six months or more. This advice has informed the minimum total length of time Researcher Circumstances must have impacted on research quantity.

Researcher Circumstances can be declared for any length of time longer than six months. The effect of these is grouped into two time periods: 6 months to 4 years, and more than four years (i.e. more than half of the eight-year assessment period).



# Quality Evaluation 2026

## EP submission options



# How the framework affects Evidence Portfolio submission requirements

## How many EREs should an eligible staff member submit?

Most staff members will include three EREs in their EP and all EPs must include a minimum of one ERE.

Only staff members who meet one or more of the following criteria will have the option to include fewer than three EREs in their EPs:

- › They meet the eligibility criteria for being a New and Emerging Researcher
- › They were employed Part-Time in a PBRF-eligible role for at least 0.2 FTE and up to a maximum of 0.8 FTE across the duration of the assessment period (1 January 2018 –31 December 2025)
- › They have declared validated Researcher Circumstances.

Staff members who are New and Emerging and/or Part-Time can still choose to submit three EREs in their EP. However, they also have the option to submit either one or two EREs, depending on when during the assessment period they first met the criteria for New and Emerging and/or whether their average FTE was more than 0.49 FTE over the assessment period.

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

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

### New and Emerging Researchers

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

Date of eligibility as a NER	Number of EREs in EP
1 January 2018 – 31 December 2021 (inclusive)	<ul style="list-style-type: none"> <li>› Minimum of <b>two</b> EREs</li> <li>› Option to submit <b>three</b> EREs</li> </ul>
1 January 2022 – 31 December 2025	<ul style="list-style-type: none"> <li>› Minimum of <b>one</b> ERE</li> <li>› Option to submit <b>up to three</b> EREs</li> </ul>

## Part-Time employment

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

Proportion of FTE employment across assessment period	Number of EREs in EP
<b>0.5–0.8 FTE total</b>	<ul style="list-style-type: none"> <li>› Minimum of <b>two</b> EREs</li> <li>› Option to submit <b>three</b> EREs</li> </ul>
<b>0.2–0.49 FTE total</b>	<ul style="list-style-type: none"> <li>› Minimum of <b>one</b> ERE</li> <li>› Option to submit up to <b>three</b> EREs</li> </ul>

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

As Part-Time staff have the ability to choose a reduced ERE submission requirement, they should not provide commentary on any impacts of being part-time in the Platform of Research – Contextual Summary field. This is a change from 2018.

## Researcher Circumstances

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

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

This means that a staff member who has declared eligible Researcher Circumstances to their TEO, and had these validated, will either submit one or two EREs in their EP. The number of EREs submitted depends on the total duration of impact, taking into account all eligible Researcher Circumstances experienced, across the submission period.

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

**Staff members who have been affected by multiple eligible circumstances**

Some staff members may have been affected by more than one of the eligible circumstances defined by the framework. For example, they may be New and Emerging and also Part-Time; or they may be New and Emerging and also wish to declare Researcher Circumstances.

In these cases, each factor is taken into account in determining the number of EREs that can be submitted. However, for an assessment to take place an EP must contain a minimum of one ERE.

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

- › Staff members who declare Researcher Circumstances with an impact lasting more than 4 years, who also meet any other eligible circumstances i.e. they are either New and Emerging or Part-Time. The maximum number of EREs this staff member can submit would be one.
- › Staff members who declare Researcher Circumstances with an impact lasting less than 4 years, who also meet two other eligible circumstances i.e. they are New and Emerging and Part-Time. The minimum number of EREs this staff member could submit would be one, with the choice to submit up to two EREs.

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

**Staff members who don't have Researcher Circumstances declarations**

Staff member...	Full-time at 1 FTE	0.5–0.8 FTE total across assessment period	0.2 –0.49 FTE total across assessment period
Is not NER	3	Up to 3, minimum of 2	Up to 3, minimum of 1
First met NER criteria between 1-Jan-2018 and 31-Dec-2021	Up to 3, minimum of 2		
First met NER criteria between 1-Jan-2022 and 31-Dec-2025			

Note: Staff with the submission option of ‘Up to three, minimum of 1’ will be able to submit one, two, or three EREs.

**Staff members with Researcher Circumstances where the impact is six months – four years**

Staff member...	Full-time at 1 FTE	0.5–0.8 FTE total across assessment period	0.2 –0.49 FTE total across assessment period
Is not NER	2		Up to 2, minimum of 1
First met NER criteria between 1-Jan-2018 and 31-Dec-2021	Up to 2, minimum of 1	Up to 2, minimum of 1; however, TEOs may wish to consider whether the most appropriate outcome is that the staff member does not submit an EP	
First met NER criteria between 1-Jan-2022 and 31- Dec-2025			

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

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

## Deciding if the framework applies to a staff member



**The New and Emerging Researcher eligibility criteria** have been revised for Quality Evaluation 2026 to simplify the process of correctly and consistently identifying New and Emerging researchers. As part of the new criteria, the definition of independent research is now focused on role requirements rather than on whether the staff member has produced research outputs.

### New and Emerging Researchers

Once a TEO has determined which of its staff are eligible to participate in Quality Evaluation 2026, they need to determine if any eligible staff can be categorised as New and Emerging Researchers.

New and Emerging Researcher status is specifically for staff members who have started their research career in the Quality Evaluation 2026 assessment period (1 January 2018 – 31 December 2025).

The purpose is to allow these staff members, who are starting to build a platform of research outputs but have had limited opportunities to engage in the kinds of activities submitted in the CRE component, to be recognised and funded under the PBRF. This category also supports the Government’s goal of building a sustainable tertiary workforce.

The new eligibility criteria and guidance are designed to simplify the process of correctly and consistently identifying New and Emerging Researchers.

### *New and Emerging Researcher eligibility criteria*

New and Emerging Researchers are defined as staff members who meet the PBRF eligibility criteria at the census date, and first became independent researchers on or after **the start of the assessment period** on 1 January 2018.

For the purposes of the PBRF Quality Evaluation, an individual is deemed to have become an independent researcher from the date at which they first held a contract of employment of 0.2 FTE or more at any organisation (whether in Aotearoa New Zealand or elsewhere) in which their role included the expectation to carry out one or more of the research activities described in the ‘substantiveness test for research’.

The revised substantiveness test for research, which applies for the purposes of determining PBRF eligibility and New and Emerging status, is as follows:

*Staff members are required to undertake one or more of the following: the design of research activity; the preparation of research outputs that is likely to result in being named as an author (or co-author or co-producer) on one or more research outputs; the academic supervision of graduate research students in a primary, joint, or co-supervisor role.*

### *Guidance on applying the New and Emerging Researcher criteria*

TEOs should refer to the following clarifications in applying the definition of a New and Emerging Researcher and the substantiveness test for research:

- › Staff members who have submitted EPs in previous Quality Evaluations cannot be New and Emerging for Quality Evaluation 2026.
- › Staff members who are employed to:
  - carry out supervised or non-independent research activity (for example research assistants or other staff members who do not design their own research activity), and

- students who carry out supervised or non-independent research activity (including research degrees)

are not considered to meet the definition of an independent researcher for the purposes of the Quality Evaluation, regardless of whether they carry out activities that would otherwise appear to meet the substantiveness test for research.

- › Membership on supervisory teams in non-primary, non-joint, or non-co-supervisory roles is not considered to meet the academic supervision criterion in the substantiveness test for research.
- › Job titles are not relevant to determining whether a staff member meets the definition of an independent researcher.
- › Whether or not a staff member holds a PhD is not relevant to determining whether they meet the definition of an independent researcher.
- › The independent production of research outputs where that is not a role requirement is not relevant to determining whether a staff member meets the definition of an independent researcher.
- › Where a staff member was self-employed prior to commencing a PBRF-eligible role in a TEO, the substantiveness test for research should still be applied, i.e. was the staff member required to carry out research as a function of that self-employed role. Where the outcome of applying the substantiveness test for research is unclear, the staff member will not be considered to have met the definition of an independent researcher in that self-employed role.

TEOs should assess any potential New and Emerging Researchers against this new definition, noting that it focuses on the requirements of the role in which someone is employed, and no longer includes reference to outputs that meet the definition of research.

It is important for TEOs to document their rationale for their decisions for audit purposes. As a minimum, you must be able to provide the staff member's CV (any format). A sample of staff identified as New and Emerging Researchers will be reviewed as part of the TEC's Data Evaluation audit. TEOs will be able to discuss the eligibility criteria and evidence requirements with auditors during the Process Assurance audit before EPs are submitted in July 2026.

EPs of staff that the audit process establishes have incorrectly assigned New and Emerging Researcher status will continue to be assessed as part of Quality Evaluation 2026. However, they will not be considered eligible for the C(NE) or R(NE) Quality Categories.

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

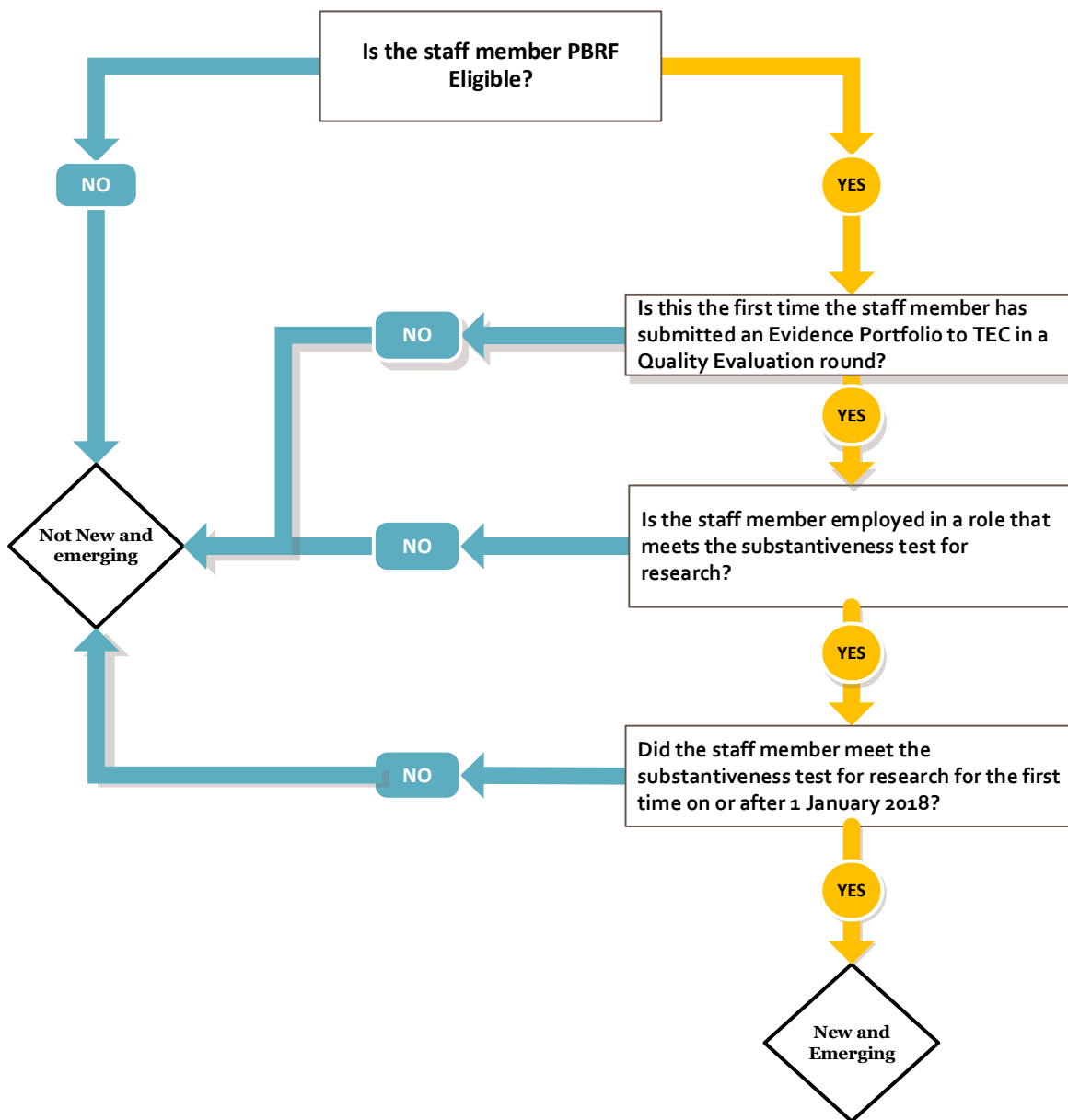
Examples	Meets PBRF staff-eligibility criteria	Has submitted an EP in a previous Quality Evaluation?	Meet the substantiveness test for research for the first time on or after 1 January 2018	Decision
<p><b>Staff member A</b> completed their PhD in 2019. While completing their PhD, they held a number of short-term teaching and lab technician contracts. Staff member A has been employed permanently to teach and to undertake research at 1 FTE since 1 March 2020.</p>	<p>Yes – they meet the teaching and research tests</p>	<p>No – they have not been employed in a PBRF-eligible role before.</p>	<p>Yes – they have been employed to undertake independent research for the first time in the assessment period.</p>	<p><b>New and Emerging</b></p>
<p><b>Staff member B</b> has been employed at 0.8 FTE to teach on a degree-level course since 1990 but is not employed to undertake research or any research-related activity.</p>	<p>Yes – they meet the teaching test</p>	<p>No – they were eligible in previous rounds but have never submitted an EP.</p>	<p>No – they do not meet the substantiveness test for research during any assessment period because research isn't required by their role.</p>	<p><b>Not New and Emerging</b></p>
<p><b>Staff member C</b> has been employed to teach on a sub-degree programme since 2000. In 2019, their role changed and they were required to teach a degree-level programme and undertake research at 0.5 FTE.</p>	<p>Yes – they meet the teaching and research tests</p>	<p>No – they were not eligible as they did not meet the PBRF staff-eligibility criteria until 2019.</p>	<p>Yes – the job changes mean they met the substantiveness test for the first time during the assessment period.</p>	<p><b>New and Emerging</b></p>
<p><b>Staff member D</b> has been employed to teach for the first time on a degree-level programme for 0.2 FTE for three years from 2024. Staff member D has been employed due to their expertise in their professional area and is not required to undertake research as part of their role. They have and continue to work as a self-employed artist who produces outputs including exhibitions and other creative outputs for the past 15 years that the TEO believes meet the PBRF Definition of Research.</p>	<p>Yes – they meet the teaching test</p>	<p>No – they have not been employed by a TEO before.</p>	<p>No – They met the definition of being an independent researcher before the start of the assessment period as a requirement of their self-employed role.</p>	<p><b>Not New and Emerging</b></p>

Examples	Meets PBRF staff-eligibility criteria	Has submitted an EP in a previous Quality Evaluation?	Meet the substantiveness test for research for the first time on or after 1 January 2018	Decision
<p><b>Staff member E</b> has been employed to teach on a degree-level programme since 2010. In 2019 their role changed and they were required to undertake research as well as teaching. They have produced a body of community-based research outputs since 2011 which were submitted as an EP in the previous Quality Evaluation and which received a C.</p>	<p>Yes – they meet the teaching and research test</p>	<p>Yes.</p>	<p>Yes – the job changes mean they meet the substantiveness test for the first time during the 2018 – 2026 assessment period. The research outputs produced previously were not a requirement of their role. However, because they submitted an EP in a previous Quality Evaluation, they cannot be new and emerging in this round.</p>	<p><b>Not New and Emerging</b></p>
<p><b>Staff member F</b> completed their PhD in 2014 and has been employed to carry out research and teaching at 1 FTE since July 2018. Before then, they worked in the public sector in a role that was unrelated to their research. During 2014-2017 they published a number of journal articles, and these met the PBRF Definition of Research.</p>	<p>Yes – they meet the teaching and research tests</p>	<p>No – they have not been employed by a TEO before.</p>	<p>Yes – they are required to carry out research in their current role commencing in July 2018. The previous research wasn't undertaken as a requirement of a relevant role.</p>	<p><b>New and Emerging</b></p>
<p><b>Staff member G</b> has worked as a lecturer since 2012 at a university in the UK teaching on degree programmes and carrying out research as part of their role. The staff member is appointed full-time as a lecturer at an NZ university in 2020, with degree-level teaching and research obligations.</p>	<p>Yes – they meet the teaching and research roles</p>	<p>No – they have not been employed by a NZ TEO before.</p>	<p>No. They met the substantiveness test for research from 2012 through their former role requirements.</p>	<p><b>Not New and Emerging</b></p>
<p><b>Staff member H</b> has been employed as a Professor 0.4FTE from 2020. They are required to lead a policy-led research group and to supervise a small number of PhD students attached to the group. They have had a long career as a consultant and have since 1998 published a number of high-profile reports that meet the PBRF Definition of Research.</p>	<p>Yes- they meet the research test.</p>	<p>No – they have not been employed by a TEO before.</p>	<p>No. The research they have undertaken over the course of their consultancy career has been undertaken as a requirement of those roles and so they met the substantiveness test prior to this assessment period.</p>	<p><b>Not New and Emerging</b></p>



Examples	Meets PBRF staff-eligibility criteria	Has submitted an EP in a previous Quality Evaluation?	Meet the substantiveness test for research for the first time on or after 1 January 2018	Decision
<p><b>Staff member I</b> completed their PhD in 2017. They were subsequently employed as a research assistant from 2017-2019 on a fixed term contract attached to a large grant. In that role they carried out data collection to support the work of the research team, under the supervision of the Principal Investigator, and in that capacity are listed as a co-author on the team’s publications. In 2020 they were employed as a permanent lecturer to carry out teaching and research.</p>	<p>Yes – they meet the teaching and research tests</p>	<p>No – they were eligible through the former research test, but did not submit an EP.</p>	<p>Yes – they met the revised research substantiveness test for the first time in 2020. In their previous role they were carrying out supervised or non-independent research and their contributions to research outputs have occurred in that capacity.</p>	<p><b>New and Emerging</b></p>
<p><b>Staff member J</b> is currently completing their PhD, and has been employed since 2018 on a 0.6 FTE teaching-only contract. They have published a number of research outputs that their TEO believes will meet the standard for a Quality Category C or higher.</p>	<p>Yes – they meet the teaching test.</p>	<p>No – they have not been employed by a TEO before.</p>	<p>No – they do not meet the research substantiveness test in their current role. The TEO may still choose to submit their EP, but the NER weighting will not apply.</p>	<p><b>Not New and Emerging</b></p>
<p><b>Staff member K</b> has been employed to carry out teaching and research at 1 FTE since January 2022. Prior to that they were employed from 2017 – 2021 as a postdoctoral fellow at a university in China.</p>	<p>Yes – they meet the teaching and research tests.</p>	<p>No – they have not been employed by a NZ TEO before.</p>	<p>No – they met the research substantiveness test in their previous role which they commenced prior to the current assessment period.</p>	<p><b>Not New and Emerging</b></p>

### New and Emerging Researcher decision tree



## Part-time researchers

The following definition and guidance will be used by TEC and TEOs to determine which of their PBRF-eligible staff qualify as Part-Time for the purposes of determining EP submission options and requirements:

### *Part-time researcher definition*

For the purposes of determining EP submission requirements a PBRF-eligible staff member is considered to be employed Part-Time if they:

- › Held a relevant contract or contracts for employment during the assessment period that:
  - At any one time totalled less than 1.0 FTE; **and**
  - in total comprised a minimum of 0.2 FTE and a maximum of 0.8 FTE across the duration of the staff member's employment during the assessment period.

Note that:

- › 1.0 FTE is defined as 37.5 hours a week.
- › In order to be considered PBRF eligible, a staff member's role must be a minimum of 0.2 FTE throughout the duration of their employment if they are resident in Aotearoa New Zealand; or a minimum of 0.5 FTE throughout the duration of their employment if they are not resident in Aotearoa New Zealand (see page 23). Only contracts for roles that qualify the staff member for PBRF eligibility, or non-TEO roles that meet the substantiveness test for research, are relevant in calculating a staff member's FTE for this purpose.
- › All relevant roles must be included in calculating FTE across the assessment period, including where the staff member changed employer.
- › In calculating FTE across the assessment period, periods where the staff member was not employed in any PBRF-eligible role, or any other role which met the substantiveness test for research, should be excluded from the calculation. Such periods can be claimed under the *Career breaks* Researcher Circumstance type if they occurred after a first instance of being employed in a PBRF-eligible role. Note that the first instance could have occurred in a previous assessment period.
- › TEOs must declare the Part-Time FTE for all staff members meeting the criteria, even if they have opted to submit three EREs. This is important to provide visibility of the choices Part-Time staff members have made under the Achievement Relative to Opportunity framework.
- › TEOs are not required to demonstrate that they have validated the average FTE for the assessment period of Part-Time staff members who choose to submit three EREs. However, TEOs are still accountable where any discrepancy is found between a staff member's declared average FTE category and other information submitted through the Staff Data File or held by the TEO.
- › All Part-Time staff have the option to submit fewer than three EREs. This is an individual choice.

*Applying the definition of Part-Time for the purposes of determining EP submission requirements is separate from the process of calculating FTE for the purposes of determining PBRF staff eligibility and calculating funding allocations. The definition of a Part-Time researcher relates to the FTE over*

*the whole assessment period of 1 January 2018 to 31 December 2025,  
rather than the FTE for the 12 months before/after 11 June 2026.*

## Researcher Circumstances

Researcher Circumstances provisions for Quality Evaluation 2026 aim to ensure equitable treatment of staff members who have experienced circumstances that have seriously affected the quantity of research outputs and research activity they have been able to produce during the assessment period.

- › Researcher Circumstances will be considered by TEOs only in relation to the **quantity** of research outputs and other aspects of research activity produced during the assessment period.
- › TEO-validated Researcher Circumstances will allow a staff member to submit fewer EREs without disadvantage in the assessment. The number of EREs will depend on the duration of the Researcher Circumstances.
- › Panels will only receive the information that a staff member has declared Researcher Circumstances that have been validated by the TEO, the category of Researcher Circumstances claimed, and the duration of the impact.
- › Researcher Circumstances are not relevant to assessing the quality of research outputs and activities.
- › Staff members may claim one or more than one Researcher Circumstances provision if they are eligible. However, all EPs must contain at least one ERE.

### Eligibility of Researcher Circumstances

TEOs must only submit Researcher Circumstances for EPs where they have validated:

- › that the staff member's circumstances are legitimate
- › the duration for which the staff member's circumstances have occurred during the assessment period.

### Researcher Circumstances types

One or more of the following five Researcher Circumstances types can be claimed under this provision:

- › **Long-term illness or disability** that has affected the quantity of research outputs produced and/or activities undertaken during the assessment period. This could include physical or mental disability, ill-health or injury, developmental conditions, or other disabilities, health conditions, or diseases that may be progressive or have fluctuating or recurring effects.
- › **Extended personal leave** that has affected the quantity of research outputs produced and/or activities undertaken during the assessment period. This could include leave due to shorter-term physical or mental ill health or injury, parental leave relating to fertility, pregnancy, maternity, paternity, adoption, or childcare. Sabbatical leave is not considered in this circumstance.
- › **Significant family or community responsibilities** that have affected the quantity of research outputs produced and/or activities undertaken during the assessment period. This includes responsibility for dependants, including caring for elderly or ill, injured or disabled family group or community members, or responsibilities to specific communities, such as iwi or Pacific communities.
- › **Career breaks or interruptions in employment** that have affected the quantity of research outputs produced and/or activities undertaken during the

assessment period. This includes periods where the staff member was not employed in a PBRF-eligible role, or any other role in Aotearoa New Zealand or overseas which met the substantiveness test for research, as well as periods of unemployment. Extended personal leave or leave without pay is not included in this circumstance.

- › **Force majeure:** a significant unforeseen natural or human-made event that has affected the quantity of research outputs produced and/or activities undertaken during the assessment period. These may include, but are not limited to, events such as earthquakes, including the ongoing impacts of the Canterbury earthquakes, floods, hurricanes, fire or other severe weather events, volcanic activity, pandemics, armed conflict, or terrorist attacks. The impacts on research must have occurred within the assessment period and meet the six-month summative threshold. The events can have occurred during or prior to the assessment period in Aotearoa New Zealand or anywhere in the world.

*The EP schema will allow the declaration of Force majeure, Force majeure – Canterbury Earthquakes, and Force majeure – COVID-19 as separate entries.*

### **Validating Researcher Circumstances declarations**

Where a TEO includes Researcher Circumstances in an EP, the circumstances must have been discussed with the staff member in sufficient detail that the TEO can make a judgement about the specific negative impact the circumstance(s) have had on the **quantity** of research or research-related activity, or both, in the assessment period.

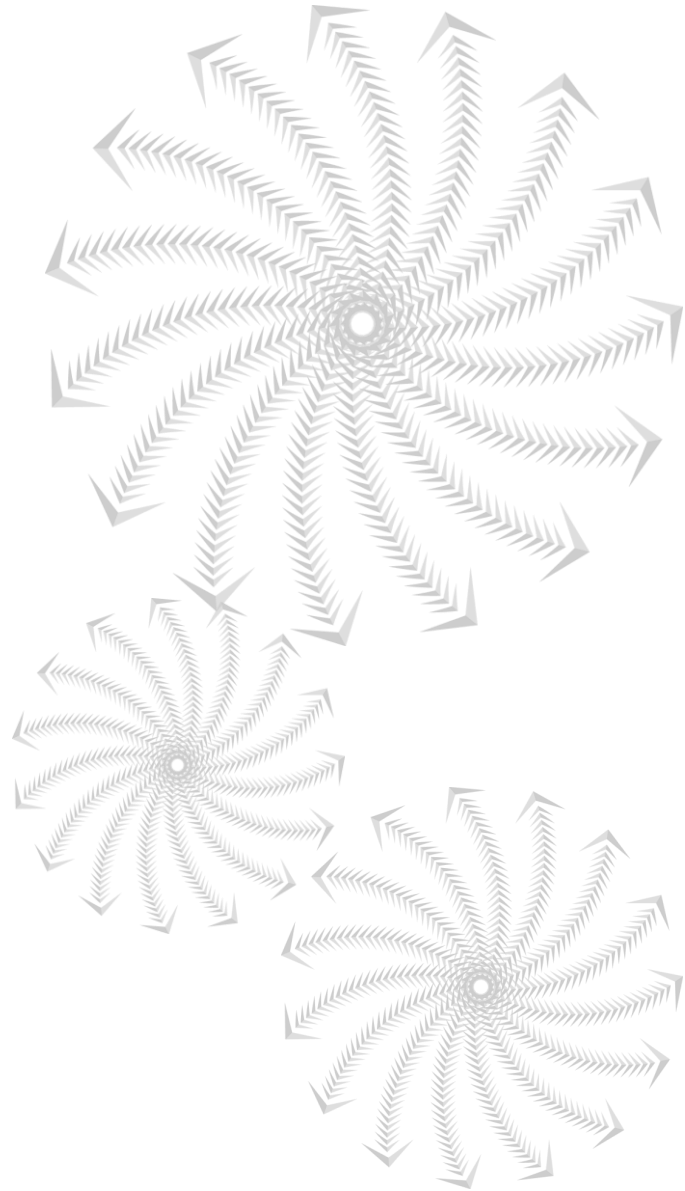
There is no requirement for a description or evidential documentation to be included in an EP or submitted to the TEC. The TEC does require the TEO, which has the primary relationship with an affected staff member, to have discussed the circumstances and duration with the staff member and determined if there is a legitimate claim.

The process for inviting and validating Researcher Circumstances declarations will be as follows:

- › TEOs develop a process for inviting voluntary staff declarations of Researcher Circumstances and for ensuring the circumstances declared are legitimate and the total duration of the circumstances meets the minimum period of six months total across the assessment period.
- › Staff make voluntary declarations to TEOs. Declarations include the category (for example, Long-term illness or disability) and the total duration of time the circumstance impacted on their ability to carry out research activity during the assessment period (for example, two years).
- › Declarations do not have to include any description of the circumstance/s or an impact statement. Declarations do not ordinarily include any personal information or records where the staff member has previously disclosed the circumstance to their employing TEO. Where the staff member has not previously disclosed the circumstance, they will need to provide sufficient information to enable the TEO to validate the category of circumstance and the duration of impact.

- › Declarations will be used by the TEO to determine the submission requirements for the EP. The type of Researcher Circumstance, and its duration will be submitted in the Staff Data file and noted in the EP for panellists' information. Information in the declarations is not submitted as part of the EP and panellists will not make any assessment of declared Researcher Circumstances.
- › While declarations must be voluntary, it is the responsibility of TEOs to ensure Researcher Circumstances declarations are valid. For the avoidance of doubt, where a staff member has not previously provided, and chooses not to provide information sufficient to validate a declaration, the TEO should not validate the declaration.
- › The TEO Audit Declaration requires the Vice-Chancellor or Chief Executive Officer to confirm that all reasonable steps have been taken to ensure that only staff members with legitimate Researcher Circumstances have claimed the provision.

The processes established by TEOs for inviting and validating declarations will be in scope for audit during the Process Assurance phase. If a TEO does not have any staff members claiming researcher circumstances, then they are not required to have such a process in place.



# Quality Evaluation 2026

## Understanding Evidence Portfolios



## What is an Evidence Portfolio?

An Evidence Portfolio (EP) is the key element of the Quality Evaluation. It represents an eligible staff member's best examples of the research and research-related activity they carried out during the assessment period. An EP contains all the information that will be assessed by peer review panels.

EPs are submitted on behalf of staff members by participating TEOs where they have determined that a staff member is eligible and likely to achieve a funded Quality Category.

- › An EP has two assessed components:
  - the Examples of Research Excellence component (ERE component)
  - the Contributions to the Research Environment component (CRE component).
- › Everything included in these two components is assessed. The assessment is based on the quality of the research and research-related activity submitted in the EP. The Platform of Research – Contextual Summary will also be considered in the overall assessment.
- › EPs have a mixture of optional and non-optional items. All items submitted in the EP will be considered as part of the assessment of quality. The number of optional items included in the EP will have no bearing on the outcome of the assessment. This is in line with the principle that the PBRF Quality Evaluation assesses research quality, not quantity.
- › Staff members should select their best research outputs, research activities, and CRE items from the assessment period.
- › TEOs submit EPs following their internal processes. The TEC does not require staff members to sign off or approve the content of EPs submitted. Only one EP can be submitted for each PBRF-eligible staff member.
- › Te Reo Māori can be used to complete any of the information in the staff member's EP.

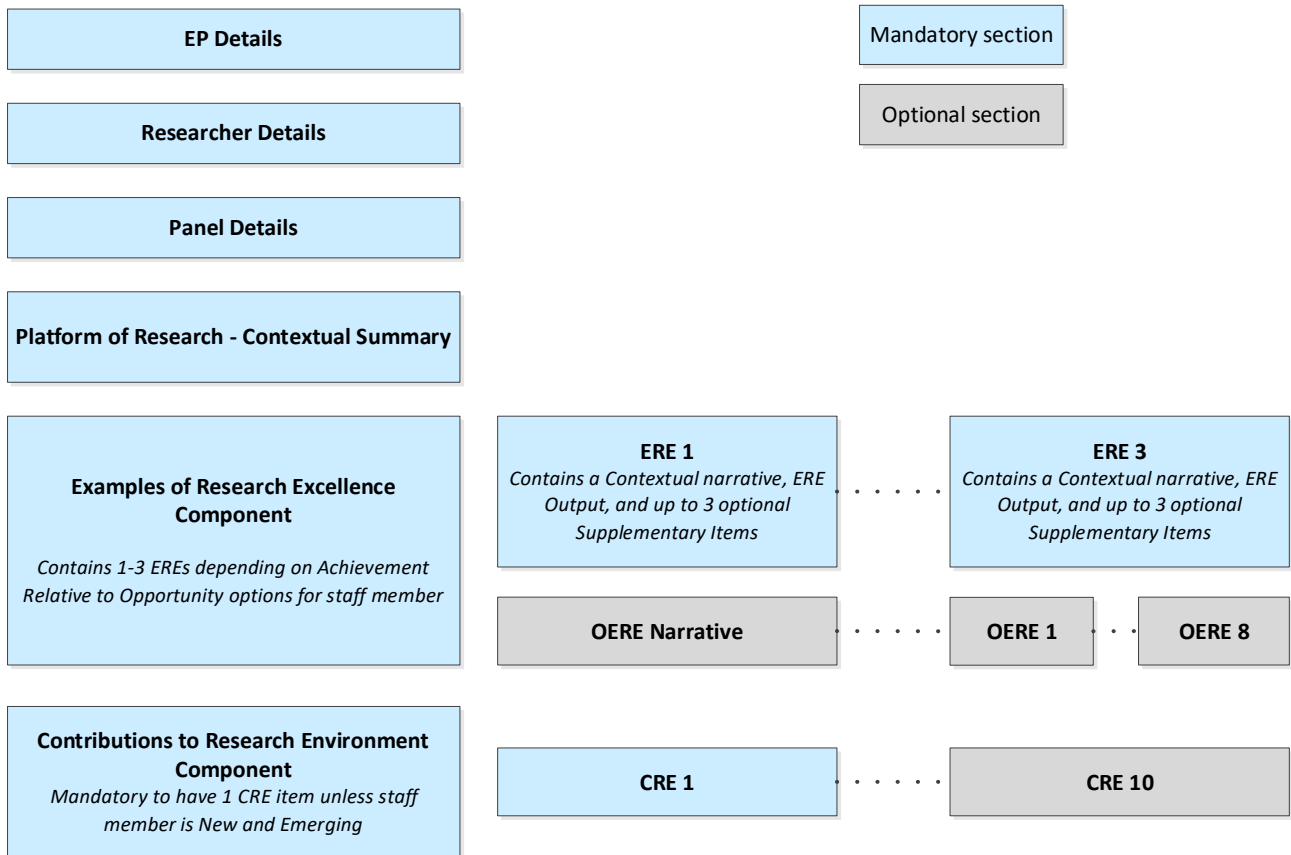
## What information is in an Evidence Portfolio?

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

- › EP Details
- › Researcher Details
- › Panel Details
- › Platform of Research – Contextual Summary
- › Examples of Research Excellence (ERE) Component:
  - Examples of Research Excellence (ERE) section
    - Up to three EREs, each containing:
      - ERE contextual narrative
      - ERE Output
      - Up to three Supplementary Items (optional)
  - Other Examples of Research Excellence (OEREs) section (optional)
    - Single contextual narrative
    - Up to eight OEREs
- › Contributions to the Research Environment (CRE) Component
  - A minimum of one and up to ten CREs

Some sections are optional, and some have a minimum and maximum number of items, while other parts are mandatory. The diagram below provides an overview to the EP structure and should be consulted in conjunction with the illustrative EP template.

### Structure of Evidence Portfolios for Quality Evaluation 2026



EP = Evidence Portfolio. ERE = Example of Research Excellence. OERE = Other Example of Research Excellence. CRE = Contributions to the Research Environment.

## Evidence Portfolio Details and Researcher Details sections

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

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

### Completing the Evidence Portfolio Details section

For each EP, a TEO completes fields to:

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

### Completing the Researcher Details section

For each EP, a TEO enters:

- › the staff member's PBRF Unique Identifier
- › an individual identifier to help the TEO and the TEC identify the staff member
- › the staff member's title and name, including their preferred name if they use a different first name
- › the staff member's date of birth
- › the type and duration of any declared and validated Researcher Circumstances.

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

Information about whether a staff member is New and Emerging and/or Part-Time is collected via the Staff Data file and matched to the EP. Where the staff member is eligible, more than one Achievement Relative to Opportunity category can be declared. The PBRF IT system will use this information to validate the number of EREs the EP contains is correct. Submission options are explained in the Achievement Relative to Opportunity chapter.

The IT system will be live well before the submission dates, which will allow TEOs to test and identify any queries about submission requirements in advance.

## Completing the Panel Details section

Staff members nominate a peer review panel and subject area for each EP they submit.

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

### Which panel should be nominated as the primary panel?

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

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

Where the items in an EP involve interdisciplinary research that is covered by more than one panel, the TEO nominates the panel and the subject area that best matches the majority of the items in the ERE component. Where these are evenly distributed across more than one potential panel, priority should be given to the ERE Outputs in determining the best panel. In these cases, the TEO notes the interdisciplinary nature of their EP in the Field of Research Description (see below).

### What are the peer review panels and subject areas?

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

Panel	Subject areas
<b>Biological Sciences</b>	Agriculture and other applied biological sciences Ecology, evolution and behaviour Molecular, cellular and whole organism biology

Panel	Subject areas
<b>Business and Economics</b>	Accounting and finance Economics Management, human resources, industrial relations, international business and other business Marketing and tourism
<b>Creative and Performing Arts</b>	Design Music, literary arts and other arts Theatre and dance, film and television and multimedia Visual arts and crafts
<b>Education</b>	Education
<b>Engineering, Technology and Architecture</b>	Architecture, design, planning, surveying Engineering and technology
<b>Health</b>	Dentistry Nursing Other health studies (including rehabilitation therapies) Pharmacy Sport and exercise science Veterinary studies and large animal science
<b>Humanities and Law</b>	English language and literature Foreign languages and linguistics History, history of art, classics and curatorial studies Law Philosophy Religious studies and theology
<b>Mātauranga Māori</b>	Māori knowledge and development
<b>Mathematical and Information Sciences and Technology</b>	Computer science, information technology, information sciences Pure and applied mathematics Statistics
<b>Medicine</b>	Biomedical Clinical medicine
<b>Pacific Research</b>	Pacific research
<b>Physical Sciences</b>	Chemistry Earth sciences Physics
<b>Public Health</b>	Public Health
<b>Social Sciences and Other Cultural/Social Studies</b>	Anthropology and archaeology Communications, journalism and media studies Human geography

Panel	Subject areas
	Political science, international relations and public policy Psychology Sociology, social policy, social work, criminology and gender studies

EPs submitted to and assessed by the Mātauranga Māori Panel will have a funding weighting of 3 and EPs submitted to and assessed by the Pacific Research panel will have a funding weighting of 2.5.

Note that if an EP is not accepted for assessment by the Co-Chairs of these panels, it will be assigned the funding weighting of the new subject area to which it is reassigned.

Cross-referrals from other panels to the Mātauranga Māori and Pacific Research panels will not mean that the cross-referred EP receives the higher funding weighting of these two panels. The funding weighting for any cross-referred EP will be based on the weighting of the main subject area to which they have been submitted.



**The Field of Research Description is 200 characters long.**

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

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

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

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

**Completing the Field of Research Description**

The information in this field is used by Panel Co-Chairs to help with assigning the EP to appropriate panel members and to determine whether elements in an EP should be cross-referred to another panel. TEOs need to ensure that it:

- › Is a succinct and accurate description of the research field for the majority of the items in the EP, focusing on the EREs in particular; and
- › Only contains information that describes the staff member’s research at the level of a discipline or sub-discipline (for example, educational psychology, molecular biology).

If the staff member’s research is inter- or transdisciplinary, they should very briefly describe the areas covered by the research in the EP and clearly identify which EREs fit within subject areas or panels other than the selected primary subject area or panel.

**Completing the EP Languages field**

For each EP, a TEO includes if it contains research that is in one of the following languages other than English.

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

It is the responsibility of submitting TEOs to ensure that all ERE Outputs submitted are accessible to panels for assessment. While some panels may have the capacity and expertise to deal with research in languages other than official Aotearoa New Zealand languages, in particular Mātauranga Māori panel, the Pacific Research panel, and the Humanities and Law panel (incorporating Modern Languages) this should not be assumed for all panels. Panels are appointed for their expertise in assessment and their subject area knowledge. Panels are not expected or intended to necessarily have expertise in a range of languages.

We do not require a full translation of non-English language ERE Outputs into English. If a TEO chooses to provide full or part translations, there is no requirement for these to be independently validated. The TEC will not organise or fund translation of research outputs for assessment purposes.

Languages that can be entered in the EP Languages field			
Afrikaans	Arabic	Cook Islands Māori	Dutch
Fiji Hindi	Fijian	French	German
Hindi	Italian	Japanese	Kiribati
Korean	New Zealand Sign Language	Niuean	Northern Chinese (Mandarin Chinese)
Panjabi	Portuguese	Rotuman	Russian
Samoan	Spanish	Tagalog	Te Reo
Tokelauan	Tongan	Tuvaluan	Urdu
Yue (Cantonese)			

## Cross-referrals

Cross-referrals can happen in two different ways:

- › A TEO/staff member can choose to make a cross-referral request to the Mātauranga Māori and/or Pacific Research panels if the EP contains Mātauranga Māori and/or Pacific research.
- › The Co-Chairs of the main panel to which an EP has been submitted can request a cross-referral to another panel. This can occur between any panels.

In both cases, the decision on whether to accept the cross-referral request sits with the Co-Chairs of the panel to which the request has been submitted.

When requesting a cross-referral, Co-Chairs must clearly indicate which item/s, part or parts of the EP they are cross-referring. Items from both the ERE and the CRE components can be cross-referred.

When considering whether to accept a cross-referral request, Co-Chairs will consider the items flagged for cross-referral, as well as the information provided in the Field of Research section.

### Completing Mātauranga Māori or Pacific research cross-referral requests

Cross-referrals to the Mātauranga Māori panel and the Pacific Research panel can be requested by the TEO when submitting an EP. This is done by completing the Māori research cross-referral request or Pacific research cross-referral request fields in the EP. TEOs can include both if appropriate.

The cross-referral assessment may relate to part of an EP or to specific items within the EP. If a request is made, the decision on whether it is accepted or



**The EP Languages** field is new for Quality Evaluation 2026. Its inclusion means staff members no longer indicate in the Field of Research Description if their EPs contain research in languages other than English.

Languages will be selected from a drop-down list which will include an 'Other' option. It will be possible to select up to four languages.



**The cross-referral section** in the Assessment Guidelines sets out more information about when panel Co-Chairs may consider cross-referral of an EP.

Note that it is generally specific items or parts within an EP are cross-referred, not the entire EP itself. If the Co-Chairs consider it appropriate for an entire EP to be assessed by a different panel, they will request a transfer. The Assessment Guidelines sets out more information about when Co-Chairs may consider requesting a transfer.



declined sits with the Co-Chairs of the Mātauranga Māori Panel or the Co-Chairs of the Pacific Research Panel (or both if both are completed).

After EP submission, the Co-Chairs of other panels can also at their discretion request that parts of or items within any EP are cross-referred to these panels. These requests are subject to the decisions made by the Co-Chairs of the Mātauranga Māori Panel or the Co-Chairs of the Pacific Research Panel about whether to accept or decline the cross-referral request.

If a cross-referral request is accepted, Co-Chairs will need to advise the cross-referral panel member on which item/s in the EP should be considered in the assessment. The panel member undertaking the cross-referral assessment must provide a commentary along with the score(s) for their assessment. This commentary must include confirmation of the item/s in the EP that were assessed and provide a rationale for the component score(s) provided.

### Cross-referral to the Mātauranga Māori Panel

If the Mātauranga Māori Panel is not selected as the primary assessment panel, a staff member can choose to indicate that their EP contains some items relevant to this panel by completing the Mātauranga Māori Panel cross-referral request field in their EP.

The Mātauranga Māori Panel cross-referral field allows researchers to complete a comment (500 characters) and reference up to five items in total from the ERE and/or CRE components of the EP which fall within the panel coverage of the Mātauranga Māori panel. Commentary may highlight research outputs or activities, or research-related activities, based on Māori world views or Māori methodologies.

If this request is included, a cross-referral request to the Mātauranga Māori Panel will be created in the system. The Co-Chairs of the Mātauranga Māori Panel will decide whether to accept or decline the cross-referral assessment based on the information provided in the cross-referral field along with the Field of Research field and the relevant items in the EP. If the Co-Chairs determine that a cross-referral assessment is appropriate, they will assign the EP items to appropriate panel member(s). The Co-Chairs of the main panel to which the EP has been submitted will also consider the information provided.

The Mātauranga Māori Panel will normally assess EPs where there is evidence of research based on Māori world views (both traditional and contemporary) and Māori methods of research. TEOs and staff members should refer to the Mātauranga Māori Panel-Specific guidelines for further details on the coverage of this panel.

The Mātauranga Māori Panel will consider cross-referrals of EPs:

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

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

The appointment of Māori Co-Chairs to every panel and the appointment of more Māori panel members is expected to reduce the need for cross-referrals to the Mātauranga Māori panel, as every panel will be better equipped to assess Mātauranga Māori research. However, these will be considered on a case-by-case basis to ensure each EP is appropriately assessed.

Note: If the Mātauranga Māori Panel is selected as the primary assessment panel, the Mātauranga Māori Panel cross-referral request in the EP should not be completed.

### Cross-referral to the Pacific Research Panel

If the Pacific Research Panel is not selected as the primary assessment panel, a staff member can choose to indicate that their EP contains some research relevant to this panel by completing the Pacific Research cross-referral request field in their EP.

The Pacific research cross-referral field in the EP allows researchers to complete a comment (500 characters) and reference up to five items in total from the ERE and/or CRE components of the EP which fall within the panel coverage of the Pacific Research panel.

If this request is included, a cross-referral request to the Pacific Research Panel will be created in the system. The Co-Chairs of the Pacific Research Panel will decide whether to accept or decline the cross-referral assessment based on the information provided in the cross-referral field along with the Field of Research field and the relevant items in the EP. If the Co-Chairs determine that a cross-referral assessment is appropriate, they will assign the EP items to appropriate panel member(s). The Co-Chairs of the main panel to which the EP has been submitted will also consider the information provided.

The Pacific Research Panel will evaluate all EPs where there is evidence of Pacific-based research methodologies that involve Pacific-centred subject matter and impacts on Pacific communities. TEOs and staff members should refer to the Pacific Research Panel-Specific Guidelines on the TEC website for further detail on the coverage of this panel.

The Pacific Research Panel expects that, where the Pacific Research cross-referral request is included, EPs will contain one or more EREs, OEREs, or CREs that:

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

Note: If the Pacific Research Panel is selected as the primary assessment panel, the Pacific Research cross-referral request in the EP should not be completed.

## Completing the Platform of Research – Contextual Summary section

**The information in the Platform of Research – Contextual Summary** will also support the panel to make judgements about the EP if it requires a detailed reassessment at the panel meeting.

The detailed reassessment process is primarily for exceptions, for example, where the component scoring may not produce a result that the panel judges correct when all information in the EP is considered together.

The detailed reassessment allows the panel to determine which of the available Quality Categories is most appropriate for an EP, by taking all relevant factors into consideration.

**The Contextual Summary – Platform of Research narrative** has a reduced character count relative to Quality Evaluation 2018 (1,500 as opposed to 2,500).

This reflects the new EP design, which provides other opportunities to give narrative detail and context through the contextual narrative required for each ERE, as well as through the optional OERE summary narrative.

It also reflects that the Achievement Relative to Opportunity framework means that narrative about being New and Emerging, or Part-Time, is no longer provided in this field. Instead, these factors are taken into account via submission requirements.

The Platform of Research – Contextual Summary is a narrative component which provides staff members with the opportunity to present panellists with information that will allow them to contextualise the items submitted in the ERE and CRE components. It is not scored but it is considered by panellists as part of the overall assessment of the EP.

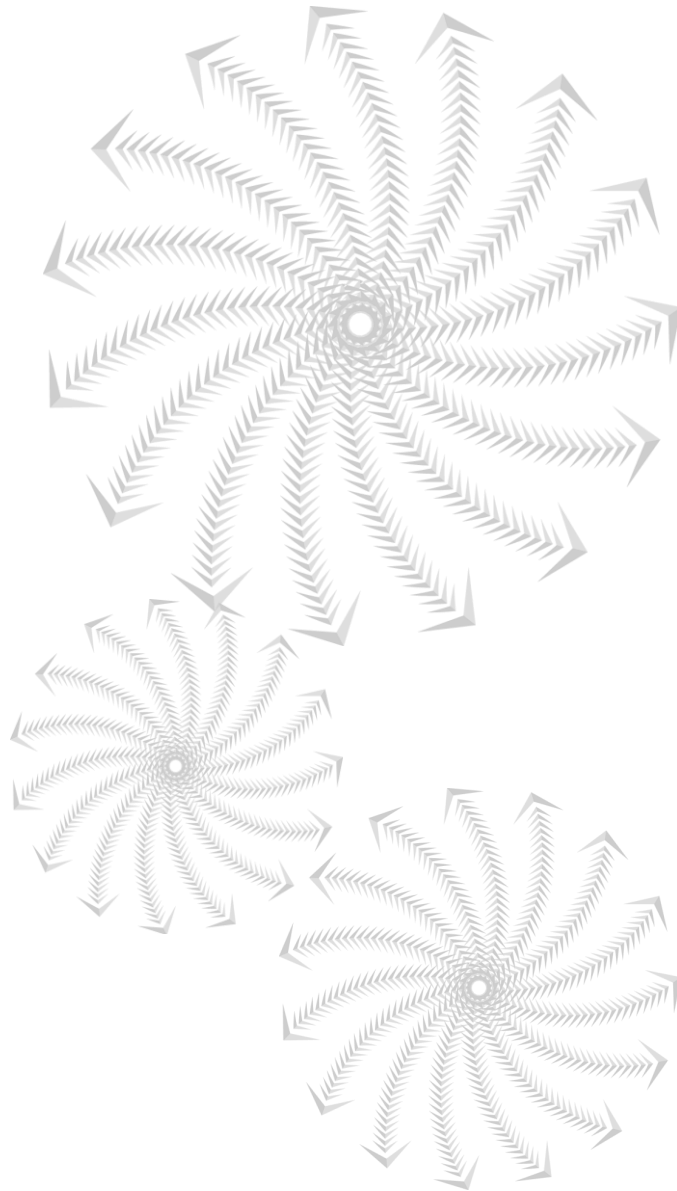
It should provide a clear introduction to the research outputs, research activities and CRE items presented within the EP and reflect the staff member's overall platform of research. The focus is on how the staff member's overall platform of research and research activity has contributed to their field,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

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

- › the specific research environment they are working in, such as applied research or professional practice, relevant norms associated with that environment, and how this informs the type of research outputs and activities they produce
- › any changes in the focus of their research within the assessment period
- › any information about relevant activity carried out during the assessment period that is not submitted as an item within the EP but that provides important contextual information
- › an inter- and trans-disciplinary approach bridging multiple fields or multiple subcategories in a panel or across panels; for example, research that combines Mātauranga Māori and Western approaches.

As explained in the section 'Outputs with similar content', it is important to avoid including research outputs with overly similar content in an EP. However, if this has been done then the reason for this could be explained in this section. It is unlikely that any rationale for including outputs with identical or near-identical content will be accepted by panels.

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



# Quality Evaluation 2026

## Completing the ERE and CRE components

# Completing the Examples of Research Excellence component

## Assessment and examination

Components and items that are assessed are considered by panellists against the assessment and scoring criteria with respect to the relevant disciplinary norms and standards. The ERE and CRE components are assessed, and panellists will consider the Contextual Summary – Platform of Research as part of that assessment. EREs as a whole (including the contextual narrative, ERE Outputs and any Supplementary Items), OEREs, and CREs are all assessed.

Only ERE Outputs are examined. ‘Examined’ in this context means they are scrutinised in detail by panellists against the assessment and scoring criteria with respect to the relevant disciplinary norms and standards. Panellists do this by reading, listening, experiencing or otherwise engaging as appropriate with the output in a detailed and sustained fashion. For example, panellists may read a journal article, watch a software video run-through and execute the software, listen to an oral performance and read any accompanying written material, or watch a performance and review accompanying exhibition notes.

The Examples of Research Excellence component (ERE component) is the main basis for the peer review panel’s assessment of the quality of research and research activity presented in an EP. The primary focus of assessment is the individual Examples of Research Excellence (EREs).

- › The ERE component has a weighting of 70 percent of the total score for the Evidence Portfolio (EP). Everything submitted in the ERE component is assessed.
- › This component allows staff members to present EREs and OEREs.
- › To be included in the ERE component, research outputs and research activities must meet the eligibility criteria for one of the defined types.
- › The eligibility of items in an EP will be subject to the TEC’s data checking and verification audit.

## What does the ERE component contain?

The ERE component contains two sections: an ERE section and an OERE section.

The ERE section contains between one and three EREs, depending on the submission options or requirements for the staff member. Each ERE contains a contextual narrative, an ERE Output, and up to three optional Supplementary Items.

The OERE section contains a single, optional OERE narrative and up to eight OEREs. OEREs can be either research outputs or research activities. The OERE items do not have to be connected to each other.

## Assessment of the ERE component

EREs will be assessed based on their quality:

- › all research activity including activity related to research impact, whether basic, fundamental, strategic, artistic or applied, will be assessed against the same broad indicators of quality.
- › the ERE Output may be subject to detailed examination, but all items included in the ERE will inform the assessment. The presence or absence of optional Supplementary Items, or the number of Supplementary Items, will not in and of itself play any role in the assessment of the quality of the ERE.
- › it is expected that each ERE will comprise a coherent, holistic example of research excellence.

OEREs will be assessed based on their quality:

- › all research activity including activity related to research impact, whether basic, fundamental, strategic, artistic or applied, will be assessed against the same broad indicators of quality.
- › all OEREs included will inform the assessment, along with the OERE narrative if included, but the number, presence or absence of OEREs/OERE narrative will not in and of itself play any role in the assessment of quality.

For most research outputs, it is expected that there will be evidence of formal processes of academic peer review or other recognised forms of quality

assurance. However, the absence of such review or other formal mechanisms of quality assurance will not in and of itself be taken to imply lower quality.

Each panel has developed panel-specific guidelines that may provide discipline and/or subject area-specific advice on completing the ERE component of EPs.

The Achievement Relative to Opportunity chapter of these Guidelines explains how to determine the number of EREs a staff member needs to submit in their EP. Staff members will not be penalised for having fewer than three EREs in an EP.

## The Examples of Research Excellence (EREs) section

For most staff members, the ERE component of an EP will contain **three EREs**.

Each ERE contains:

- › a contextualising ERE narrative of up to 1,500 characters
- › an ERE Output
- › up to three optional Supplementary Items, which may be research outputs OR research activities.

There must be a relationship between the ERE Output and any Supplementary Items so that each ERE is a cohesive example. The nature or type of the relationship is up to the staff member to decide. Panels will not view any particular form of connection between the ERE Output and the Supplementary Items as reflecting intrinsically higher quality.

### The ERE contextual narrative

Each ERE includes a contextualising ERE narrative of up to 1,500 characters. This summarises the nature, significance, and/or impact of the ERE as a whole. The narrative should contextualise the ERE Output and articulate the links between the output and any Supplementary Items.

The requirements for the ERE contextual narrative have been left brief in order to provide the a more flexible structure for staff members. This design is a way of recognising the diversity of outputs, activities, disciplines, methodologies, research contexts, and outcomes. Each panel has elaborated in their Panel-Specific Guidelines any specific expectations for information presented in the contextual narrative.

Note that while it is expected that a staff member will use the contextual narrative to comment on any Supplementary Items, this field does not need to be restricted to commentary on the Supplementary Items. Staff members may for example choose to discuss citations, reprints, awards, translations, invitations, engagement or impact activities, or other indicators of reach and significance directly related to the ERE Output that are not included as Supplementary Items. Equally, they may choose to include such items as Supplementary Items if they prefer. The section on choosing research activities below contains more information on the activities and items that are eligible for submission.

### The ERE Output

Each ERE must include an eligible ERE Output. All types of ERE Outputs will be considered on their merits. No particular type of ERE Output will be considered to be of higher quality than any other simply because of its type.

### Submitting ERE Outputs

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

EP field	Information required	Character limit
<b>Research Output Type</b>	Chosen from the list of 16 research output types.	N/A
<b>Quality Assured</b>	An indicator that shows if the research output has been through a process that meets the definition of quality assured for the PBRF.	N/A
<b>Confidential</b>	An indicator that shows if the research output is confidential.	N/A
<b>Title</b>	The title of the research output as it appears on the output.	1,000
<b>Authors</b>	Listed in the order and as they appear on the output.  <i>Listing all authors may sometimes exceed the character limit. Individual panels have provided guidance in their Panel-Specific Guidelines where they have a preferred convention in such cases. If there is no preference in the relevant Panel-Specific Guidelines, at a minimum indicate author position (e.g. 2<sup>nd</sup> out of 40). It may be helpful to indicate disciplinary ordering norms (e.g. descending contribution, alphabetical).</i>	2,000
<b>Year First Available</b>	The year that the output was first publicly available (2018 – 2025 inclusive).	N/A
<b>Output Source</b>	Bibliographic information that can be used to identify where an item is published or made available.  It can contain information such as parent document, volume, issue, article, chapter, session number, pagination, publisher, place (normally the citation), and ISBN or ISSN where relevant.  Which edition of a book should also be included, if an earlier edition was assessed in a previous Quality Evaluation.	1,000
<b>Individual Contribution</b>	Researchers provide a clear description explaining their substantial and distinctive contribution unless they are the sole author/creator/producer of the output.  <i>Qualitative descriptions will give panels the detailed information they need to assess an individual's contribution to a research output. Some journals require co-authored articles to include a statement on the relative contribution</i>	1,000

EP field	Information required	Character limit
	<i>of each author. These statements can be used in the Individual Contribution field if available.</i>	
<b>Description (optional)</b>	<p>The nature of the quality-assurance process, particularly where this may not be standard within the discipline for this type of output or where the quality-assurance process can vary or is not easily recognised.</p> <p>If necessary:</p> <ul style="list-style-type: none"> <li>– a brief description of the research content or how the output meets the PBRF Definition of Research, where this is not evident from the output itself (for example, where it is a textbook)</li> <li>– a brief description of the new research material or aesthetic refinement undertaken during the assessment period where there is an earlier version of the output.</li> </ul> <p>Any other information specific to the research output type.</p>	1,000

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

## Supplementary Items

Up to three Supplementary Items can be included in each ERE. These can be eligible research outputs or eligible research activities, or a mix of the two.

Only bibliographic or equivalent data (if a research output) or a brief description (if a research activity) is required for the assessment of Supplementary Items.

Where Supplementary Items are included in an ERE, they must be linked to the ERE Output in some way. It is for the staff member to determine and to articulate through the ERE contextual narrative what the nature of that relationship is. No particular type of relationship will be considered to be of higher quality than another.

### *Submitting research outputs as Supplementary Items*

TEOs provide the following information for each research output submitted as a Supplementary Item in an EP. Note: this is the same as for research outputs submitted as OERs.



EP field	Information required	Character limit
<b>Research Output Type</b>	Chosen from the list of 16 research output types.	N/A
<b>Order of Presentation</b>	A number from 1 to 3 to specify the order in which Supplementary Items will be presented for assessment following the ERE Output.  <i>The order submitted by the TEO will be how the panel member sees the Supplementary Items when they assess the EP.</i>	N/A
<b>Quality Assured</b>	An indicator that shows if the research output has been through a process that meets the definition of quality assurance for the PBRF.	N/A
<b>Bibliographic or Equivalent Details</b>	Only bibliographic or equivalent information, including that relevant to creative research types, can be included. Information must be entered in a recognised format. This must include the title or name of the output, author/s, and sufficient location details to enable the TEC to independently verify its production (for example, publication, publisher, publication year and place of publication, or the equivalent details for other output types such as creative works, such as names of galleries or venues and locations, number of pieces exhibited).  No additional comments outside the scope of this, such as self-evaluative commentary on the quality or significance, can be included.  <i>The information in the Title field and the Bibliographic Details field for Supplementary Items can include a translation into English if required.</i>	1,000

### Submitting research activities as Supplementary Items

TEOs must provide the following information for each research activity included as a Supplementary Item. Note: this is the same as for research activities submitted as OERs.

Field	Information required	Character limit
<b>Research Activity Type</b>	Chosen from the list of six research activity types.	N/A
<b>Order of Presentation</b>	<b>Supplementary items:</b>  A number from 1 to 3 to specify the order in which Supplementary Items will be presented for assessment following the ERE Output.	N/A

<i>The order submitted by the TEO will be how the panel member sees the research outputs when they assess the EP.</i>		
<b>Description</b>	<p>This should describe the activity, and provide factual information to evidence the claims, including key details of the activity, such as dates and organisation(s) or others involved. Information which provides evidence of the quality or significance of the activity (for example, audience numbers, readership, profit generated, citations, reviews, policy changes, quoted testimonials etc) may also be included where relevant, but self-evaluative commentary cannot be included.</p> <p><i>Note that the underpinning sources of evidence cited in this section do not need to be included but must be provided if requested by the auditors.</i></p>	1,000

### The Other Examples of Research Excellence (OERE) section

The OERE section is part of the ERE component and forms part of the assessment of the EP. The OERE section includes an optional single contextualising narrative and the option to submit up to eight OEREs.

#### *The OERE contextual narrative*

If they wish, staff members can choose to complete an optional contextual narrative field of 1,000 characters.

This field provides an opportunity to highlight any relevant links between OEREs and EREs, relationships between OERE items, indicators such as citations, awards, acceptance rates etc, or to address any unusual or unique aspects of OERE items relative to disciplinary norms, or any other information staff members wish to provide.

The contextualising summary narrative for OEREs is optional. Its presence or absence will not be a factor in the assessment of quality.

#### *Other Examples of Research Excellence items*

OEREs may be either eligible research outputs or eligible research activities.

Including OEREs is optional, up to a maximum of eight.

Only bibliographic or equivalent data (if a research output) or a brief description (if a research activity) is required for the assessment of the OEREs.

#### *Submitting research outputs as OEREs*

TEOs provide the following information for each research output submitted as an OERE listed in an EP. Note: this is the same as for Supplementary items.

Field	Information required	Character limit
<b>Research Output Type</b>	Chosen from the list of 16 research output types.	N/A
<b>Order of Presentation</b>	<p>A number from 1 to 8 to specify the order in which the OEREs will be presented for assessment.</p> <p><i>OEREs must be clustered by research output type. The ordering of OERE types and the ordering of the OEREs within each type will be in accordance with the staff member's preference.</i></p> <p><i>The order submitted by the TEO will be how the panel member sees the research outputs when they assess the EP.</i></p>	N/A
<b>Quality Assured</b>	An indicator that shows if the research output has been through a process that meets the definition of quality assurance for the PBRF.	N/A
<b>Bibliographic or Equivalent Details</b>	<p>Only bibliographic or equivalent information, including that relevant to creative research types, can be included. Information must be entered in a recognised format. This must include the title or name of the output, author, and sufficient location details to enable the TEC to independently verify its production (for example, publication, publisher, publication year and place of publication, or the equivalent details for other output types such as creative works, such as names of galleries or venues and locations, number of pieces exhibited).</p> <p>No additional comments outside the scope of this, such as self-evaluative commentary on the quality or significance, can be included.</p> <p><i>The information in the Title field and the Bibliographic or Equivalent Details field for OEREs can include a translation into English if required.</i></p>	1,000

### Submitting research activities as OEREs

TEOs must provide the following information for each research activity included as an OERE. Note: this is the same as for Supplementary items.

Field	Information required	Character limit
<b>Research Activity Type</b>	Chosen from the list of six research activity types.	N/A

Field	Information required	Character limit
<b>Order of Presentation</b>	<p>A number from 1 to 8 to specify the order in which the OEREs will be presented for assessment.</p> <p><i>OEREs must be clustered by research activity type. The ordering of OERE types and the ordering of the OEREs within each type will be in accordance with the staff member's preference.</i></p> <p><i>The order submitted by the TEO will be how the panel member sees the research activities when they assess the EP.</i></p>	N/A
<b>Description</b>	<p>This should describe the activity, and provide information to evidence the claims, including key details of the activity, such as dates and organisation(s) or others involved. Information which provides evidence of the reach or significance of the activity (for example, audience numbers, readership, profit generated, citations, reviews, policy changes, quoted testimonials etc) may also be included if relevant, but self-evaluative commentary cannot be included.</p> <p><i>Note that the underpinning sources of evidence cited in this section do not need to be included but must be provided if requested by the auditors.</i></p>	1,000

## Choosing research outputs for the ERE component

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

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

These have been classified into 16 types of research output which can be included in the ERE component as ERE Outputs, Supplementary Items, and OEREs.

The key factors in selecting research outputs for inclusion in an EP are:

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

### Research output eligibility criteria for ERE component

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

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

A research output is eligible for inclusion as a **Supplementary Item** or as an **OERE** if it meets **all** of the following three criteria:

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

### Eligible types of research outputs

There are 16 eligible types of research output for ERE Outputs, Supplementary Items, and OERs. They are:

- › Authored Book
- › Chapter in Book

- › Conference Contribution – Other
- › Conference Contribution – Published
- › Creative Work
- › Discussion/Working Paper
- › Edited Volume
- › Intellectual Property
- › Journal Article
- › Oral Presentation
- › Other Form of Assessable Output
- › Products and processes
- › Report
- › Scholarly Edition/Literary Translation
- › Software
- › Thesis.

Outputs of these types must also meet the eligibility criteria above. Full details about these types are provided in the Appendix.

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## Choosing research activities for the ERE component

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

Research activities describe activities and outcomes related to the process of designing, carrying out, disseminating, and sharing research, and include research outcomes such as collaboration, public or other engagement, recognition, and uptake and impact. In previous Quality Evaluations, the six research activities were classified as Research Contributions. The table below sets out these changes.

Research Contribution item types Quality Evaluation 2018	Item types Quality Evaluation 2026
<b>Research Activities</b>	
Outreach and Engagement	Collaboration, Outreach and Engagement
Invitations to Present Research or Similar	Presentation, Sharing, and Dissemination of Research or Similar
Recognition of Research Outputs	Recognition of Research Outputs, Outcomes or Activity
Research Funding and Support	Research Funding and Support
Research Prizes, Fellowships, Awards and Appointments	Research Prizes, Fellowships, Awards and Appointments

Uptake and Impact	Uptake and Impact
<b>Contributions to the Research Environment</b>	
Contribution to Research Discipline and Environment	Contribution to Research Discipline, Culture, and Environment
Facilitation, Networking and Collaboration	Facilitation, Networking and Collaboration
Peer Esteem and Research Recognition	Peer Esteem and Research Recognition
Researcher Development	Researcher Development, Capability-Building and Mentoring
Reviewing, Refereeing, Judging, Evaluating and Examining	Reviewing, Refereeing, Judging, Evaluating and Examining
Student Factors	Student Development and Support

The key factors in selecting research activities for inclusion in an EP are:

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

### Eligibility criteria for research activities

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

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

### Eligible types of research activities

Research activities are a new type for Quality Evaluation 2026. However, they are based upon categories that were eligible for inclusion as Research Contribution types in Quality Evaluation 2018.

Quality Evaluation 2026 will assess a range of research activities, which have been categorised under the following six types:

- › **Collaboration, Outreach and Engagement:** includes engagement with non-academic communities and stakeholder groups
- › **Presentation, Sharing, and Dissemination of Research or Similar:** Presentation, dissemination or sharing of research outputs, outcomes, or work in progress in scholarly, industry or sector-based, iwi, community or public for a

- › **Recognition of Research Outputs, Outcomes or Activity** in the form of commissions, commendations, citations, other metrics, or other indicators of peer or external esteem
- › **Research Funding and Support** including competitive or other funding, contracts or commissions, public or private sector collaborations or partnerships, and community, iwi, or marae support
- › **Research Prizes, Fellowships, Awards and Appointments** that recognise the quality of research outputs and/or activity
- › **Uptake or impact** activities or outcomes demonstrating how non-academic stakeholders and end-users have utilised and benefitted from research outcomes and activity, and flow-on positive changes beyond academia as a consequence.

Detailed descriptions of the six types are provided in the Appendix.

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

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

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

Depending on the research output, being ‘first made available’ may involve being published, publicly disseminated, presented, performed, exhibited, or another mode.

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

### Published research output types

The National Information Standards Organization (NISO) standards<sup>2</sup> will be used to test eligibility of journal articles according to the date on which the first Version of Record was made publicly available by the publisher. These standards will also be applied for other published works, wherever possible (such as books, edited volumes, conference proceedings, theses, online peer reviewed commentary), to determine the eligibility date for the first Version of Record.

For these types of research outputs, the first Version of Record will be considered the ‘final version’, and the date that the first Version of Record appears in the

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<sup>2</sup> NISO RP-8-2008, Journal Article Versions (JAV): Recommendations of the NISO/ALPSP JAV Technical Working Group. Retrieved on 15 February 2016 from <http://www.niso.org/publications/rp/RP-8-2008.pdf>.



public domain, regardless of this being in print or online, will be considered the date it is first available.

This means that if an output is pre-published on or before 31 December 2017 but has an imprint date within the assessment period, it will not be eligible for submission because it will be considered to have been publicly available before the assessment period. Note that the use of the term 'pre-published' refers to outputs in their final form that are circulated prior to their imprint date. It does not refer to scientific pre-prints that are shared prior to peer-review.

Any outputs that have imprint dates that fall outside the assessment period but the final version of the output was first publicly available within the assessment period are eligible for submission. This is consistent with previous Quality Evaluations.

For theses, the date of first public availability will likely be the date they were first available in a library or institutional repository without any embargo applied.

### ***Non-published research output types***

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

1. Where multiple instances of an output occur in different assessment periods then the output can only be counted in the period when it was first publicly disseminated.
2. Where an output has been publicly disseminated multiple times within the assessment period, the researcher may choose which instance of the output is included. It is expected that the most prestigious, rather than the first, dissemination will be listed.
3. An output that introduces significant new research material or aesthetic refinement (during the assessment period) to an earlier version of the output will be considered as a separate research output. Acceptable thresholds for significant new material will vary depending on discipline or subject area and output type. A case-by-case approach will be taken where outputs are flagged by panel members or auditors. Input will be sought from relevant panel Co-Chairs and/or the Moderators as required.

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

Staff members can explain any **variance in dates** for an ERE Output in the Description field of that ERE Output. Please note that such an explanation is required only for ERE Outputs. It is not required for any of the OEREs.

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

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

For the avoidance of doubt:

- › a **confidential research output** must have been completed and the final version first made available to those who commissioned the research within the assessment period; and
- › the eligibility date for **intellectual property** is the date it was granted for the first time, either in Aotearoa New Zealand or another country. Earlier versions of patents, specifically patent applications and provisional patents, may also be publicly available. However, only the granted patent will be accepted as an eligible research output. This means that if a patent application or provisional patent was publicly available in a previous assessment period but granted for the first time in this assessment period, then it would be an eligible research output.

Research outputs that are repeated **reprints or new editions of a book, or multiple exhibitions or performances** are not eligible for inclusion unless they include significant new research material. They may be evidence of research-related peer esteem, extended reach or contribution outside academia and can be included as a Research Activity in the ERE Component of an EP under Supplementary Items or OEREs.

## Quality assurance

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

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

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

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

- › peer-review or refereeing processes undertaken by journals and book publishers
- › other review processes employed by editors, editorial committees, publishers, or curators
- › the selection of conference papers or abstracts and the refereeing of conference papers

- › review processes specific to Māori or Pacific research processes or methodologies
- › review processes undertaken by major galleries, museums and broadcasters
- › review processes employed by users of commissioned or funded research (including confidential research) including commercial clients and public bodies.
- › Note that critics' reviews published as journalism or commentary, either in print or online are not considered a form of quality assurance. For example, a review of a book, play or exhibition in a newspaper is not considered to be a form of quality assurance.

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

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

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

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

*For Quality Evaluation 2026, **granted patents** are considered to be quality-assured research outputs.*

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

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

*Post-publication or production reviews and invitations to review research outputs that are in the public domain can be submitted as a research activity in the ERE Component of an EP under Supplementary Items or OERs.*

## Outputs involving joint research

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

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

- › the PBRF Quality Evaluation process assesses the work of individual academics, regardless of whether or not they are the sole authors or producers
- › the PBRF Quality Evaluation process is solely concerned with the quality of the output and the relative contribution of the staff member not with where the other co-authors or producers are based

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

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

*The contribution to a joint research output **will not**:*

- › *be assessed on the basis of the order in which co-authors or co-producers are listed (order may be an indication of the importance of a contribution, but this is not necessarily the case)*
- › *be counted pro rata (for example, five authors will not be taken to imply that each person has contributed the same proportion).*

### Completing the Individual Contribution field for an ERE Output

Completing the Individual Contribution field is mandatory for ERE Outputs. If the staff member is the sole author/researcher then this can be briefly noted by entering 'Sole author'.

If there are other authors/researchers, staff members must provide a clear description explaining their substantial and distinctive contribution. Qualitative descriptions are recommended because they are more likely to give panels the detailed information they need to assess an individual's contribution to a research output. Percentages should be avoided if these do not explain the substantial and distinctive contribution.

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

Where there is more than one author, the Individual Contribution field should include:

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

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

### Submitting joint research outputs

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

Outputs. Panels will recognise that in many disciplines co-authorship or co-production is the norm.

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

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

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

## Outputs with similar content

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

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

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

## Completing the Contributions to the Research Environment component

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

This component replaces the former Research Contributions component. The content of the CRE component now focuses more closely on how staff members have contributed to their research environment. This means that six former eligible types that focussed more on activities relating to the production, dissemination, recognition and impact of staff members' research have been reclassified as research activity types and migrated to the ERE component. The table below sets these changes out.

Research Contribution item types Quality Evaluation 2018	Item types Quality Evaluation 2026
<b>Contributions to the Research Environment</b>	
Contribution to Research Discipline and Environment	Contribution to Research Discipline, Culture, and Environment
Facilitation, Networking and Collaboration	Facilitation, Networking and Collaboration
Peer Esteem and Research Recognition	Peer Esteem and Research Recognition
Researcher Development	Researcher Development, Capability-Building and Mentoring
Reviewing, Refereeing, Judging, Evaluating and Examining	Reviewing, Refereeing, Judging, Evaluating and Examining
Student Factors	Student Development and Support
<b>Research Activities</b>	
Outreach and Engagement	Collaboration, Outreach and Engagement
Invitations to Present Research or Similar	Presentation, Sharing, and Dissemination of Research or Similar
Recognition of Research Outputs	Recognition of Research Outputs, Outcomes or Activity
Research Funding and Support	Research Funding and Support
Research Prizes, Fellowships, Awards and Appointments	Research Prizes, Fellowships, Awards and Appointments
Uptake and Impact	Uptake and Impact

- › The CRE component has a weighting of 30 percent of the total score for the EP.
- › The CRE component of an EP contains a minimum of one CRE item and may contain up to ten items. Including CRE items is optional for EPs submitted by

New and Emerging Researchers but they can also include up to ten CRE items if they wish to.

- › TEOs should help their staff to identify their best contributions to their research environments, and then categorise these items according to the six CRE types.
- › The types are an organising principle only. It is not expected that EPs will include items in every contribution type, and it is possible that some items will fit within more than one type, in which case the staff member can choose the type that best showcases their contributions. More than one item may be included in any one contribution type.
- › All types of CRE will be considered on their merits. This means no one specific type will be weighted higher than another.
- › All items in the CRE component must describe contributions that have occurred within the assessment period (**1 January 2018 – 31 December 2025 inclusive**)
- › Each panel has panel-specific guidelines that may provide discipline- or subject-area specific advice on completing the CRE component of EPs.

## What does the Contributions to the Research Environment component contain?

The CRE component of an EP contains up to ten CRE items that show the contributions a staff member has made to sustaining, developing, and/or growing the research environment and culture of which they are a part.

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

- › it is one of the six CRE types described below
- › It took place in the assessment period 1 January 2018 to 31 December 2025 (inclusive).

This component allows for the 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.

The underpinning principle is that the CRE component should reflect the broad range of contributions undertaken and/or achieved by a staff member. The contributions should be appropriate to an individual's research discipline and context.

Research environments and the activity that sustains and grows them may be local, regional, national or international in orientation. No quality distinctions will be made solely on the basis of geographical scale or reach.

### Types of Contribution to the Research Environment

The CRE component contains items that are classified by the six types below. The types are listed in alphabetical order and do not reflect an order of importance.

- › **Contribution to Research Discipline, Culture, and Environment**, including through leadership, advocacy, oversight, or awareness-raising roles and activity

- › **Facilitation, Networking and Collaboration** including activity that contributes to the research environment activities such as setting up or participating in research centres, groups, wananga, fono, or networks
- › **Peer Esteem and Research Recognition**, including factors which reflect the staff member's esteem within their field or wider research environment
- › **Researcher Development, Capability-Building and Mentoring** including activity such as mentoring or other staff development roles
- › **Reviewing, Refereeing, Judging, Evaluating and Examining Student Development and Support** including activity which contributes to growing a vibrant and inclusive research workforce

All items in the CRE component must describe research-related activities and outcomes that have occurred within the assessment period (**1 January 2018 – 31 December 2025 inclusive**).

The Panel-specific guidelines may provide further examples of discipline-specific, research-related activities and research outcomes.

### Submitting CRE items

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

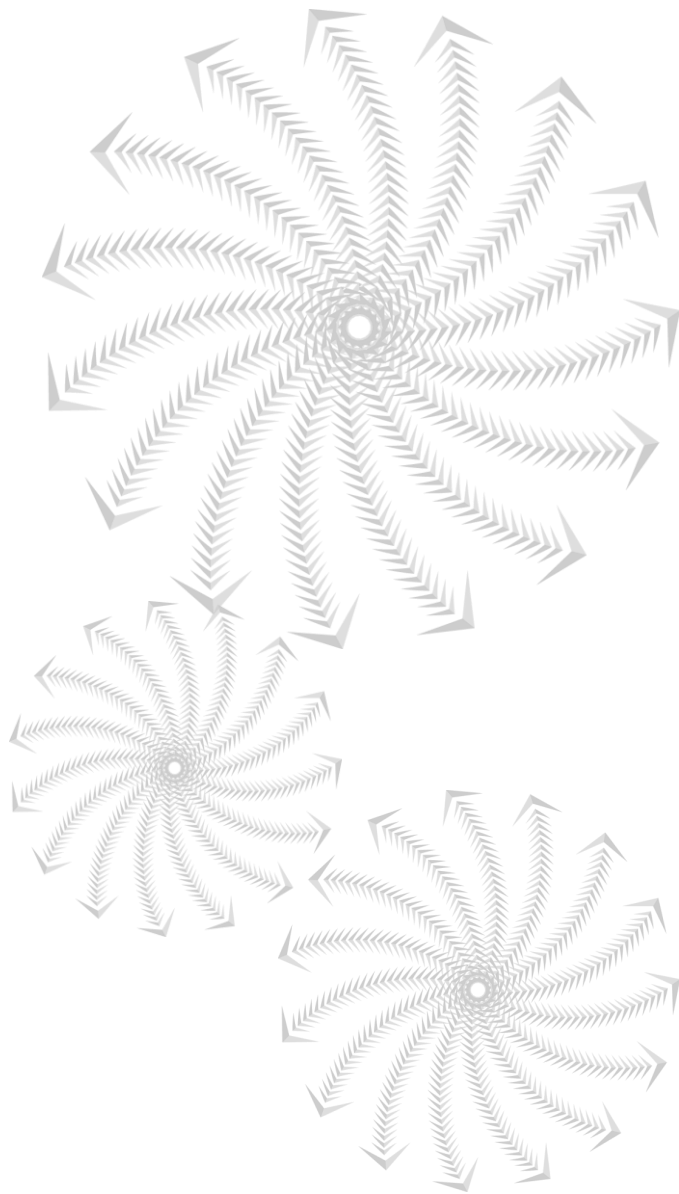
Field	Information required	Character limit
<b>Research Contribution Type</b>	Chosen from the list of six research contribution types.	N/A
<b>Order of Assessment</b>	<p>A number from 1 to 10 to specify the order in which the CRE items will be presented for assessment.</p> <p><i>CRE items must be clustered by contribution type. The ordering of CRE types, and the ordering of the items within each type, will be in accordance with the staff member's preference.</i></p> <p><i>The order submitted by the TEO will be how the panel member sees the CRE items when they assess the EP.</i></p>	N/A
<b>Description</b>	<p>A description of the nature and significance of the item that includes sufficient information and evidence of the quality and prestige of the contribution.</p> <p>This should also provide information to evidence the claims, including key details of the activity, such as dates and organisation(s) or others involved.</p> <p>Note that self-evaluative comments on the significance or prestige of the item should not be included.</p>	1,000



### **Evidence of CRE items**

Information on CRE items may be required for audit purposes only. TEOs are not required to submit evidence of CRE items in the EP.

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



# Quality Evaluation 2026

## Providing ERE outputs

# Research output evidence requirements for assessment

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

- › Copies of ERE Outputs are required for assessment.
- › Evidence of Supplementary Items and OERs is required for audit only.

## Forms of evidence required for examination of ERE Outputs

### Full copies of ERE Outputs must be provided

Full copies of ERE Outputs are required to allow a panel to assess their quality through a detailed examination. Panels are expected to examine a proportion of ERE Outputs so that assessment of quality is based on the quality of the output itself. Without this expectation, panels would be reliant solely on proxies for quality, such as venue and citation information. Each panel has developed panel-specific guidelines that specify the proportion of ERE Outputs each panel intends to examine in detail.

The ERE Output must be available in a form that allows panels to make a fair assessment of the quality. For example, a panel member would not be able to assess the quality of a book only on the basis of a table of contents and bibliographic information.

The following tables set out information on providing different types of ERE Output for assessment.

TEOs ensure that:

- › all ERE Outputs listed in an EP are available for examination by a panel
- › the actual ERE Output is provided as evidence for examination.

The specific evidence requirements for examining ERE Outputs, including requirements for creative works, are detailed in the tables below.

Research output type	Evidence for examining ERE Outputs
<b>Authored Book</b>	Electronic copy of the Authored Book.
<b>Chapter in Book</b>	Electronic copy of the Chapter in Book.
<b>Conference Contribution – Other</b> <b>and</b> <b>Conference Contribution – Published</b>	<p>Electronic copy (preferred) or print copy of the Conference Contribution (if available).</p> <p><b>Supporting information</b></p> <p>An electronic copy of the proceeding’s title page, contents page(s) and bibliographic details (including, author(s), editor(s), publisher and publication date) if not included in the copy of the Conference Contribution.</p> <p>A video or audio recording may be supplied if available.</p>

Research output type	Evidence for examining ERE Outputs
<b>Discussion/Working Paper</b>	Electronic copy of the discussion or working paper.
<b>Edited Volume</b>	Electronic copy of the edited volume.
<b>Intellectual Property</b>	<ul style="list-style-type: none"> <li>› Electronic copy of the supporting documentation submitted for trademark or patent registration, such as a copy of the patent application form showing the name(s) of the inventor(s), and</li> <li>› The letter confirming the granting of the patents or trademark including the date the patent or trademark was granted.</li> </ul>
<b>Journal Article</b>	<p>Electronic copy of the journal article.</p> <p><b>Supporting information</b></p> <p>An electronic copy of the journal’s bibliographic details (including volume and publication date) if not included in the copy of the journal article.</p>
<b>Oral Presentation</b>	<p>One or more of the following forms are acceptable:</p> <ul style="list-style-type: none"> <li>› transcription in book, journal, conference proceedings, working paper, slides or presentation file, or other output</li> <li>› audio or visual recording of the presentation, or both.</li> </ul> <p><b>Supporting information</b></p> <p>An electronic copy of any independent associated written documentation. This must include the presenter(s), date of the presentation and venue.</p>
<b>Other Form of Assessable Output</b>	<p>For any other research output that is not listed above, the onus is on the staff member to provide research outputs in a form that can be appropriately assessed by the panel.</p> <p>The forms of evidence submitted for other research output types are acceptable. TEOs will need to consider which type most closely aligns to the ERE Output to be submitted. If the TEO intends to submit a form of evidence not used for another research output type then it must receive approval from the TEC before submission.</p> <p>Staff members should provide electronic copies of any written documentation or commentary that demonstrates the presented outputs fall within the PBRF Definition of Research and the quality-assurance process where applicable.</p>
<b>Product and processes</b>	Any of the forms of evidence submitted for other research output types are acceptable.

Research output type	Evidence for examining ERE Outputs
<p><b>Report</b></p>	<ul style="list-style-type: none"> <li>› Electronic copy of the report, which includes title page, authorship details and delivery or completion date.</li> <li>› An electronic copy of commentary, peer review or similar quality-assurance report from the commissioning body where the research output has been identified as Quality Assured.</li> </ul> <p><b>Supporting information</b></p> <p>An electronic copy of the request from the commissioning body for the report.</p>
<p><b>Scholarly Edition/ Literary Translation</b></p>	<p>Electronic copy of the scholarly edition/literary translation.</p> <p><b>Supporting information</b></p> <ul style="list-style-type: none"> <li>› An electronic copy (if a book or section of a book) of the book’s title page, contents page(s) and bibliographic details (including editor(s), publisher and publication date); <b>or</b></li> <li>› An electronic copy (if a journal article) of the journal’s contents page and bibliographic details (including volume and publication date).</li> </ul>
<p><b>Software</b></p>	<p>Evidence in relation to software should address the uniqueness, impact and innovative nature of the development, rather than supplying the software itself.</p> <p><b>Supporting information</b></p> <p>If a view of the software in operation would help in the panel’s assessment, a walk-through video with voiceovers or text overlays to identify or emphasise any significant features of the software’s operation is recommended. This could be uploaded as an AV or MP4, or as a shared link to a third-party, for example YouTube or Vimeo.</p> <p>If running the software would help in the panel’s assessment, then provide access to a hosted instance of the software. Please supply:</p> <ul style="list-style-type: none"> <li>› a (publicly accessible) URI to an instance of the running software in a hosted environment</li> <li>› (publicly accessible) URI(s) to any other information that would inform the panel’s assessment of the ERE output, such as:             <ul style="list-style-type: none"> <li>– architectural representations or design diagrams</li> <li>– source code, for example via GitHub</li> <li>– any other documentation that addresses the uniqueness, impact and innovative nature of the development (if not included in the Description section of the EP).</li> </ul> </li> </ul>

Research output type	Evidence for examining ERE Outputs
<b>Thesis</b>	<p>Electronic copy of the thesis.</p> <p>In the case of non-print theses such as creative works, the thesis may take the form of a portfolio of outputs.</p>

### Providing ERE Outputs for examination – Creative Work

Research output type	Evidence for examining ERE Outputs
<b>Artwork, Artefact, Object, Craftwork</b>	<p>One or more of the following forms are acceptable:</p> <ul style="list-style-type: none"> <li>› photograph(s)</li> <li>› audio or video recording</li> <li>› the physical artefact, object or craft item (if there is no alternative).</li> </ul> <p><b>Supporting information</b></p> <p>Researchers may provide written documentation on how the work involves research and technical information that would help a panel assess the work.</p> <p>An electronic copy of any independent associated written documentation must be provided as supporting evidence. This should include creator(s), names of galleries/venues and locations, opening and closing dates, and co-exhibitors where applicable.</p> <p>If the physical artefact, object or craft item is to be submitted, the TEO must seek agreement for its submission from the TEC and the relevant panel Co-Chairs. An artefact would be accepted only if it is compact and easily transportable.</p>
<b>Composition</b>	<p>One or more of the following forms are acceptable:</p> <ul style="list-style-type: none"> <li>› musical score as electronic copy: in most cases it is essential to provide a score</li> <li>› audio recording: in the case of an electroacoustic composition, a recording is mandatory and a score or equivalent is optional</li> <li>› if the composition is part of a film, a copy of the film (or film clip).</li> </ul> <p><b>Supporting information</b></p> <ul style="list-style-type: none"> <li>› Explanatory notes and electronic documentation that includes the composer, title of the composition and date of first performance.</li> <li>› if the composition is part of an exhibition, visual documentation such as photographs or video</li> </ul>
<b>Design output</b>	<p>One or more of the following forms are acceptable:</p> <ul style="list-style-type: none"> <li>› plans and working drawings</li> <li>› computer model</li> <li>› animation of model output</li> <li>› photograph or digital image</li> <li>› video recording</li> </ul>

Research output type	Evidence for examining ERE Outputs
	<ul style="list-style-type: none"> <li>› interactive and active website, including downloads</li> <li>› electronic copy of an output, for example, journal article, conference paper.</li> </ul> <p>Physical models may not be submitted.</p>
<b><i>Exhibition/curatorial exercise</i></b>	<p>A video or documentary photographs of the exhibition.</p> <p><b>Supporting information</b> Electronic copies of accompanying publications including lists of works, room brochures and exhibition catalogues.</p> <p>An electronic copy of any independent associated written documentation. This must include the creator(s), dates of the exhibition, title of the exhibition and venue(s).</p> <p>If not included in the Description section of the EP, the written documentation must also comment on the scale and complexity of the exhibition and, if touring, the extent of the tour (national, international, number of venues and length of tour).</p>
<b><i>Dramatic and literary texts</i></b>	<p>Electronic copy of the output.</p>
<b><i>Film/video</i></b>	<p>A copy of the film or video (either whole or relevant parts).</p> <p><b>Supporting information</b> An electronic copy of any independent associated written documentation. This must include the creator(s), date of release or broadcast, role or roles, duration, basis of funding, commissioning body and distributor or broadcaster.</p> <p>If not included in the Description section of the EP, the written documentation must also comment on the scale and complexity of the film or video.</p>
<b><i>Performance</i></b>	<p>One or more of the following forms are acceptable:</p> <ul style="list-style-type: none"> <li>› audio or audio-visual recording</li> <li>› transcription, script or score</li> <li>› attestation of performance or associated written documentation, where appropriate, to authenticate a performance or describe the research.</li> </ul> <p><b>Supporting information</b> Electronic copies of accompanying independent publications including programmes.</p> <p>An electronic copy of any associated written documentation. This must include the performer(s), performing forces, date(s) of performance, title, venue(s), location and basis of funding.</p>

Research output type	Evidence for examining ERE Outputs
	If not included in the Description section of the EP, the written documentation must (where appropriate) also comment on whether it was a self-promoted concert or given under the auspices of an organisation (to be named), and whether it was recorded for broadcast or for commercial release (for example, a comment on the scale and complexity of the performance).

## Submitting ERE Outputs

The expected default is that ERE Outputs are submitted as electronic versions, either via direct link or by uploading to the TEC file-store. In circumstances where a submitting staff member believes that a digital version of a born-physical ERE Output will not enable full and fair assessment, or a digital version cannot otherwise be created, the physical output can be supplied.

The EP requires TEOs to identify how the ERE Output is being supplied. TEOs choose **one** of the three options, which are:

- › a **direct link** to an electronic version of the ERE Output to be examined. This could be a website, a filestore maintained by the TEO or an external filestore. The link must take the panel member directly to the ERE Output to be assessed not to a landing page that only includes a link to the ERE Output.
- › an **upload to the TEC's filestore** of an electronic version of the ERE Output to be examined.
- › where electronic submission is either not possible, or would be prejudicial to a fair and robust assessment, a **physical version** of the research output to be examined must be provided if requested by the panel member. TEOs must also provide the physical location of the research output if they choose this option.

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

For each EP, TEOs:

- › ensure ERE Outputs are provided digitally, except where this is not possible or would be prejudicial to fair assessment.
- › ensure any large video or sound files are identified. This will allow the panel members accessing the ERE Output to make sure they have high-quality internet access and latest versions of relevant software.
- › ensure that if a direct link is provided to an ERE Output, this link does not require the panel member to provide authentication, such as a membership or subscription to the website or login information. If this happens, the TEC will consider it an invalid evidence submission and panel members will not be required to assess that evidence.

The TEC and the panels' expectation is that ERE Outputs will be available electronically in the majority of cases. Reasonable exceptions may include:



- › the ERE Output is a physical artwork, object, or artefact etc and the submitting TEO does not have the capacity to provide a sufficiently high-quality audio-visual or digital documentation
- › the ERE Output is a physical artwork, object, or artefact etc that has sensory, spatial, or other aspects which cannot be effectively captured through audio-visual or digital documentation
- › the ERE Output is a physical artwork, object, artefact, installation, or building that is location-specific and which requires a site visit in order to be fairly assessed. Note that in such instances, the TEC may not be able to facilitate site visits that require significant travel or logistics. Staff members may wish to consider submitting other outputs.

*TEOs are responsible for providing URI links to a website or an external file store that remain a usable link to the ERE Output throughout the period of assessment.*

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

- › **[ERE Output Location and Name]**

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

- › **http:// [ERE Output Location and Name]**

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

- › **https:// [ERE Output Location and Name]**

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

**ftp:// [ERE Output Location and Name]**

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

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

### **Evidence of ERE Outputs and copyright**

The TEC has a copyright agreement through Copyright Licensing New Zealand. This agreement allows panel members to access, copy and reproduce ERE Outputs provided by the TEOs, for the purposes of Quality Evaluation 2026 only, without breaching copyright. All TEOs participating in Quality Evaluation 2026 will have a similar agreement with Copyright Licensing New Zealand. Any TEO that does not have an agreement in place will need to contact Copyright Licensing New Zealand.

*For some output types, such as film, music or games, TEOs will need to review other copyright agreements they hold. While the Copyright Act 1994 does allow for 'fair dealing' of copyright material in the case of review, these agreements may also allow sharing of segments of the output. TEOs need to consider these agreements when producing their ERE Output evidence. If segments of an*

*output are allowed, then it is important that the segment(s) are carefully chosen to effectively showcase the salient research aspects of the output.*

### Storing electronic documentation

Some subscription agreements require users to store publications in a dark archive.<sup>3</sup> TEOs can meet this requirement by storing ERE Outputs in a secure repository accessible only to the TEO staff responsible for maintaining the repository before transfer to the PBRF IT System (which is also a dark archive). TEOs must ensure that appropriate safeguards are in place to prevent any unauthorised access.

At the conclusion of Quality Evaluation 2026, all electronic copies of ERE Outputs held by either panellists or within the TEC's PBRF IT System will be destroyed. Physical copies will be returned to the TEO where requested.

### Sharing electronic documents

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

If TEOs are unable to resolve these types of concerns, possible options for providing evidence of ERE Outputs for Quality Evaluation 2026 include but are not limited to:

1. TEOs obtaining electronic versions of ERE Outputs directly from the authors. These can be stored in a dark archive as discussed above until uploaded to the PBRF IT System.
2. Some subscription agreements allow the TEO to source ERE Outputs through their libraries, and upload them to the PBRF IT System since it is a one-off assessment exercise and the documents will not be accessible to the wider academic staff. TEOs will need to review the terms and conditions of relevant agreements.
3. TEOs can provide physical copies of ERE Output evidence to the TEC on request as occurred during previous Quality Evaluations.

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

### Managing confidential research outputs

Confidential research outputs (for example, research outputs not considered as being in the public domain in a traditional sense) may be listed in an EP if the staff member and TEO can arrange all necessary permissions and make any other arrangements for panel members to access and examine those listed as ERE



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

<sup>3</sup> A dark archive in this context is a data storage archive where access to the data is limited to a set of a few individuals. The TEC's PBRF IT System is a dark archive because access is restricted by the TEC and the Ministry of Education, with logins only given to the TEO staff involved in coordinating their organisation's participation in the PBRF Quality Evaluation. The wider academic staff at individual TEOs cannot access any of the information uploaded to the PBRF IT System.

Outputs. They must also make it possible for the TEC to audit any research outputs included in the EP as required.

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

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

Confidential ERE Outputs can only be identified as a **physical version** of the research output to be assessed. The TEO must provide a hard copy or put them into USB flash drive format and courier them to the TEC. Confidential ERE Outputs cannot be emailed.

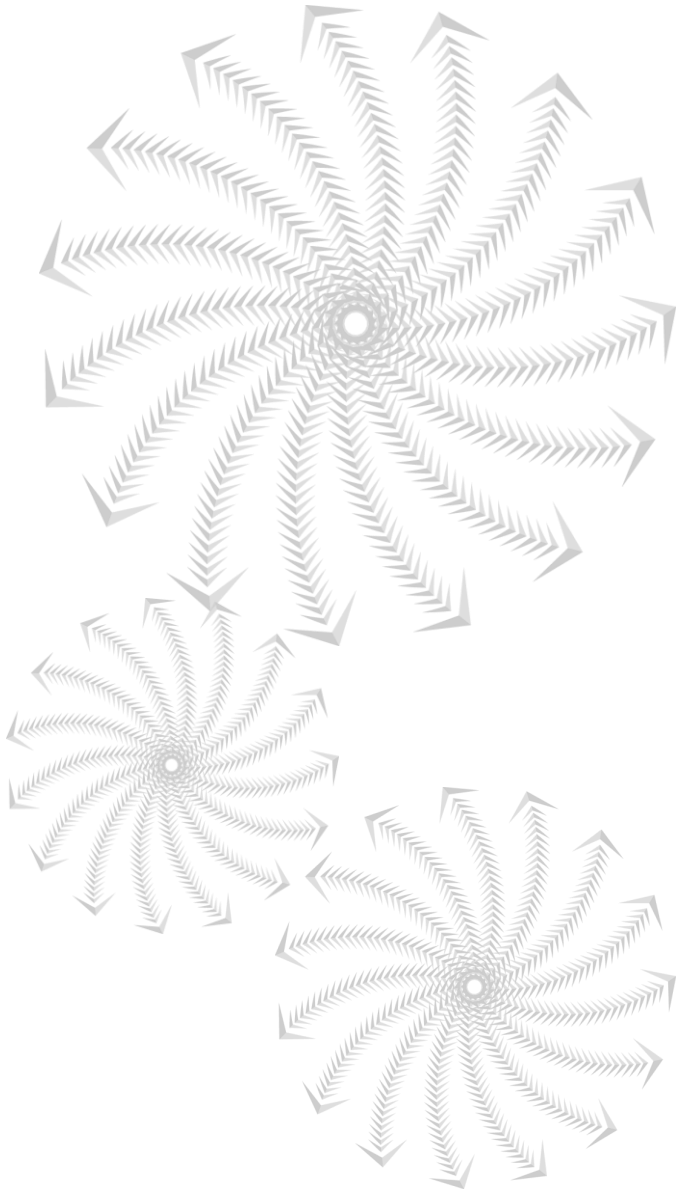
If the ERE Output identified as confidential research cannot be provided for either examination or audit, it cannot be included in the EP.

### Providing physical versions of ERE Outputs for assessment

If the TEO decides to provide a physical version of an ERE Output for assessment, this must be requested by the panel member if they choose to assess that output. These requests are provided through the PBRF IT System and do not identify the panel member requesting the ERE Output. Panellists must make any requests within 15 working days of assignment.

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

- › The TEO must provide the ERE Output to the TEC within 15 working days of receiving the request. If the ERE Output is not received within 15 working days the ERE Output will not be considered in the panel's assessment of the EP.
- › The TEO will pay the cost of supplying a requested ERE Output to the TEC.
- › TEOs must indicate whether copies of ERE Outputs they provide to the TEC need to be returned to them. The TEC will meet the costs of returning requested ERE Outputs to the TEO.
- › The TEC will insure a requested ERE Output between its arrival at the TEC and its return to the TEO to a maximum value of \$250 per research output. The TEO would need to decide if it insures any requested ERE Outputs that it values in excess of \$250.
- › If an ERE Output is lost or damaged during the assessment process or in transit back to the TEO, the TEO must advise the TEC as soon as the loss or damage has been identified.
- › If an ERE Output is lost in transit to the TEC, the TEO should pursue a claim through the courier company concerned.



# Quality Evaluation 2026

## Conflicts of interest

## Submitting conflict of interest notices for staff members

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

The TEC will only accept conflict of interest notices:

- › when they are submitted by a TEO
- › if the staff member has an Evidence Portfolio (EP) being assessed in Quality Evaluation 2026
- › the circumstances giving rise to the conflict fall within the conflict of interest policy.

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

### What is a conflict of interest?

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

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

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

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

The full conflict of interest policy can be found in the *Guidelines for the Quality Evaluation 2026 assessment process*.

### Submitting a conflict of interest notice

All notices must:

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

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

Notices that do not contain adequate information on the potential conflicts of interest or cite circumstances that do not meet the definition of a conflict of interest will be returned to the TEO. The TEO will have 10 working days to submit an updated notice.

Notices must be emailed to the TEC by **4.00pm 28 July 2026**:

Email: [PBRF.Help@tec.govt.nz](mailto:PBRF.Help@tec.govt.nz) with the subject line: 'PBRF Quality Evaluation 2026 - Conflict of interest notice'.

Notices received after this date will not be considered.

## Consideration of a conflict of interest notice

The Co-Chairs 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 Co-Chairs if required.

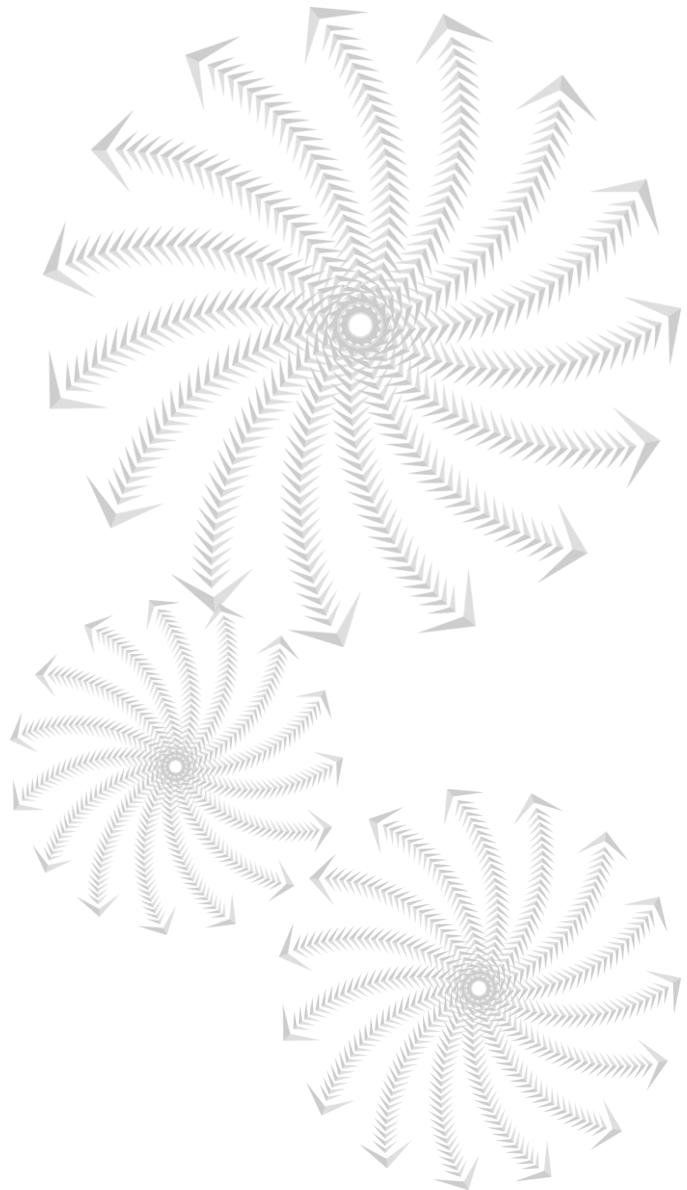
The Co-Chairs of the panel will then determine what action, if any, is required.

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

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

## Notification to tertiary education organisations

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



# 2026 Quality Evaluation

## What happens in the audit process?

## Auditing process for tertiary education organisations

The tertiary education organisation (TEO) audit process provides comfort that the PBRF guidelines have been consistently and correctly applied and that all information submitted for Quality Evaluation 2026 is accurate and reliable.

- › There are four phases in the TEO audit process. The timing of the TEO audits for Quality Evaluation 2026 is outlined in the table below.
- › All TEOs that are eligible to participate in Quality Evaluation 2026 will be contacted by the TEC's audit team.
- › A draft audit methodology has been released for feedback. See the TEC's website for more details.

Phase	Timing
<b>Process Assurance</b>	February to December 2025
<b>Declaration of the Vice-Chancellor/Chief Executive Officer</b>	No later than 4.00pm 13 July 2026
<b>Data Evaluation Audit (including follow up and escalation)</b>	July to December 2026
<b>Final Reporting</b>	February 2027

### Underpinning principles of the audit process

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

- › All TEOs will be subjected to the audit processes to ensure there is consistent application of the guidelines across participating TEOs.
- › All types of data submitted for the Quality Evaluation will be subject to audit and validation.
- › All TEOs (and their staff members) are expected to provide accurate data to the TEC.



*The TEC auditors recognise that different types of management practices, including systems, processes and controls, are used by those managing the Quality Evaluation process within their TEO to provide assurance to their Chief Executive or Vice Chancellor that they comply with the requirements of the PBRF.*

*These differing practices, from the TEC auditors' perspective, mean listing all the processes, controls and supporting evidence required to provide assurance is not possible. However, each TEO needs to ensure that it maintains the evidence and information it has used to make decisions about the eligibility of staff, research outputs and research contributions it submits. The TEC auditors will use this information and evidence as the basis of their audit reviews.*

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

## Objectives of the audit process

The objectives of Quality Evaluation 2026 TEO audit process are to:

- › provide comfort to the TEC that all participating TEOs are applying the guidelines in a transparent, fair, and consistent way that adheres to both the principles and letter of the guidelines
- › determine that TEOs have adequate systems and controls in place for:
  - ensuring their preparedness for Quality Evaluation 2026 round
  - determining the eligibility of staff
  - submitting Evidence Portfolios (EPs)
  - submitting the Declaration of the Vice-Chancellor/Chief Executive Officer
- › provide assurance to the TEC that the Examples of Research Excellence (ERE) and Contributions to the Research Environment (CRE) components of EPs, and staff data submitted by participating TEOs, are complete and accurate.

## Stages of the audit process

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

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

The detailed audit methodology for Quality Evaluation 2026 will be confirmed in November 2023 following sector consultation.

### Process Assurance audit

The Process Assurance audit will provide assurance to the TEC that TEOs have adequate systems and controls in place to ensure their preparedness for Quality Evaluation 2026. This audit will include a review of the systems and controls for:

- › determining the eligibility of those staff submitting EPs;

- › determining that the Achievement Relative to Opportunity framework has been correctly applied; and
- › submitting correct and accurate EPs, which will include items in both the ERE and CRE components.

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

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

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

### ***Declaration of the Vice-Chancellor/Chief Executive Officer***

The Chief Executive or Vice-Chancellor of each participating TEO must submit a declaration confirming they have taken all reasonable steps to ensure the accuracy of information contained in the EPs, the availability of evidence for assessment and audit, and the accuracy of assessment processes within the TEO.

This declaration specifically requests confirmation that:

- › the information within submitted EPs is complete, accurate and complies with the PBRF Quality Evaluation Guidelines
- › all participating staff members whose EPs are being submitted meet the requirements for participation in the PBRF
- › all EPs likely to receive a funded Quality Category have been submitted for assessment
- › all the Examples of Research Excellence items identified in the submitted EPs are available for inspection by the peer review panels if required
- › only staff members with legitimate circumstances have claimed the Researcher Circumstances provision
- › staff data on ethnicity has been collected and reported in line with the Privacy Act 2020.

TEO declarations must be emailed to the TEC no later than **4.00pm 13 July 2026**.

Email [PBRF.Help@tec.govt.nz](mailto:PBRF.Help@tec.govt.nz) with the subject line PBRF Quality Evaluation 2026 TEO declaration.

### **Data Evaluation audit**

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

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

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

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

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

### **Staff eligibility**

The staff eligibility audit will only look at those staff submitting EPs. TEOs will complete and submit the PBRF Staff Data file, along with their EPs, by **4.00pm 3 July 2026**. TEOs have until **4.00pm 9 July 2026** to correct any errors they have found.

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

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

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

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

### **Achievement Relative to Opportunity framework – submission options**

TEOs are required to have in place processes to determine submission requirements for staff under the Achievement Relative to Opportunity framework. The audit will consider TEO processes for determining:

- › Which staff meet the criteria to be New and Emerging
- › Which staff meet the criteria to be Part-Time and for validating the FTE of staff who then choose to submit fewer than three EREs
- › Which staff wish to declare Researcher Circumstances and for validating that the type and duration of circumstance/s are legitimate.

A key point is that these are optional accommodations.

New and Emerging and Part-Time staff have an option around how many EREs they submit. If a staff member has valid Researcher Circumstances they can opt not to declare those circumstances if they wish to submit three EREs instead.

Nonetheless, TEOs need robust and sensitive processes to ensure that where staff do have valid reasons for submitting fewer EREs, they can declare these and have validated the criteria.

The data audit will also consider a sample of staff members who:

- › Have been declared New and Emerging
- › Have been declared Part-Time

- › Have declared Researcher Circumstances. Only the type and duration of the circumstances will be verified.

Detailed information about Researcher Circumstances is not added to the EP or considered by the panel. The accommodation is that submitting fewer EREs will not disadvantage the staff member.

For determining New and Emerging researchers, TEOs would be expected to use information in CVs, job descriptions, and employment contracts to determine the date at which the staff member first met the definition of an independent researcher. Where such information is not sufficient, interviews with staff members will provide further information.

### **Research outputs**

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

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

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

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

Particular attention will be given to those aspects of the output where inaccurate information could affect perceptions of its quality (for example, the number of authors, location details, pagination). Particular attention will also be given to outputs that bear a date at the limits of the assessment period. Where publication dates appear to be outside the assessment period and no explanation has been supplied in the EP, the relevant research outputs will be investigated. A publisher's letter confirming the actual publication date may also be sought.

### **Research activities**

Items submitted as research activities in the ERE component (either as the Supplementary Items or OEREs) will be included in the TEO audit process. There are six types.

TEOs are not required to include evidence that supports research activities within the EP. A low proportion of research activity items will be sampled.

Where possible and relevant, the research activities data supplied by TEOs will be reviewed in comparison with other data, such as externally published reports.

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

### **Contributions to the Research Environment**

Items submitted in the CRE component will be included in the TEO audit process. There are now six types of CRE items, with the rest having migrated to the ERE Component as types of research activity that can be included as Supplementary Items and OEREs.

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

Where possible and relevant, the data supplied by TEOs will be reviewed in comparison with other data, such as externally published reports.

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

### **Panel members' concerns**

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

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

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

### **Nature and categories of errors**

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

#### **Major errors**

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

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

- › staff members not meeting the staff-eligibility criteria, for example:
  - not being continuously employed
  - being based overseas
  - being employed for less than the minimum FTE required
- › incorrect recording of a staff member's FTE
- › incorrect application of the New and Emerging Researcher criteria
- › the final version of a research output being publicly available outside the assessment period for Quality Evaluation 2026
- › a research output not being authored by the person who submitted the relevant EP
- › no evidence confirming the research output's existence
- › a research output that does not meet the PBRF Definition of Research

- › a research activity or CRE item cannot be attributed to the staff member submitting the EP
- › a research activity or contribution occurring outside the assessment period for Quality Evaluation 2026.

### **Minor errors**

Minor errors are those that may materially affect a panel member's judgements on the quality of the Evidence Portfolio.

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

- › incorrect assessment under the ARO framework leading to the EP containing fewer EREs than required
- › failure to include the names or contributions of co-authors, or both
- › misrepresentation of the contribution of the submitting staff member to a research output, activity, or contribution
- › a research output that is virtually identical to other research outputs submitted in the EP
- › identification of research outputs as quality-assured when they are not
- › incorrect classification of a research output type.

## Process for managing potential errors

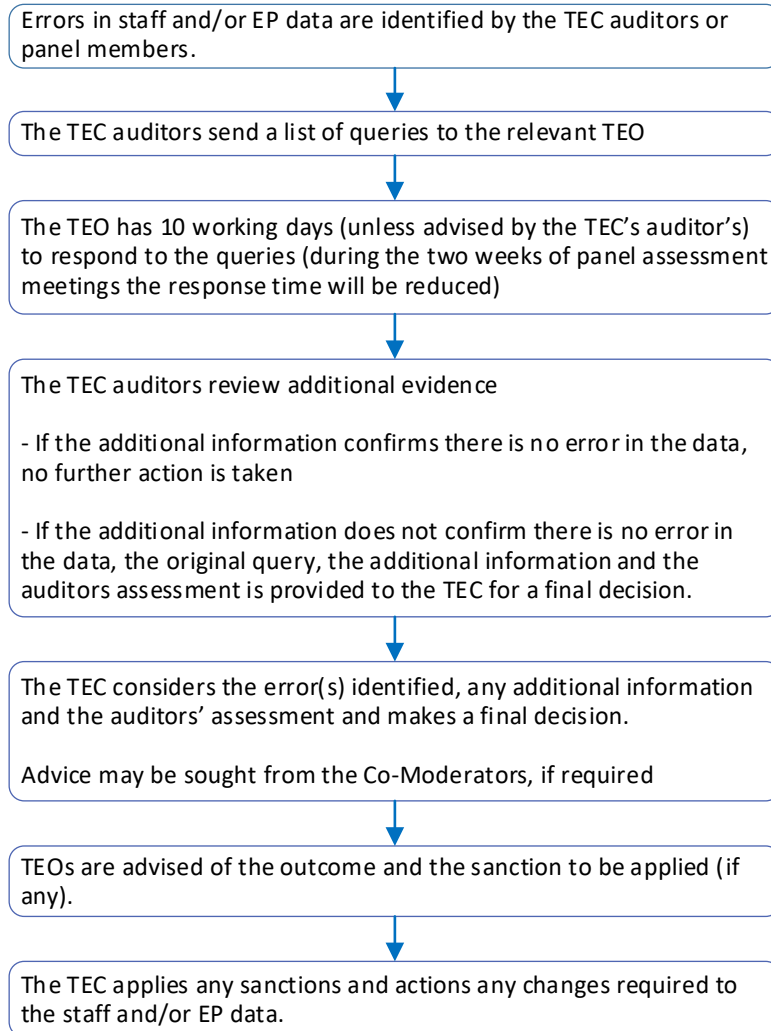


**The summary of the outcomes of the process for managing potential errors** will be included on the TEC’s TEO Information Site to ensure that issues are understood and decisions are transparent.

Information on this process and the outcomes will also be included in the reporting on the audit process.

No confidential information will be provided.

The following process will be used to manage potential errors in data submitted to Quality Evaluation 2026.



If the error rate is significant, for example errors are found in numerous EPs or relate to several research outputs, research activities, and/or CRE items, or to multiple cases of staff eligibility, then a further examination will be undertaken of other information submitted by that TEO.

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

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

## Actions

The TEC will determine if and when actions are taken that affect TEOs. The following three principles will apply:

1. The final decision on audit actions will be the responsibility of the TEC, with advice sought from the Co-Moderators as required.
2. Actions will vary according to the magnitude and nature of the issue.
3. In the event that actions are taken, their main impact will be to reduce a TEO's potential PBRF revenue.

It is not possible to identify in advance every situation where action may taken. The following tables, however, shows actions that will be taken in relation to some possible 'major' and 'minor' errors.

Major Errors	Action	Consequence
Staff member is found to be not eligible to participate in the Quality Evaluation.	<ul style="list-style-type: none"> <li>› EP withdrawn from the assessment process.</li> <li>› The error would be reported.</li> </ul>	<ul style="list-style-type: none"> <li>› EP not included in assessment and/or when calculating funding or reported results.</li> </ul>
An item in the EP is found to be ineligible for inclusion in the Quality Evaluation. For example, an item was produced or occurred outside the assessment period, if its existence can't be confirmed, if it has a different author/producer, or (for research outputs) because it fails to meet the PBRF Definition of Research.	<ul style="list-style-type: none"> <li>› The item will not be assessed.</li> <li>› The TEO will not be able to submit a replacement item.</li> <li>› The error would be reported.</li> </ul>	<ul style="list-style-type: none"> <li>› The exclusion of the item may affect the Quality Category assigned to the EP.</li> <li>› A lower Quality Category score will reduce the revenue a TEO receives from the Quality Evaluation.</li> </ul>
Systemic errors or lack of confidence in the data supplied by a TEO.	<ul style="list-style-type: none"> <li>› Further investigation of errors by TEC and auditors</li> <li>› Errors would be reported.</li> </ul>	<ul style="list-style-type: none"> <li>› Possible exclusion of all EPs submitted by that TEO from the Quality Evaluation process.</li> </ul>
Incorrect recording of a staff member's FTE	<ul style="list-style-type: none"> <li>› TEC will correct the data.</li> <li>› The error would be reported.</li> </ul>	<ul style="list-style-type: none"> <li>› This error would affect the TEO's PBRF revenue.</li> </ul>
Incorrectly assigning New and Emerging Researcher status to a staff member	<ul style="list-style-type: none"> <li>› New and Emerging Researcher status removed from the individual</li> <li>› The error would be reported.</li> </ul>	<ul style="list-style-type: none"> <li>› The staff member's EP would not be eligible for the C(NE) or the R(NE) Quality Categories.</li> <li>› The EP would remain in the assessment process and would be eligible for the other Quality Categories (A, B, C and R).</li> <li>› This error would affect the TEO's PBRF revenue.</li> </ul>



Minor Errors	Action	Consequence
A staff member is incorrectly declared as New and Emerging, Part-Time, and/or as having experienced Research Circumstances, and submits fewer than three EREs as a consequence	<ul style="list-style-type: none"> <li>› The error would be reported.</li> <li>› The panel member would be advised that the EP has an incorrect number of EREs.</li> </ul>	<ul style="list-style-type: none"> <li>› The staff member may have chosen to include different items in their EP had they been aware they needed to submit 3 EREs.</li> </ul>
Incorrect classification of research output type	<ul style="list-style-type: none"> <li>› The error would be reported.</li> </ul>	<ul style="list-style-type: none"> <li>› May affect a panel member's judgements on the quality of the EP</li> </ul>
A research output that is virtually identical to other research outputs submitted in the EP	<ul style="list-style-type: none"> <li>› The error would be reported.</li> </ul>	<ul style="list-style-type: none"> <li>› May affect a panel member's judgements on the quality of the EP</li> </ul>
Identification of research outputs as quality assured when they are not	<ul style="list-style-type: none"> <li>› The error would be reported.</li> </ul>	<ul style="list-style-type: none"> <li>› May affect a panel member's judgements on the quality of the EP</li> </ul>
Failure to include the names or contributions of co-authors, or both	<p>Depending on the specific details:</p> <ul style="list-style-type: none"> <li>› The error would be reported.</li> <li>› Item/s could be removed from the EP/not assessed</li> </ul>	<ul style="list-style-type: none"> <li>› EP has missing item/s</li> <li>› The exclusion of the research output may affect the Quality Category assigned to the EP.</li> <li>› A lower Quality Category score will reduce the revenue a TEO receives from the Quality Evaluation.</li> </ul>
Misrepresentation of the contribution of the submitting staff member to a research output, research activity, or CRE item.	<p>Depending on the specific details:</p> <ul style="list-style-type: none"> <li>› The error would be reported</li> <li>› Item/s could be removed from the EP/not assessed, or</li> <li>› If this relates to multiple items, the EP may not be assessed</li> </ul>	<ul style="list-style-type: none"> <li>› Depending on the specific details:</li> <li>› The exclusion of the item may affect the Quality Category assigned to the EP.</li> <li>› A lower Quality Category score will reduce the revenue a TEO receives from the Quality Evaluation.</li> </ul>

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

## Reporting of audits

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

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

## Evidence required for audit

### Audit of outputs

There are minimum evidence requirements for the audit of an ERE Output, Supplementary Item, or OERE. Evidence of publication and public dissemination details must be available for any listed item.

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

### Evidence for ERE Outputs

In many cases, the evidence required for assessment and audit of an ERE Output can be met by a single item or file (for example, books usually contain an imprint showing publication date, authorship, title, place of publication and pagination).

In other cases, the full copy of the research provided may meet the needs of panel reviewers assessing quality, but not the needs of auditors confirming eligibility. For instance, a journal article may provide the content, but either has no evidence of the date of publication or there is a variance in the dates (such as, an earlier online publication date when compared with the imprint date relating to the physical publication).

In this case, further evidence would be required if the ERE Output was subject to audit. This could be in the form of a copy of the page(s) of the output, which provides evidence of publication details (for example, date, title, authorship and pagination), or some other form of independent evidence (such as a library catalogue listing), and would need to accompany the full copy of the output.

### Evidence for Supplementary Items and OERs

For Supplementary Items and OERs, a full copy of the research is not needed, but confirmation of eligibility is needed. For example, if a chapter in a book is submitted, a copy of the pages of the book that provide evidence of the chapter's bibliographic details would be required for audit.

#### *Evidence needed for audit of Supplementary Items and OERs*

Research output type	Independent confirmation of:	Can usually be provided by:
<b>Authored Book</b>	<ul style="list-style-type: none"> <li>› Date of first publication</li> <li>› Authorship</li> <li>› Pagination</li> <li>› Title</li> <li>› Publisher</li> </ul>	<ul style="list-style-type: none"> <li>› An electronic copy of the book's title page and bibliographic details</li> <li>› A library catalogue record</li> <li>› A letter from the publisher</li> </ul>

Research output type	Independent confirmation of:	Can usually be provided by:
<b>Chapter in Book</b>	<ul style="list-style-type: none"> <li>› Date of first publication</li> <li>› Authorship</li> <li>› Pagination</li> <li>› Title of book</li> <li>› Title of chapter</li> <li>› Editor/s</li> <li>› Publisher</li> </ul>	<ul style="list-style-type: none"> <li>› An electronic copy of the book's title page and bibliographic details</li> <li>› A library catalogue record</li> <li>› A letter from the publisher</li> </ul>
<b>Conference Contribution – Other</b>  <b>Conference Contribution – Published</b>	<ul style="list-style-type: none"> <li>› Date of first presentation /publication</li> <li>› Authorship</li> <li>› Pagination</li> <li>› Title of paper</li> <li>› Title of proceedings</li> <li>› Publisher</li> <li>› Editors (where appropriate)</li> </ul>	<ul style="list-style-type: none"> <li>› Conference programme<sup>4</sup></li> <li>› Letter from conference organisers</li> </ul>
<b>Discussion/ Working Paper</b>	<ul style="list-style-type: none"> <li>› Date of first publication</li> <li>› Authorship</li> <li>› Pagination</li> <li>› Title</li> <li>› Publisher</li> <li>› Venue (if applicable).</li> </ul>	<ul style="list-style-type: none"> <li>› An electronic copy of paper's title page and bibliographic details</li> <li>› A library catalogue entry</li> </ul>
<b>Edited Volume</b>	<ul style="list-style-type: none"> <li>› Date of first publication</li> <li>› Editorship</li> <li>› Pagination</li> <li>› Title</li> <li>› Publisher</li> </ul>	<ul style="list-style-type: none"> <li>› An electronic copy of the book's title page and bibliographic details</li> <li>› A library catalogue record</li> <li>› A letter from the publisher</li> </ul>
<b>Intellectual Property</b>	<ul style="list-style-type: none"> <li>› Date of first public availability</li> <li>› Role (for example, inventor)</li> <li>› Granting of patent or trademark</li> </ul>	<ul style="list-style-type: none"> <li>› Letter from granting body</li> <li>› Official online listing</li> </ul>
<b>Journal Article</b>	<ul style="list-style-type: none"> <li>› Date of first publication</li> <li>› Authorship</li> <li>› Pagination</li> <li>› Title</li> <li>› Journal title</li> </ul>	<ul style="list-style-type: none"> <li>› An electronic copy of the journal's bibliographic details or contents page, or both (where applicable)</li> <li>› A library catalogue record</li> <li>› A record on the journal's web page listing</li> <li>› A record in a major bibliographic database</li> </ul>

<sup>4</sup> For **Conference Contribution – Other**, the listing of the output in conference handbook, programme or website, along with date and authorship would be applicable. TEOs may also need to verify, on request of the auditors that an output listed as **Conference Contribution – Other** occurred. For example, if a staff member withdraws without presenting at the conference, they may be named on the programme but the output itself would not have occurred.

Research output type	Independent confirmation of:	Can usually be provided by:
		source such as Web of Science
<b>Oral Presentation</b>	<ul style="list-style-type: none"> <li>› Date of first presentation</li> <li>› Authorship (Presenter)</li> <li>› Title of paper</li> <li>› Venue</li> </ul>	<ul style="list-style-type: none"> <li>› Letter from venue or organiser</li> <li>› Press story or review</li> <li>› Electronic copy of attestation by a scholar of acknowledged repute, either in Aotearoa New Zealand or elsewhere (for example, the scholar may be an eminent kaumātua or an academically credentialed expert).</li> </ul>
<b>Products and Processes</b>	<ul style="list-style-type: none"> <li>› Date of first publication/presentation</li> <li>› Authorship or role</li> <li>› Title/name</li> <li>› Commissioning body or sponsor</li> <li>› Scale, if this is claimed as an indicator of quality in the EP.</li> <li>› Basis of funding, if this is claimed as an indicator of quality in the EP</li> </ul>	<ul style="list-style-type: none"> <li>› An electronic copy of the output's title page and bibliographic details</li> <li>› Letter from commissioning and/or granting body or sponsor</li> <li>› Press story or review</li> <li>› Official online listing</li> </ul>
<b>Other Form of Assessable Output</b>	<ul style="list-style-type: none"> <li>› Date of first presentation /publication</li> <li>› Authorship contribution</li> <li>› Pagination (if applicable)</li> <li>› Title</li> <li>› Publisher or Venue (if applicable)</li> </ul>	For any other research output that is not listed above, the onus is on the staff member to provide research outputs in forms that can be reviewed by an auditor to verify that the information in the EP is correct and the output meets the PBRF Definition of Research.
<b>Report</b>	<ul style="list-style-type: none"> <li>› Date of first publication</li> <li>› Authorship</li> <li>› Title</li> <li>› Pagination</li> <li>› Commissioning body where appropriate</li> </ul>	<ul style="list-style-type: none"> <li>› An electronic copy of the report's title page and bibliographic details</li> <li>› Letter from commissioning body</li> <li>› Letter from sponsoring organisation</li> <li>› Online record on web page of commissioning body</li> <li>› A library catalogue record</li> </ul>

Research output type	Independent confirmation of:	Can usually be provided by:
<b>Scholarly Edition/ Literary Translation</b>	<ul style="list-style-type: none"> <li>› Date of first publication</li> <li>› Authorship</li> <li>› Pagination</li> <li>› Title</li> <li>› Publisher</li> </ul>	<ul style="list-style-type: none"> <li>› An electronic copy of the book's title page and bibliographic details</li> <li>› A library catalogue record</li> <li>› A letter from the publisher</li> </ul>
<b>Software</b>	<ul style="list-style-type: none"> <li>› Date of first publication</li> <li>› Authorship</li> <li>› Title</li> <li>› Publisher, if relevant</li> <li>› Scale, if this is claimed as an indicator of quality in the EP.</li> </ul>	<ul style="list-style-type: none"> <li>› Software documentation</li> <li>› Record on publisher website</li> <li>› Letter from publisher or distributor</li> </ul>
<b>Thesis</b>	<ul style="list-style-type: none"> <li>› Date of first publication</li> <li>› Authorship</li> <li>› Title</li> <li>› Awarding institution</li> <li>› Degree (for example, Master's, PhD, or other professional qualification).</li> </ul>	<ul style="list-style-type: none"> <li>› An electronic copy of the title page for the thesis and bibliographic details</li> <li>› A library catalogue record</li> </ul>

*Evidence needed for audit of Supplementary Items and OERs – Creative Work*

Research output type	Independent confirmation of:	Can usually be provided by:
<b>Artwork, Artefact, object, craftwork</b>	<ul style="list-style-type: none"> <li>› Date of work's first public availability</li> <li>› Authorship or contribution</li> <li>› Title</li> <li>› Venue, if applicable</li> <li>› Scale, if this is claimed as an indicator of quality in the EP</li> </ul>	<ul style="list-style-type: none"> <li>› Programme</li> <li>› Letter from gallery</li> <li>› Press story or review</li> </ul>
<b>Composition</b>	<ul style="list-style-type: none"> <li>› Date of work's first public availability</li> <li>› Authorship or contribution</li> <li>› Title</li> <li>› Venue (for performances)</li> <li>› Publisher (for scores) if applicable</li> <li>› Scale, if this is claimed as an indicator of quality in the EP</li> </ul>	<ul style="list-style-type: none"> <li>› Documentation that confirms the details listed as information required for auditing.</li> </ul>
<b>Design output</b>	<ul style="list-style-type: none"> <li>› Date of work's first public availability (opening and closing dates if applicable)</li> <li>› Authorship or contribution</li> <li>› Title</li> <li>› Pagination (if published in a book or catalogue)</li> <li>› Venue (for example, where published or made available)</li> </ul>	<p>Documentation that confirms the details listed as information required for auditing.</p> <p>Depending on where design was published, one or more of the following may be acceptable:</p>

Research output type	Independent confirmation of:	Can usually be provided by:
	<ul style="list-style-type: none"> <li>› Sponsor or commissioner if applicable</li> <li>› Scale, if this is claimed as an indicator of quality in the EP</li> <li>› Publisher (if published in a book or catalogue)</li> <li>› Editors (if published in a book or catalogue and applicable)</li> </ul>	<ul style="list-style-type: none"> <li>› If published in a book: copy of imprint, table of contents and so on, or a catalogue entry.</li> <li>› If exhibited: exhibition programme or letter from a gallery.</li> <li>› A letter from a sponsor or commissioner confirming submitted details</li> </ul>
<b><i>Exhibition/curatorial exercise</i></b>	<ul style="list-style-type: none"> <li>› Date of work's first public availability (opening and closing dates if applicable)</li> <li>› Authorship or contribution</li> <li>› Title</li> <li>› Venue (for example, gallery)</li> <li>› Sponsor or commissioner if applicable</li> <li>› Scale, if this is claimed as an indicator of quality in the EP</li> </ul>	<ul style="list-style-type: none"> <li>› Catalogue or similar documentation</li> <li>› A letter from a sponsor or commissioner</li> <li>› Letter from gallery</li> <li>› Press story or review</li> </ul>
<b><i>Dramatic and literary texts</i></b>	<ul style="list-style-type: none"> <li>› Date of first publication</li> <li>› Authorship</li> <li>› Title</li> <li>› Pagination</li> <li>› Publisher</li> </ul>	<ul style="list-style-type: none"> <li>› An electronic copy of the output's bibliographic details</li> <li>› A library catalogue record</li> <li>› A letter from the publisher</li> </ul>
<b><i>Film/video</i></b>	<ul style="list-style-type: none"> <li>› Date of work's first public availability (release or broadcast)</li> <li>› Authorship or contribution - creator(s) and role(s) (for example, evidence that the person claiming the work was involved, and any co-contributors are adequately listed)</li> <li>› Title</li> <li>› Duration</li> <li>› Broadcaster</li> <li>› Scale, if this is claimed as an indicator of quality in the EP</li> </ul>	<ul style="list-style-type: none"> <li>› A library catalogue listing</li> <li>› A letter from the broadcaster</li> <li>› Information provided on a page where the work is hosted online, or within the work itself</li> </ul>

Research output type	Independent confirmation of:	Can usually be provided by:
<b>Performance</b>	<ul style="list-style-type: none"> <li>› Date of work's first public availability (including opening and closing dates if applicable)</li> <li>› Authorship or contribution - role of person claiming the performance as a research output</li> <li>› Title</li> <li>› Venue or location</li> <li>› Basis of funding, if this is claimed as an indicator of quality in the EP</li> <li>› Scale, if this is claimed as an indicator of quality in the EP</li> </ul>	<ul style="list-style-type: none"> <li>› Theatre programme</li> <li>› Letter from producer</li> <li>› Press story or review</li> </ul>

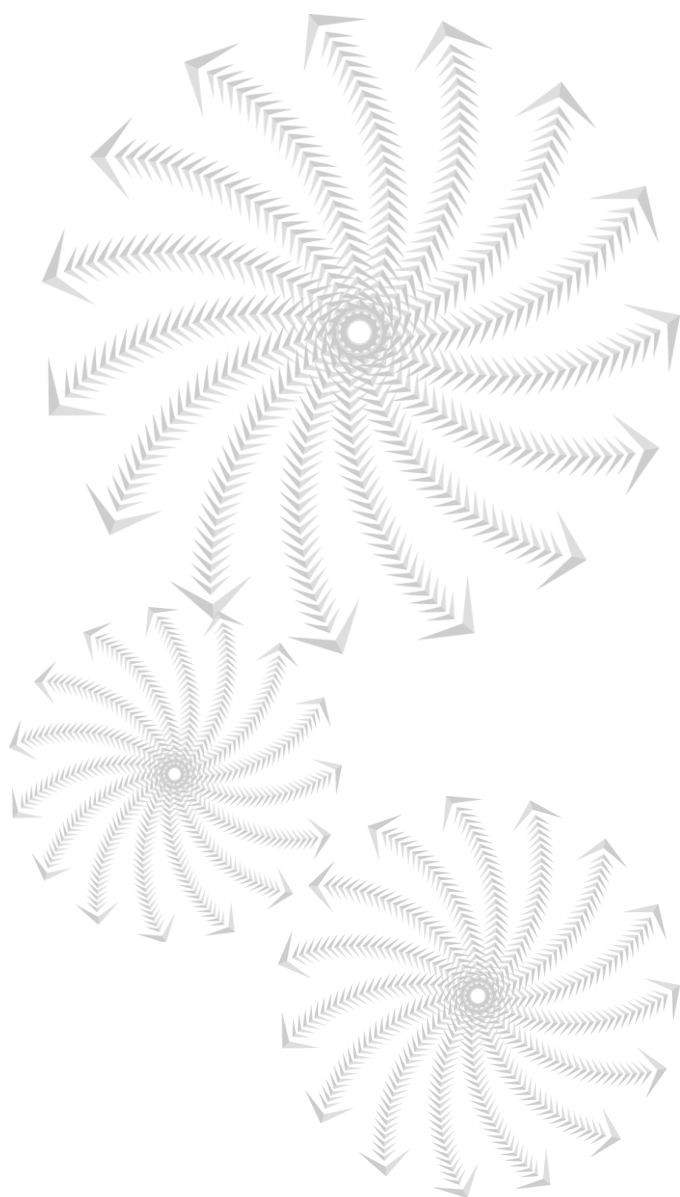
## Evidence required for audit of research activities and CRE items

The evidence required for research activities and CRE component items must be sufficient to validate that the item:

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

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

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



# 2026 Quality Evaluation

## How will the results be reported?



# Reporting the results of Quality Evaluation 2026



## The main changes to reporting for Quality Evaluation 2026 are:

- › removal of the Average Quality Scores (AQS)
- › a focus on the areas where changes have been made to the PBRF, such as for Māori and Pacific researchers and research, and the Achievement Relative to Opportunity framework.

Public reporting of Quality Evaluation 2026 results ensures access to a wide range of information relating to the research performance and activities of participating tertiary education organisations (TEOs).

It also improves the ability of stakeholders such as students and potential students, research funders and providers, the Government, and business to make informed decisions. For instance, the reporting of results can help students in making choices about where to study, particularly at the research-degree level.

## Purpose of reporting

The purpose of reporting the results of Quality Evaluation 2026 is:

- › to support accurate understanding of the outcomes of the Quality Evaluation
- › to provide meaningful information that is of value to the sector
- › to make the results accessible to a wide general audience.

## Principles underpinning the reporting framework

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

- › protecting the confidentiality of an individual staff member's Quality Categories
- › maintaining the confidence and cooperation of the academic community
- › minimising transaction and compliance costs
- › providing an incentive for the consistent application of the framework by all TEOs
- › contributing to international benchmarking of research performance within disciplines (as a tool to inform specific policy and funding decisions)
- › protecting the integrity of long-established academic disciplines while also recognising emerging disciplines and multidisciplinary subject areas
- › having a sufficient level of disaggregation so that the Quality Categories and other published information are useful and meaningful for accountability purposes and for relevant stakeholders (for example, students, research funders)
- › adopting a consistent reporting framework that can facilitate comparisons over time (where possible)
- › providing the information necessary for evaluating the implementation of the PBRF and its impacts on the tertiary education sector (where possible).

## Reporting on Quality Evaluation 2026

After Quality Evaluation 2026, an interim report on the overall results will be prepared and publicly released, alongside data visualisations and infographics. Included in the suite of outputs will be the following information:

- › a summary of the Quality Evaluation process
- › commentary on the major findings including on changes to the design of the Quality Evaluation
- › a detailed description of the results and projected funding impacts
- › comparative information from 2003, 2006, 2012, and 2018 Quality Evaluations.

Final reporting outputs, including the written report, will be publicly released following the completion of the complaints process. This will update any results or funding that may have changed if a complaint is upheld.

### Information to be included in the reporting outputs

The results of Quality Evaluation 2026 will be reported at the following levels:

- › participating TEO
- › peer review panel
- › subject area at the aggregate level
- › subject area at the TEO level
- › academic unit nominated by participating TEOs
- › Field of Research, if ANZSRC codes are adopted
- › demographic data including ethnicity, gender, age and full-time versus part-time staff.

Only the Quality Category results of staff members who met the PBRF-eligibility criteria (PBRF eligible) and whose Evidence Portfolios (EPs) were assigned a **funded Quality Category** are included in the reporting of results for Quality Evaluation 2026.

The nature of the results reported will vary according to the reporting level (for example, by TEO or subject area).

- › Subject area results at a TEO level will have a 7.0 full-time equivalent (FTE) threshold applied to protect individuals' privacy.
- › Academic units that do not meet the threshold of 7.0 FTEs will be reported under a separate category of 'Other'.
- › Staff data are weighted on an FTE basis when reporting the results of the Quality Evaluation.

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

The table below outlines the data included in each output and a short description:

Output	Data	Description
<b>2026 Results Report and supplemental reports</b>	<ul style="list-style-type: none"> <li>› The annual funding allocated to each participating TEO via the PBRF for the: <ul style="list-style-type: none"> <li>– Quality Evaluation</li> <li>– Research Degree Completion measure</li> <li>– External Research Income measure.</li> </ul> </li> <li>› Number and proportion of staff members (weighted on an FTE basis) whose EP received a funded Quality Category by: <ul style="list-style-type: none"> <li>– TEO</li> <li>– panel</li> <li>– subject area.</li> </ul> </li> <li>› Reporting on the changes introduced to the Quality Evaluation.</li> <li>› Demographic information.</li> </ul>	<p>The <b>Results Report</b> will take a sector-wide approach, providing an overview of research quality at a system level. It will continue to illustrate the distribution of funded Quality Categories and provide an analysis of trends over the five rounds.</p> <p>The supplemental reports will include:</p> <p>A <b>process report</b>: focus on how Quality Evaluation 2026 was run, noting any changes and the impact of these between 2018 and 2026.</p> <p><b>Peer review panel reports</b>: the panels' observations on the subject areas and research performance and comments on the differences between the distribution of Quality Categories for different subject areas.</p> <p>The <b>moderation panel's report</b>: recommendations for the TEC Board and a brief discussion of the recommendations from each panel highlighting any issues of significance.</p>
<b>Data visualisation tool (TEO only)</b>	<ul style="list-style-type: none"> <li>› Number and proportion of staff members (weighted on an FTE basis) whose EP received a funded Quality Category by: <ul style="list-style-type: none"> <li>– TEO</li> <li>– panel</li> <li>– subject area – aggregate and TEO level</li> <li>– nominated academic unit</li> </ul> </li> <li>› Demographic information.</li> <li>› Similar data set from 2003, 2006, 2012, and 2018 rounds.</li> </ul>	<p>An online business tool that allows TEOs to analyse their own data.</p> <p>It is designed to allow TEOs to make comparisons across sectors and years, and includes functionality to download the data set.</p>
<b>Data visualisation tool (public)</b>	<ul style="list-style-type: none"> <li>› Number and proportion of staff members (weighted on an FTE basis) whose EP received a funded Quality Categories by: <ul style="list-style-type: none"> <li>– TEO</li> </ul> </li> </ul>	<p>The public application will be an executive summary of the more detailed data available to TEOs.</p>

Output	Data	Description
	<ul style="list-style-type: none"> <li>– panel</li> <li>– subject area.</li> <li>› Demographic information.</li> <li>› Similar data set from 2003, 2006, 2012, and 2018 rounds.</li> </ul>	Includes functionality to filter and analyse the main data set.
<b>Results infographics</b>	<p>Historic infographic:</p> <ul style="list-style-type: none"> <li>› results from 2003, 2006, 2012, 2018</li> <li>› Demographic information</li> <li>› Distribution of funded Quality Categories by panel</li> <li>› Summary EP information (for example, total number of EPs submitted).</li> </ul> <p>2026 infographics:</p> <ul style="list-style-type: none"> <li>› Summary per TEO and/or subsector overview</li> <li>› Funding allocated via the Quality Evaluation</li> <li>› Demographic information</li> <li>› Distribution of funded Quality Categories by panel and subject area.</li> </ul>	1-to-2-page visuals that provide summary information on the results of the Quality Evaluations.

### Highlighting changes to the design of the Quality Evaluation

Reporting on the results of the Quality Evaluation will include a focus on how changes to the design have affected the process and outcomes.

This will include information on:

- › the introduction of new ethnicity and panel weightings, such as:
  - the number of EPs submitted by Māori researchers
  - the number of EPs submitted to the Mātauranga Māori panel
  - the number of EPs submitted by Pacific researchers
  - the number of EPs submitted to the Pacific Research panel
- › how the new definitions of research, excellence, and impact and new Quality Category descriptors have affected diversity and broader recognition of excellence, such as:

- how many and what types of Research Activities are submitted in EPs, both as Supplementary Items in EREs and as OEREs
  - how many and what types of CRE types are included in EPs
  - the number of EPs submitted by Māori researchers (as above)
  - the number of EPs and EREs submitted in Te Reo Māori
  - panel selection by Māori researchers
  - the distribution of scoring for Māori researchers
  - the number of EPs submitted by Pacific researchers (as above)
  - panel selection by Pacific researchers
  - the distribution of scoring for Pacific researchers
- › the new elements of the design of EPs and the underpinning process introduced by the Achievement Relative to Opportunity framework by reporting:
    - any differences in the number of EREs and Supplementary Items submitted between groups with different or flexible submission requirements. This would include uptake of the option of reduced submission requirements for New and Emerging Researchers and researchers in Part-Time roles
    - any differences compared to previous rounds in the final score distribution for New and Emerging Researchers, researchers in Part-Time roles, female researchers, Māori researchers, and Pacific researchers, and researchers who have declared Researcher Circumstances
    - any changes to the number/proportion of researchers meeting the new definition of a New and Emerging Researcher
    - any changes to the number/proportion of researchers declaring Researcher Circumstances compared to the previous Extraordinary Circumstances option
  - › how changes to the cross-referral process have worked given the changes made to this process and to panels – i.e., the new Co-Chairing arrangements and changes to panel weightings
  - › panel composition diversity
  - › Co-chairing arrangements in the Moderation team and peer review panels.

### **Additional information on how the results will be presented**

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

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

- › private training establishments
- › Te Pūkenga
- › universities
- › wānanga.

## Reporting PBRF funding allocations

Reporting on Quality Evaluation 2026 will include information on funding allocations. PBRF allocations are based on the results of all three PBRF components:

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

### Formula and calculations for the Quality Evaluation

Allocations for the Quality Evaluation component are based on:

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

#### Formula for Quality Evaluation funding

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

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

×

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

### Funded Quality Category weightings

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

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

### Subject-area weighting

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

Subject area	Weighting
Law; history, history of art, classics and curatorial studies; English language and literature; foreign languages and linguistics; philosophy; religious studies and theology; political science, international relations and public policy; human geography; sociology, social policy, social work, criminology and gender studies; anthropology and archaeology; communications, journalism and media studies; education; pure and applied mathematics; statistics; management, human resources, industrial relations, international business and other business; accounting and finance; marketing and tourism; economics.	1
Psychology; chemistry; physics; earth sciences; molecular, cellular and whole organism biology; ecology, evolution and behaviour; computer science, information technology, information sciences; nursing; sport and exercise science; other health studies (including rehabilitation therapies); music, literary arts and other arts; visual arts and crafts; theatre and dance, film and television and multimedia; and design.	2
Engineering and technology; agriculture and other applied biological sciences; architecture, design, planning, surveying; biomedical; clinical medicine; Pacific research; pharmacy; public health; veterinary studies and large animal science; and dentistry.	2.5
Mātauranga Māori (Māori knowledge and development)	3

The weightings for Mātauranga Māori and Pacific research will only apply to EPs submitted to these panels as their main panel. EPs submitted to other panels that are cross-referred to the Mātauranga Māori and Pacific Research panels will not receive these weightings.

Given the introduction of these higher funding weightings, EPs submitted to the Mātauranga Māori and the Pacific Research Panel will no longer have the higher weighting of any other relevant subject areas applied to them.

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

### **Weighting for FTE status of staff members**

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

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

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

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

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

## Individual staff members' Quality Categories

TEOs that have submitted EPs to Quality Evaluation 2026 will be notified of their results shortly before the public release in April 2027. Part of this will be a confidential report on the Quality Categories that the peer review panels have assigned to individual staff members from that TEO.

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

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

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

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



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



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

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

All participating TEOs are subject to the Privacy Act 2020. The Office of the Privacy Commissioner has provided advice that TEOs are unlikely to breach the Privacy Act as long as they are open and clearly articulate the reasons for collecting PBRF data and the purposes the information will be used for. This transparency can be achieved by a TEO's commitment to the recommended protocol provided, or by developing their own version based on those principles. The Tertiary Education Union has been consulted and supports the intent of this protocol, but it reserves the right to decline its support of institution-developed protocols if these differ markedly from the TEC-recommended protocol.

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

### Recommended protocol

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

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

*Advice must be given by TEOs to staff members, before their participation in Quality Evaluation 2026, that the TEO may use individual Quality Categories for these purposes. TEOs should ensure that no identification of individual Quality Categories can be made outside this small number of staff.*

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

- c. the TEO will not use individual Quality Categories for performance appraisals or for disciplinary action against staff.
7. The TEO will not divulge individuals' Quality Categories to any third party without the prior authorisation of the individuals concerned. In particular, the TEO will ensure that individual Quality Categories of staff, either employed by the TEO concerned or by another TEO, are not revealed through marketing or advertising activity initiated by the TEO.

## Staff requesting their own results

Individual staff members participating in Quality Evaluation 2026, and staff members who participated in previous Quality Evaluations, are able to request more detailed information on the assessment of the Evidence Portfolio (EP) submitted by their employing tertiary education organisation (TEO).

- › TEOs cannot request this information on behalf of their current or previous staff members.
- › A request form will be available to download from the TEC website in April 2027 or can be requested from a TEO's PBRF contact person.
- › Information for requesting Quality Evaluation results from previous rounds is available on the TEC website in the section [Researchers' requests for assessment information](#).

### Requesting results

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

The form must include the following information for the TEC:

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

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

## Submitting requests for results

The completed 'Request for Evidence Portfolio Information' form can be emailed or mailed to the TEC. Email customerservice@tec.govt.nz with the subject line 'PBRF Quality Evaluation results request'.

## Processing of requests

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

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

The TEC aims to process requests within 20 working days from receipt of the form. Requests for results from the 2003, 2006, 2012, and 2018 Quality Evaluations may take longer to process.

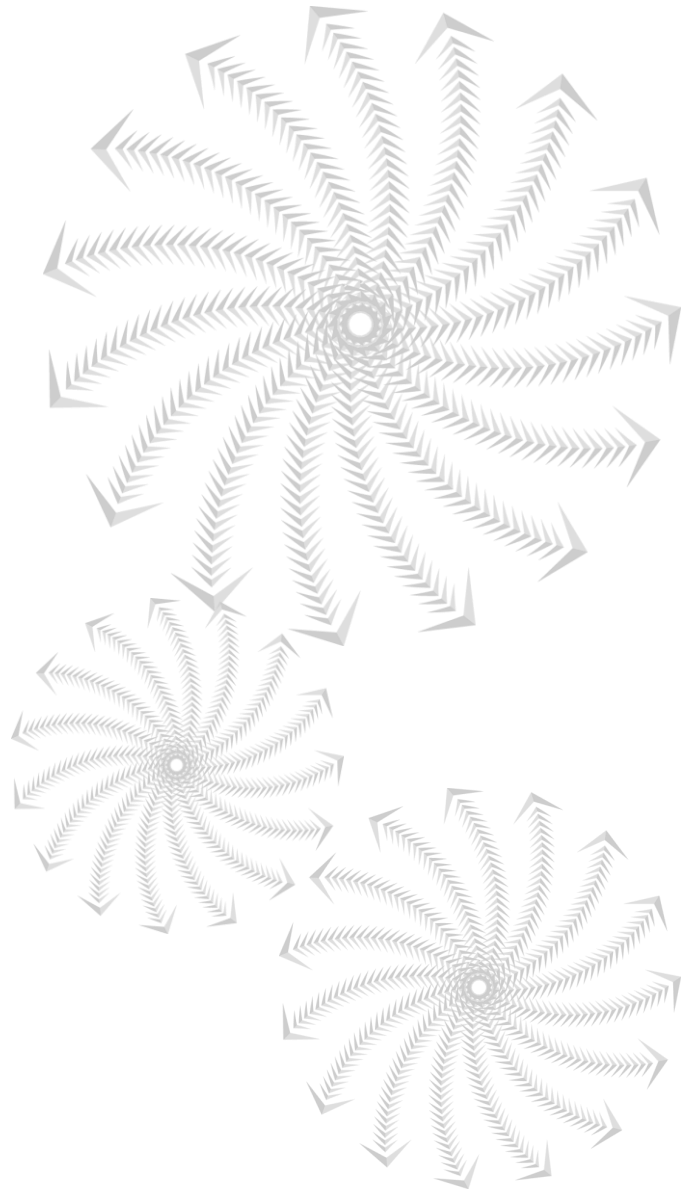
The TEC will not release information on Quality Evaluation 2026 assessment to individual researchers until these results have been received by TEOs. This is expected to be mid-April 2027.

## Information that will be released

The following information on Quality Evaluation 2026 assessments will be released to staff members:

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

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



# Quality Evaluation 2026

## How to make a complaint about errors

## Complaints about administrative and procedural errors

The Quality Evaluation processes are set up to ensure fairness as far as possible. Panels are trained to undertake a fair and impartial assessment. The complaints process is designed to ensure that, if there has been a failing of due process, this can be rectified appropriately. This process occurs after the provisional results of the Quality Evaluation are reported in April 2027

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



### Complaints from the 2018 Quality Evaluation

The TEC received a total of 16 complaints from six participating TEOs. The complaints related to possible administrative or procedural errors in the 2018 Quality Evaluation process.

The TEC investigated each complaint and sought external advice as needed. This process found no evidence that any administrative or procedural errors had occurred. As a result, none of the complaints were upheld.

## Making a complaint

All complaints must be submitted:

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

Complaints must be emailed to the TEC:

Email: [PBRF.Help@tec.govt.nz](mailto:PBRF.Help@tec.govt.nz) with the subject line 'PBRF Quality Evaluation 2026 complaint submission'.

Each complaint must:

- › state the nature of the error (administrative or procedural, or both)
- › state the part(s) of the Quality Evaluation 2026 Guidelines or panel-specific guidelines that the complaint relates to
- › identify the part(s) of the EP that are affected by the alleged error
- › specify the remedy that the TEO is seeking.

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

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

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

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

## Processing complaints

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

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

## Possible outcome from complaints

A complaint will either be:

- › upheld
- › partially upheld
- › not upheld.

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

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

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

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

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

## Glossary

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

Term	Meaning
<b>Achievement Relative to Opportunity framework</b>	This framework provides equity-based accommodations for staff members who are New and Emerging, Part-Time, or who declare valid Researcher Circumstances.
<b>Assessment period</b>	The period between 1 January 2018 and 31 December 2025. Only research produced and research activities and contributions undertaken in this period are eligible for inclusion in an Evidence Portfolio for Quality Evaluation 2026.
<b>Co-authorship</b>	Process by which a research output is produced by more than one researcher.
<b>Component scores</b>	The scores from zero to seven that are assigned to each of the two components of an Evidence Portfolio (ERE component and Contributions to the Research Environment component).
<b>Contract duration period</b>	The period of time a staff member is contracted for.
<b>Co-production</b>	Process by which a research output is produced by more than one researcher.
<b>Course</b>	The smallest component of a qualification that contributes credit toward the completion of the qualification. Other terms used to describe a course including unit, paper or module.
<b>Contributions to the Research Environment (CRE)</b>	<p>A CRE item is evidence that describes the contribution or recognition or impact of a staff member’s research and research-related activities.</p> <p>A CRE <b>type</b> is one of the six defined categories for listing research-related activity in an Evidence Portfolio.</p>
<b>Contributions to the Research Environment (CRE) component</b>	The CRE <b>component</b> is one of the two components of an Evidence Portfolio and is weighted at 30 percent of the overall assessment score.
<b>Degree-level course or equivalent</b>	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 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.
<b>Evidence Portfolio (EP)</b>	TEOs collect information on the research 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
<b>Example of Research Excellence (ERE)</b>	An ERE is a product of research that is evaluated during the Quality Evaluation process. It includes a contextual narrative, an ERE Output, and up to three optional Supplementary Items.
<b>Examples of Research Excellence (ERE) component</b>	The ERE <b>component</b> is one of the two assessed components of an Evidence Portfolio. It includes EREs and OEREs.  The score for this component is weighted at 70 percent of the overall assessment score.
<b>ERE Output</b>	The research output that is provided as part of an ERE.
<b>Excellence</b>	For the purposes of the Quality Evaluation, research excellence will be assessed in terms of originality, rigour, reach, and significance, with reference to the quality standards appropriate to the subject area and to the unique nature of Aotearoa New Zealand’s research cultures and needs.
<b>External Research Income (ERI)</b>	A measure of the income for research purposes gained by a TEO from external sources.  ERI is one of the three measures of the PBRF, along with the Research Degree Completion measure and the Quality Evaluation.
<b>FTE</b>	Full-time equivalent.
<b>Interdisciplinary research</b>	Research that crosses two or more academic disciplines or subject areas.
<b>Joint research</b>	Research produced by two or more researchers.
<b>Major role</b>	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.
<b>Moderation Panel</b>	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. The Co-Moderators and the Panel Co-Chairs form the Moderation Panel.
<b>New and Emerging Researcher</b>	A PBRF-eligible staff member who is employed to undertake substantive and independent research for the first time during the assessment period and meets the criteria for New and Emerging Researcher status.
<b>Nominated academic unit</b>	The academic unit nominated by the TEO for each of the staff members for whom an Evidence Portfolio is being submitted.
<b>Non-quality-assured research output</b>	A research output that has not completed a formal process of quality assurance.
<b>Other Example of Research Excellence (OERE)</b>	Up to eight research outputs that the PBRF-eligible staff member nominates in their Evidence Portfolio. OEREs form evidence of the staff member’s platform of research.

Term	Meaning
<b>Overseas-based staff</b>	A staff member who is resident in Aotearoa 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 Quality Evaluation 2026.
<b>Panel</b>	See peer review panel and Moderation Panel.
<b>Part-Time</b>	A Staff member is considered Part-Time under the Achievement Relative to Opportunity framework if they meet the criteria on page 48. This calculation relates to the overall assessment period, rather than the 12 months around the staff eligibility date.
<b>PBRF staff-eligibility date</b>	11 June 2026. The key date for determining staff eligibility. A staff member must be employed by the submitting TEO on this date to be eligible.
<b>PBRF staff-eligibility period</b>	Any 12-month period that bridges the PBRF staff-eligibility date of 11 June 2026.
<b>PBRF-eligible staff member</b>	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.
<b>PBRF IT System</b>	Online information technology system used by the TEC to administer and support the Quality Evaluation process.
<b>PBRF Staff Data File</b>	A file submitted by participating TEOs that provides information on all PBRF-eligible staff members for whom an Evidence Portfolio is being submitted, and any transferring or concurrently employed PBRF-eligible staff members.
<b>Peer review panel</b>	Group of experts who evaluate the quality of research as set out in individual Evidence Portfolios. There are 14 peer review panels, each covering different subject areas or combinations of subject areas.
<b>Points/points scale</b>	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).
<b>Primary field of research</b>	The research field of the staff member's research activity during the assessment period, and especially that of the EREs selected for their Evidence Portfolio.
<b>Produced</b>	'Produced' in the context of the PBRF means that the final version of the research output was made available in the public domain for the first time during the assessment period of 1 January 2018 to 31 December 2025.
<b>Quality-assurance process</b>	Formal, independent scrutiny by those with the necessary expertise and/or skills to assess quality.
<b>Quality-assured research output</b>	Research output that has been subject to a formal process of quality assurance.

Term	Meaning
<b>Quality Category</b>	<p>A rating of research 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 all available for New and Emerging Researchers.</p> <p>The A, B, C and C(NE) Quality Categories are funded Quality Categories.</p>
<b>Quality Evaluation</b>	<p>The process that assesses the quality of research produced by PBRF-eligible staff members, 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>
<b>Research</b>	See the PBRF Definition of Research on page 16 of these Guidelines.
<b>Research Degree Completion (RDC) measure</b>	<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>
<b>Researcher Circumstances</b>	<p>Researcher Circumstances provisions for Quality Evaluation 2026 aim to ensure staff members who have experienced circumstances that have seriously affected the quantity of research outputs and research-related activities during the assessment period are treated equitably.</p> <p>See page 49.</p>
<b>Staff-eligibility criteria</b>	The criteria that staff have to meet to be eligible to participate in the Quality Evaluation.
<b>Subject area</b>	43 subject areas have been defined to represent the range of research disciplines assessed in the Quality Evaluation.
<b>TEC</b>	Tertiary Education Commission.
<b>TEO</b>	Tertiary education organisation.
<b>Tie-points</b>	The standards expected for the scores two, four and six in each of the two components of an Evidence Portfolio.
<b>Total weighted score</b>	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.

Term	Meaning
<b>URI</b>	A Uniform Resource Identifier (URI) is a string of characters used to identify a name or a resource on the internet or in the TEC temporary repository of ERE Outputs.
<b>XML</b>	XML (Extensible Markup Language) is a set of rules for encoding documents in machine-readable form. It is defined in the XML 1.0 Specification produced by the W3C.

# Tertiary Education Organisation Audit Declaration

## Declaration of the Vice-Chancellor/Chief Executive Officer for a tertiary education organisation participating in the Performance-Based Research Fund Quality Evaluation 2026

I, .....

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

of .....

(organisation name)

1. agree that information required for the purpose of auditing Quality Evaluation 2026 submissions will be provided;
2. confirm that, to the best of my knowledge, all reasonable steps have been taken to ensure that:
  - a) the information contained in the Evidence Portfolios submitted to the Tertiary Education Commission by the above-named organisation is complete, accurate and complies with the PBRF Guidelines issued by the Tertiary Education Commission;
  - b) all the staff members who are being submitted to the Tertiary Education Commission for assessment in the Quality Evaluation meet the requirements for participation in the PBRF;
  - c) the above-named organisation has appropriately applied the PBRF Guidelines to ensure all Evidence Portfolios likely to receive a funded Quality Category have been submitted for assessment in the Quality Evaluation;
  - d) all the Examples of Research Excellence items identified in the submitted Evidence Portfolios are, if necessary, available for inspection by the peer review panels;
  - e) only staff members with legitimate circumstances have claimed the Researcher Circumstances provision;
  - f) staff data on ethnicity has been collected and reported in line with the Privacy Act 2020;

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

.....

Signature of Vice-Chancellor/Chief Executive Officer

.....

Dated

## Appendix: Eligible EP item types

### Research output types

Research output type	Description
<b>Authored Book</b>	<p>A major work of research or scholarship. The author or authors are credited for the entire work, which means authors are not attributed to each chapter and the work would normally be published with an ISBN (in hard copy, bound; and/or e-book format on subscription or fee basis) and be available for sale. Consists mainly of previously unpublished material and makes a contribution to a defined area of knowledge.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>› monographs – a book or treatise on a single subject usually written by a specialist in the field. The treatment of the subject is detailed and scholarly</li> <li>› loose-leaf publications where the author(s)/contributor(s) create or update the entire volume.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› scholarly editions/literary translations (see Scholarly Editions type below)</li> <li>› textbooks with no research component</li> <li>› books published by professional bodies that do not report original research findings but report the results of evaluations, or repackage existing information for the benefit of professionals or practitioners</li> <li>› pamphlets</li> <li>› reports for external bodies, such as government department reports (see Reports type below)</li> <li>› translations of the academic's own work by another person</li> <li>› edited volumes (see Edited Volumes type below)</li> <li>› reprints</li> <li>› updates to a part of a loose-leaf treatise.</li> </ul>
<b>Chapter in Book</b>	<p>A contribution to an edited book, consisting of substantially new material. The book should be of a scholarly nature and make a substantial contribution to a defined area of knowledge, and would normally have an ISBN (in hard copy, bound; and/or e-book format on subscription or fee basis) and be available for sale. This contribution is complete in itself but is often linked thematically to the other chapters. It is created or co-created by a single author or multiple authors who share responsibility for the chapter.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>› scholarly introductions of chapter length where the content of the introduction reports research undertaken</li> </ul>

Research output type	Description
	<p>by the editor and makes a substantial contribution to a defined area of knowledge</p> <ul style="list-style-type: none"> <li>› critical scholarly texts of chapter length, for example, in music, medieval or classical texts, or critical reviews of current research</li> <li>› updates to a part of a loose-leaf treatise.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› forewords</li> <li>› appendices</li> <li>› brief introductions</li> <li>› editorials</li> <li>› scholarly editions/literary translations (see Scholarly Editions type below)</li> <li>› pamphlets</li> <li>› reports for external bodies, such as government departments (see Reports type below)</li> <li>› translations of an academic's own work by another person</li> <li>› edited volumes (see Edited Volumes type below)</li> <li>› reprints</li> <li>› conference publications (see Conference Contribution – Published type below).</li> </ul>
<p><b>Conference Contribution – Other</b></p>	<p>A contribution to a conference that has not been published as a paper or as a published abstract in separate proceedings. An item appearing here cannot also appear in the Conference Contribution – Published category. Note that if a Conference Contribution – Other is included as an ERE Output, an assessable form of the presentation such as a recording or a written form must be submitted.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>› an oral presentation at a conference (or symposium, meeting, workshop, forum or summit of national or international importance), with or without an accompanying written form</li> <li>› a poster that appears at a conference as a poster only and that is not published in the proceedings as a paper or abstract</li> <li>› keynote or plenary presentations to a conference, with or without a written form.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› role as panel or discussion member (or chair) at a conference</li> <li>› opening or closing addresses that are not keynote or plenary presentations</li> </ul>



Research output type	Description
	<ul style="list-style-type: none"> <li>› facilitation of workshops at conferences</li> <li>› presentations at a conference that are summaries of discussions or papers presented at the conference.</li> </ul>
<p><b>Conference Contribution – Published</b></p>	<p>A conference paper or abstract published in proceedings and available independently of the conference in which it was presented.</p> <p>Proceedings may be published in various formats, for example, a proceedings volume, a book, a special edition of a journal, a normal issue of a journal, USB flash drive or online via the conference website, an organisation’s website or a research repository. Although published in a journal or other media, the item is still categorised as a Conference Contribution – Published. Papers or abstracts in proceedings would normally undergo editorial selection to be included in the proceedings.</p> <p>An item appearing here cannot also appear in the Conference Contribution – Other category.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>› submission of an unpublished abstract, presentation of the paper <b>and</b> associated or subsequent publication of paper (this is considered one complete publication, not three separate ones)</li> <li>› an abstract published in a proceedings, book of abstracts or journal (or similar publication venue, such as USB flash drive or website) and available independently of the conference at which it was presented. This form of abstract often is the only published version of the output, appearing as a ‘mini-paper’ containing an introduction/objective and methods, results and conclusions sections. This type of abstract would normally go through a review process and is not the standard type of abstract submitted with a conference presentation. This form of abstract may be more common in certain disciplines, for example, medicine and geology.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› papers that are provided only to conference participants (in whatever format) and not the general public or more widely (for example, available for purchase)</li> <li>› unpublished conference presentations (see Conference Contributions – Other above).</li> </ul>
<p><b>Creative Work</b></p>	<p>Outputs resulting from creative practice as research, including the following subtypes.</p> <p><b>Artwork, Artefact, Object, Craftwork</b></p> <p>Artworks, artefacts, objects, or craftworks that have been exhibited, commissioned, or otherwise presented or offered for distribution or sale in the public domain, for example, visual arts, craft and cultural creations. Specific examples include but are not limited to:</p>

Research output type	Description
	<ul style="list-style-type: none"> <li>› paintings, illustration, sculpture, media installations, ceramics, jewellery, metalwork, whakairo, taonga, raranga, or cultural artefacts such as large permanent public sculptures.</li> </ul> <p>A collection of artworks displayed together can be entered as Exhibition/Curatorial Exercise where the artist/creator was responsible for the curation/design of the exhibition or display.</p> <p><b>Audio-visual</b></p> <p>Research, creative, or scholarly works in audio-visual form and likely to be first presented in a cinema, on television, radio, online, or as part of an artwork, or exhibition at a gallery or festival.</p> <p>Specific examples include but are not limited to:</p> <ul style="list-style-type: none"> <li>› ethnographic films</li> <li>› documentaries</li> <li>› short or feature-length films, animations, radio productions, or other creative audio-visual productions or recordings</li> <li>› original contributions to cinematography, sound design, art direction, production and post-production, direction and other areas of specialism within an audio-visual production.</li> <li>› new recordings of compositions, plays, productions etc where the recording itself embodies original research.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› appearances in commercial programmes, documentaries or interviews unless they contain research.</li> <li>› filmed/recorded presentation of research where the audio-visual medium is not an essential component of the output and does not itself embody original research (for example, filmed conference presentations, filmed demonstrations of a product, process, or device, recording of a performance or composition. Such outputs are eligible under other types such as Composition, Conference Proceedings, Performance, Products and Processes, or Oral Presentation)</li> </ul> <p><b>Composition</b></p> <p>A published/publicly available score, first performance or first recording by a record label (in physical or digital formats audio or audio-visual or on-demand streaming) of a musical composition.</p> <p>Specific examples include but are not limited to:</p> <ul style="list-style-type: none"> <li>› compositions created while being played, for example, electronic compositions, jazz improvisation</li> <li>› published/publicly available score</li> </ul>

Research output type	Description
	<ul style="list-style-type: none"> <li>› first recordings or recordings of first performances</li> <li>› sound component of a film or video, lyrics, multimedia composition or chant</li> <li>› commissioned works</li> <li>› combinations or developments of the above.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› repeat performance or repeat recordings of the same work (re-recordings that constitute original research may be submitted under the Audio-Visual subtype; new performances that constitute original research may be submitted under the Performance subtype).</li> </ul> <p><b>Design Output</b></p> <p>A creative research/problem-solving output in the form of design drawings, books, models, exhibitions, websites, products, installations or built works.</p> <p>This can include (but is not limited) to:</p> <ul style="list-style-type: none"> <li>› architectural design including wharenuī and specific elements of wharenuī such as whakairo and tukutuku</li> <li>› fashion, textile or artistic design including tāniko, kākahu, and tā moko</li> <li>› graphic design</li> <li>› interior design</li> <li>› multimedia design</li> <li>› industrial design</li> <li>› other designs</li> </ul> <p><b>Dramatic and Literary Texts</b></p> <p>A work of creative prose, poetry, dramatic text, or a literary essay.</p> <p>Specific examples include but are not limited to:</p> <ul style="list-style-type: none"> <li>› novel/creative non-fiction – a published/publicly disseminated prose narrative of considerable length</li> <li>› play – a published/publicly available script, first performance or first distributed recording of a play created (or co-created) by the author or authors</li> <li>› poetry – a published poem or collection of poems, or a poetry recital where the work is new (note that if a poetry recital is included as an ERE Output, this would need to include a recording or written form to enable assessment)</li> <li>› screenplay – a published/publicly disseminated screenplay, first public showing of the related film created (or co-created) by the author or authors</li> </ul>

Research output type	Description
	<ul style="list-style-type: none"> <li>› short fiction/creative non-fiction or essay – a published/publicly disseminated work of short fiction, creative non-fiction, or essay</li> <li>› short fiction/creative non-fiction or essay collection – a published/publicly disseminated collection of several short works created or co-created by the author or authors</li> <li>› a published/publicly disseminated short literary composition on a particular theme or subject, usually in prose and generally analytic, speculative or interpretative.</li> </ul> <p><b>Exhibition/Curatorial Exercise</b></p> <p>A curated display of a researcher’s objects/artworks in a public place (museum, art gallery or other public place) or curatorial work undertaken by an academic to form an exhibition (including catalogues, interpretive material, exhibition space design, and/or essays or other creative or intellectual responses). The objects may have historical, cultural or scientific importance, or alternatively possess aesthetic qualities or extraordinary characteristics.</p> <p>The focus should be on the intellectual and creative work of curation, assembly, display and/or interpretation rather than the artworks or objects themselves. The curator may be the creator of the artworks/objects in the exhibition or they may have assembled/arranged/commissioned artworks/objects created by others.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>› exhibitions in regional, national or international galleries, in dealer galleries or other sites of public presentation</li> <li>› site-specific exhibitions, installations, actions, interventions, performances.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› individual artworks, objects or craftworks (may be submitted as ‘Artwork, Artefact, Object, Craftwork’ sub-types)</li> <li>› the selection or commissioning of artworks, objects or craftworks to appear in an exhibition/curatorial exercise (including biennales and festivals) where the creator was not responsible for the curation/display (may be submitted as a research activity under the Recognition of Research, Invitation to Present Research, or Uptake and Impact types)</li> </ul> <p><b>Performance</b></p> <p>A live or recorded performance (by, for example, an actor, musician, dancer, conductor or director) that embodies original research. The research element should be in aspects of the performance itself, rather than the composition, play, script, text or other creative output that is being performed</p>

Research output type	Description
	<p>(such outputs can be submitted under Composition or Dramatic and Literary Texts).</p> <p>Includes (but is not limited to):</p> <ul style="list-style-type: none"> <li>› performance in a play, musical, opera, concert, television or radio production</li> <li>› theatre productions (stage play, mime, circus, puppet show, variety act, comedy show)</li> <li>› concerts and recitals (music or dance)</li> <li>› broadcast performances and other modes of presentation</li> <li>› production of an audio/visual medium (such as CD or DVD recording)</li> <li>› mōteatea, oriori, haka, whaikōrero orations or waiata-a-ringā</li> <li>› artistic direction of a staged production</li> <li>› advisor roles in a theatre production (for example, design, dramaturgy).</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› radio or television interviews</li> <li>› appearances in documentaries.</li> </ul>
<p><b>Discussion/Working Paper</b></p>	<p>A paper published, circulated or presented for discussion amongst peers (or that seeks public input on ways to address an issue).</p> <p>The paper may be commissioned by an organisation, published for consultation or produced as part of a working paper series to encourage suggested revision before publication.</p>
<p><b>Edited Volume</b></p>	<p>A published/publicly disseminated collection of chapters, conference papers, articles or essays by different authors, which have been selected/compiled, organised and/or edited by a single editor or multiple editors.</p> <p>The volume may include chapters, conference papers, articles, essays, introductions or commentaries by the editor(s); the work of soliciting, selecting, organising, and editing the individual chapters / essays / contributions, and the volume as a whole, must embody original research. Includes edited conference proceedings and editing of special issues of journals where the issue editor is not the regular editor. Would normally have an ISBN or ISSN.</p> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› individual chapters/papers/articles or essays created or co-created by one or more authors, which should be submitted as appropriate as book chapters, journal articles, conference proceedings etc</li> <li>› regular editorial work as a member of an editorial board, which should be listed as a contribution to the research</li> </ul>

Research output type	Description
	environment item under the Reviewing, Refereeing and Judging type.
<b>Intellectual Property</b>	<p>Granted patents, copyrights, plant breeder’s rights, trademarks, or registered designs on specific products or processes. Patents can have been granted in Aotearoa New Zealand or another country and must have been granted for the first time during the assessment period. The principles for non-traditional research output types apply.</p> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› multiple rights for the same product or process, or applications for which no determination has been made on patent rights</li> <li>› pending or provisional patent applications (see Products and Processes type).</li> </ul>
<b>Journal Article</b>	<p>A substantial work of scholarship published in a scholarly journal that has an ISSN and would normally be peer reviewed.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>› original research in a scholarly journal, such as research notes that are refereed, or critical scholarly texts that appear in article format</li> <li>› review articles in scholarly journals that summarise the current understanding of a field</li> <li>› invited papers in journals where the journal’s standard practice is to referee contributions</li> <li>› refereed research articles in journals that are targeted to scholars and professionals</li> <li>› articles in a stand-alone series.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› addenda to previous published journal articles</li> <li>› articles designed to inform practitioners in a professional field, such as a set of guidelines or the state of knowledge in a field unless it clearly contains new research findings</li> <li>› articles in newspapers and popular magazines</li> <li>› editorials or letters to the editor</li> <li>› book reviews (see Other Form of Assessable Output below)</li> <li>› case histories that are not full journal articles in themselves</li> <li>› commentaries and brief communications of original research</li> <li>› conference proceedings published in journals or special editions of journals</li> </ul>

Research output type	Description
	<ul style="list-style-type: none"> <li>› reviews of art exhibitions, concerts, theatre productions or other media.</li> </ul> <p>Note: Sometimes special editions of journals appear as stand-alone books. Contributions to special editions of journals may be counted as either book chapters or journal articles but not both. An item with a parent document that has an ISSN should be categorised as a journal article.</p>
<b>Oral Presentation</b>	<p>An oral research or scholarly presentation delivered at an event or venue that is not considered a conference.</p> <p>The event where the presentation occurs must be arranged for the dissemination of academic research or discussion. Note that if an oral presentation is submitted as an ERE Output, a recording or written form needs to be submitted to enable assessment.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>› invited lecture in a named series that is prestigious within the discipline</li> <li>› whaikōrero</li> <li>› spoken presentations at hui, wānanga</li> <li>› public or industry seminars, forums, workshops or congresses</li> <li>› poetry or creative fiction or non-fiction reading of the author’s own work.</li> </ul>
<b>Other Form of Assessable Output</b>	<p>This category is only used for outputs that meet the PBRF Definition of Research but do not fit into any of the other categories.</p> <p>Outputs <b>must be underpinned by research</b> and while they may be included in the list of potential outputs this <b>does not mean that they will automatically meet the PBRF Definition of Research</b>. Staff member’s categorising ERE Outputs under Other Form of Assessable Output must provide an explanation of the research component in the Description field and may want to explain why this was the most appropriate form for the research.</p> <p>Includes, but not limited to:</p> <ul style="list-style-type: none"> <li>› devices</li> <li>› reviews of books, performances, compositions, films</li> <li>› articles published in daily or weekly newspapers or non-scholarly magazines</li> <li>› editorials, letters to editor</li> <li>› brief introductions or prefaces to edited books</li> <li>› comments, letters in journals</li> <li>› dictionary, encyclopaedia entries</li> <li>› magazine articles</li> </ul>

Research output type	Description
	<ul style="list-style-type: none"> <li>› websites</li> <li>› broadcasts</li> <li>› interviews</li> <li>› programme notes, CD insert notes</li> <li>› non-chapter contributions to books, for example, case history, side bar, supplements, summaries and commentaries in books or monographs.</li> </ul>
<b>Products and Processes</b>	<p>A product, design, blueprint, or process that embodies or is the result of original research. It may have been commissioned by an external organisation such as a commercial company, professional body, iwi, hapū, or Pacific or other community group to address a specific issue, or it may have arisen as a result of a research programme or project. The product or process may be commercially sensitive or confidential to the commissioning sponsor.</p> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> <li>› finished and prototype products, devices, and product designs including pending patents</li> <li>› architectural, engineering, and industrial designs and blueprints</li> <li>› professional practice guidelines, processes, and policies</li> <li>› commercial and industrial guidelines, processes, and policies.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› patents, copyrights, and other intellectual property (see Intellectual Property above).</li> </ul>
<b>Report</b>	<p>A commissioned, published document written by an individual or jointly by several authors that details the results of a research project or, explores a technical, scientific, policy, or practice-based research problem.</p> <p>A report may include recommendations and conclusions. A report details the results of research carried out for the external organisation or individual sponsor that funded or commissioned the research. A report may be confidential only to those authorised to have access or the commissioning sponsor. External organisations commissioning reports may include but are not limited to: charities, commercial companies, iwi and hapū, and local, national, or international governmental or non-governmental organisations.</p> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› submissions to Select Committees</li> <li>› progress or final reports on researcher-initiated projects regardless of funder, for example, progress or final report for a Marsden Fund project</li> </ul>



Research output type	Description
	<ul style="list-style-type: none"> <li>› summary reports on activities for a review period, for example, school annual report on activities, or reports relating to consortia activity and performance.</li> </ul>
<p><b>Scholarly Edition/Literary Translation</b></p>	<p>An edition or translation of another author’s original work/body of works or correspondence informed by critical evaluation of the sources (such as, earlier manuscripts, texts, documents and correspondence) often with a scholarly introduction and explanatory notes or analysis on the text and/or original author. This edition may include a translation of the original text(s) as well as significant literature containing interpretations of the text and/or original author and their context.</p> <p>Includes:</p> <ul style="list-style-type: none"> <li>› critical scholarly texts (for example, literary, music, medieval or classical texts)</li> <li>› translations of a work by another author where the work of translation embodies original research.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› reprints or subsequent editions which do not contain significant new research or critical evaluation.</li> </ul>
<p><b>Software</b></p>	<p>Originally researched, created and published or otherwise publicly disseminated software (computer programs and their associated documentation, consisting of a set of instructions written by a programmer) or a curated database of significant research data. These artifacts shall be refined products offered commercially or online or distributed as open source through a recognised publisher or distributor.</p> <p>Includes:</p> <p>System software</p> <ul style="list-style-type: none"> <li>› operating systems</li> <li>› programming languages</li> <li>› control systems.</li> </ul> <p>Application software</p> <ul style="list-style-type: none"> <li>› data analysis and visualisation</li> <li>› simulation</li> <li>› machine learning and artificial intelligence systems</li> <li>› collaborative systems</li> <li>› domain specific applications</li> <li>› curated databases.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› databases of references or material for supporting research programmes of individual researchers.</li> </ul>

Research output type	Description
<b>Thesis</b>	<p>A doctoral thesis that advances an original idea through research and leads to the award of a PhD or equivalent qualification at a recognised Aotearoa New Zealand TEO or equivalent international institution.</p> <p>A Master's thesis of 90 points or above that advances an original idea through research and leads to the award of a Master's or equivalent qualification at a recognised Aotearoa New Zealand TEO or equivalent international institution.</p> <p>Other relevant professional qualification thesis.</p> <p>Excludes:</p> <ul style="list-style-type: none"> <li>› honorary doctorates</li> <li>› taught doctorates which do not require a single research-based thesis</li> <li>› Master's courses or papers of less than 90 points (for example, research project, dissertation).</li> </ul>

## Research activity types

Research activity type	Description
<b>Collaboration, Outreach and Engagement</b>	<p>Projects, activities, or events aimed at engaging or collaborating with stakeholders, groups, and communities outside of academia on research projects or initiatives, or sharing research design, activity, and outcomes with such groups. Outreach and engagement can, but need not, lead to impact, and staff may wish to submit outreach and engagement activities under the Uptake and Impact type where preferred.</p> <p>Examples include but are not limited to:</p> <ul style="list-style-type: none"> <li>› public or community engagement and outreach activities such as public lectures, talks, seminars, workshops, performances or exhibitions</li> <li>› membership of or participation in an advisory, strategy, reference or working group, task force, or steering committee for an external organisation</li> <li>› co-development of research projects or initiatives with non-academic stakeholders including commercial, professional, community or public groups and organisations</li> <li>› co-development of iwi, Māori or Pacific community-based projects or initiatives</li> <li>› developing public awareness and understanding of research topics or outcomes through production of or contributions to publications and other outputs aimed at a popular audience</li> <li>› contributions to public awareness and understanding of research topics or outcomes through media and press engagement or appearances</li> <li>› acting as ‘critic and conscience’ of society and participation in public debate in relation to specific research projects, outcomes, or outputs</li> <li>› media coverage of research projects, outcomes, or outputs.</li> </ul>
<b>Presentation, Sharing, and Dissemination of Research or Similar</b>	<p>Presentation, sharing, and dissemination of research outputs, outcomes, and activity includes events and activities both within and outside of academia. Both the presentation of research and invitations to present research are included.</p> <p>Examples include but are not limited to:</p> <ul style="list-style-type: none"> <li>› giving a keynote address or plenary, or invitations to be a principal speaker or invited speaker</li> <li>› presentation of research at an academic, professional, or industry conference</li> </ul>

Research activity type	Description
	<ul style="list-style-type: none"> <li>› presentation of research to professional groups or organisations, industry bodies, community groups or public audiences</li> <li>› participation in overseas research or professional organisations or events</li> <li>› visiting fellowships or other invitations to work in an overseas institution</li> <li>› commissions to create, perform or produce creative work</li> <li>› contributions, including invitations to contribute, to Māori conferences, Māori development panels, Māori research hui and Māori advisory boards</li> <li>› contributions, including invitations to contribute, to Pacific conferences, Pacific development panels, Pacific research fono and Pacific advisory boards</li> </ul> <p>presentation of research, including invitation to present research, to other non-professional groups, community interest groups, ethnic or cultural representatives.</p>
<b>Recognition of Research Outputs, Outcomes or Activity</b>	<p>Reflects the esteem in which research activity, outcomes, or outputs are held by peers and stakeholders within and outside academia. Indicators of this esteem can include but are not limited to:</p> <ul style="list-style-type: none"> <li>› positive commendations and/or reviews for the staff member’s research outcomes or activities</li> <li>› metrics that relate to the assessment period, such as citation counts (excluding self-citation)</li> <li>› other metrics, for example, those that relate to different forms of media, such as social media, number of downloads, Google Analytics</li> <li>› acknowledgment by iwi and Māori leaders, kaumātua and kuia of contributions to Māori economic, social and cultural advancement</li> <li>› acknowledgment and support by Pacific stakeholders of contributions to Pacific economic, social and cultural advancement</li> <li>› selection or commission of research outputs to appear in an exhibition, festival, or biennale</li> <li>› reprints of research outputs or repeated or extended exhibitions or performances due to demand.</li> </ul> <p>Excluded are indicators of esteem which relate to the researcher’s career as a whole or achievements not linked to specific research programmes, projects, outcomes or outputs. Such items can be submitted as Contributions to the Research Environment under the Peer Esteem type.</p>
<b>Research Funding and Support</b>	<p>Indicates the value ascribed to research projects, activities, or outcomes by research communities, stakeholders, and</p>

Research activity type	Description
	<p>end-users, and includes all forms of funding and support for research, including non-financial and in-kind support.</p> <p>Examples include but are not limited to:</p> <ul style="list-style-type: none"> <li>› securing external contestable research grants</li> <li>› competitive funding from the staff member’s own organisation</li> <li>› funding or in-kind support from external organisations, companies, community or iwi groups, or government bodies to carry out research including contract research and consultancies</li> <li>› start-up or spin-off funding or investment</li> <li>› funding for research facilities or gaining competitive access to facilities</li> <li>› contracts for research</li> <li>› competitive travel grants</li> <li>› in-kind or pro-bono support to facilitate delivery of research projects including expertise, resources, equipment and materials.</li> </ul>
<p><b>Research Prizes, Fellowships, Awards and Appointments</b></p>	<p>Indicates the esteem in which research activities and outcomes are held by peers and as such should relate to a particular project, activity, or output. Only elected/awarded memberships, fellowships, awards, and appointments etc should be included.</p> <p>Examples can include but are not limited to:</p> <ul style="list-style-type: none"> <li>› best paper, poster or presentation prizes</li> <li>› prizes, honours or awards for research projects, activities or outputs including creative, industry, or other awards</li> <li>› research fellowships</li> <li>› industry, public sector or third sector secondments</li> <li>› appointments to community, cultural leadership or iwi roles where this relates to a specific research project, activity or outcome.</li> </ul> <p>Excluded are:</p> <ul style="list-style-type: none"> <li>› awards, prizes, fellowships, elected memberships, roles or honours recognising personal esteem or career achievements (as opposed to a particular research project, activity, or outcome). Such items can be submitted as Contributions to the Research Environment under the Peer Esteem type.</li> </ul>
<p><b>Uptake and Impact</b></p>	<p>Includes activities, items, or outcomes which indicate uptake of the staff member’s research by stakeholders or end users outside academia, and/or the impact that has occurred as a consequence. For the purposes of the Quality Evaluation, impact is defined as a positive effect on, change, or benefit</p>

Research activity type	Description
	<p>to society, culture, the environment, or the economy at any level, outside the research environment.</p> <p>Note: Research impacts must have occurred in the assessment period to be included in the EP, but the underpinning research does not need to have taken place within the assessment period.</p> <p>Examples include but are not limited to:</p> <ul style="list-style-type: none"> <li>› uptake/adoption of research by industry, iwi, Pacific, community, practitioner or professional bodies to inform or change standard practice or policy</li> <li>› providing research-led advice to the public sector, communities and/or the private sector which has demonstrably informed or influenced existing or new policy, practice, guidance or legislation</li> <li>› research findings leading to new or improved commercial products, processes or designs</li> <li>› Demonstrable changes in public perception, understanding, or behaviour in relation to a specific issue or topic, often as a consequence of outreach and engagement activity</li> <li>› Cultural or creative output leading to public or commercial benefit</li> <li>› Economic, social, environmental or health benefits through design and delivery of tools, products, or services</li> <li>› Research commercialisation leading to commercial or public benefits</li> <li>› contributions to Māori social, economic and cultural advancement</li> <li>› contributions to Pacific social, economic and cultural advancement</li> <li>› expert witness or testimony including invitations to provide expert evidence before Select Committee or other government enquiry or commission.</li> </ul>

## Contributions to the research environment types

Contribution Type	Description
<p><b>Contribution to Research Discipline, Culture, and Environment</b></p>	<p>Contribution to research discipline, culture and environment items reflect the staff member’s contribution to the development of their discipline or improvements to research capability and/or the research environment inside and/or outside of academia.</p> <p>Examples can include but are not limited to:</p> <ul style="list-style-type: none"> <li>› developing or contributing to new discipline methodologies, knowledge, standards, or protocols including standard reference publications, encyclopedia entries, or literature reviews/year-in-review publications</li> <li>› developing new laboratories, facilities or equipment, or other research infrastructure</li> <li>› leadership positions that increase capability, for example:</li> <li>› director of a laboratory or research facility</li> <li>› head, deputy head, or other senior role in a school, department, centre or research group with a focus on research development or initiatives in that role</li> <li>› roles or initiatives that are aimed at developing research capability outside of academia and facilitating knowledge exchange, such as developing incubators, commercialisation, engagement, impact, or industry liaison roles</li> <li>› initiatives to grow mātauranga Māori and kaupapa Māori knowledge bases and capacity and to foster links with iwi, hapū, or marae</li> <li>› initiatives to grow Pacific knowledge bases and capacity, including those that build non-Pacific researchers’ knowledge and understanding of Pacific research and paradigms</li> <li>› membership of research, research ethics, postgraduate or other committee, at either an institutional or intra-institutional level</li> <li>› support of or advocacy for research and development within professional bodies and industry</li> <li>› Public advocacy, expert opinion, or ‘critic and conscience’ activity aimed at raising the profile of the discipline, field, or environment</li> <li>› organising or participating in departmental or institutional research seminars.</li> </ul>
<p><b>Facilitation, Networking and Collaboration</b></p>	<p>Facilitating, networking and collaboration items provide an indicator of the contribution the staff member makes to the research environment specifically through developing and supporting research networks and collaborations that</p>

Contribution Type	Description
	<p>develop their discipline or improve research capability inside and outside of academia.</p> <p>Examples can include but are not limited to:</p> <ul style="list-style-type: none"> <li>› facilitating or organising conferences or other formal networks, such as symposia, meetings, workshops, seminar series, hui, fono, wānanga, online forums</li> <li>› participating as a conference chair, track chair or session chair</li> <li>› partnering with iwi and Māori entities on shared research priorities or to increase research capability in Māori research and researchers</li> <li>› partnering with Pacific entities and Pacific organisations on shared research priorities or to increase research capability in Pacific research and researchers</li> <li>› membership of a conference programme committee, technical programme committee or conference panel</li> <li>› director of a consortium or research group</li> <li>› member of collaborations and consortia</li> <li>› internal or external research collaboration</li> <li>› fostering internal or external linkages, cooperation, collaborative research and development with other departments or organisations</li> <li>› activities that improve research opportunities, such as working in collaborations or consortia.</li> </ul>
<p><b>Peer Esteem and Research Recognition</b></p>	<p>Peer esteem and research recognition items indicate the staff members' individual standing and peer esteem either within their discipline, within or outside academia.</p> <p>Examples can include but are not limited to:</p> <ul style="list-style-type: none"> <li>› Awards, prizes, and honours associated with a career or with a significant research focus advanced over many years</li> <li>› Honorifics and titles, such as named Chairs or other roles, honorifics bestowed by international, national, or local authorities, iwi, hapū, marae, Pacific groups or other groups</li> <li>› invitations to produce a journal article, review paper, chapter or reprints specifically based on the staff member's research reputation</li> <li>› mandated iwi and Māori authority leadership roles</li> <li>› mandated cultural leadership roles (for example, chairperson, church minister or honorific chiefly title)</li> <li>› fellowship of a professional body, for example, Fellow of the Institution of Professional Engineers New Zealand or Fellow of the Royal Society of New Zealand</li> </ul>



Contribution Type	Description
	<ul style="list-style-type: none"> <li>› membership of a society or academy with restricted or elected admission, for example, the British Society of Audiology.</li> </ul> <p>Activity as part of a standard membership of a society must be listed under ‘Contribution to research discipline and environment’.</p> <p>Membership of funding committees must be listed under ‘Reviewing, refereeing, judging, evaluating and examining’.</p> <p>Esteem indicators and recognition associated with a specific research project, activity, or outcomes, should be submitted as a research activity within the ERE component of the EP.</p>
<p><b>Researcher Development, Capability-Building and Mentoring</b></p>	<p>Researcher development, capability-building and mentoring items reflect the staff member’s contribution to building a sustainable and equitable research workforce and supporting colleagues.</p> <p>Examples can include but are not limited to:</p> <ul style="list-style-type: none"> <li>› mentoring and supervising other staff members including New and Emerging Researchers at a departmental, institutional, or intra-institutional level</li> <li>› formal mentoring or advocacy/representative roles for specific career stages at a departmental, institutional, or intra-institutional level</li> <li>› initiatives or roles aimed at supporting and developing Māori researchers, and growing the Māori research workforce</li> <li>› initiatives or roles aimed at supporting and developing Pacific researchers, and growing the Pacific research workforce</li> <li>› supervising postdoctoral fellows or research associates</li> <li>› contributions to promotions processes and appointments panels</li> <li>› head of department or other senior role where there is a focus on researcher development activities while in the role</li> <li>› research mentoring.</li> </ul>
<p><b>Reviewing, Refereeing, Judging, Evaluating and Examining</b></p>	<p>Reviewing, refereeing, judging, evaluating and examining activity demonstrates the staff member’s contributions to developing or sustaining their discipline or field through reviewing, refereeing, judging, evaluating and examining the work of their peers. Invitations to undertake such activity may also indicate the staff member’s standing or peer esteem within the field or discipline.</p> <p>Examples can include but are not limited to:</p> <ul style="list-style-type: none"> <li>› membership of institutional, national, or international funding committee that reviews or evaluates funding proposals or grant applications</li> </ul>

Contribution Type	Description
	<ul style="list-style-type: none"> <li>› provision of specialist or expert advice, assessment or review to a relevant committee, task force, steering group, community, or iwi group, either within or outside academia</li> <li>› membership of an editorial or commissioning board for a journal, series, publisher, festival, gallery or other institution</li> <li>› external thesis examiner</li> <li>› invitation to edit or guest edit a journal or edited volume</li> <li>› membership of a selection panel, or role as sole judge, for awards and prizes</li> <li>› peer review of a journal article, conference paper, book manuscript</li> <li>› reviewing abstracts (as part of the selection of presenters) and conference proceedings (following selection)</li> <li>› peer or external reviewer for industrial, commercial or government organisations.</li> </ul>
<b>Student Development and Support</b>	<p>Student development and support items demonstrate the staff member’s contributions to developing or growing research capacity and capability through supervision, mentoring, support, evaluation or review of research students, as well as esteem and recognition factors associated with a staff member’s research student supervisees.</p> <p>Examples can include but are not limited to:</p> <ul style="list-style-type: none"> <li>› attracting, supervising and supporting students including but not limited to: <ul style="list-style-type: none"> <li>› doctoral, Master’s, honours research students</li> <li>› Māori and Pacific students</li> <li>› summer research students and visiting research students</li> <li>› other high-quality postgraduate students</li> </ul> </li> <li>› assisting student publishing, exhibiting or performance</li> <li>› arranging or leading research student placements</li> <li>› initiatives aimed at attracting and support Māori research students</li> <li>› initiatives aimed at attracting and supporting Pacific research students</li> <li>› roles related to student progression and support such as head of graduate school, research degrees committee</li> <li>› supporting students to gain scholarships, prizes, awards, or industry or other placements</li> </ul>

Contribution Type	Description
	› supporting students to gain positive employment outcomes.