



cutting through complexity

Report from the Audit workstream

on behalf of the Tertiary Education
Commission for the Performance-Based
Research Fund 2012 Quality Evaluation

9 April 2013



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1 Executive Summary

1.1 Introduction and audit objective

This report provides the tertiary education sector with the results of the audit of Tertiary Education Organisations (TEOs) participating in the Performance-Based Research Fund (PBRF) 2012 Quality Evaluation. The objectives of the PBRF audit were to:

- provide assurance to the Tertiary Education Commission (TEC) that TEOs are applying the guidelines in a transparent, fair, and consistent way that adheres to both the letter and spirit of the guidelines;
- determine that TEOs have adequate systems and controls in place for the 2012 Quality Evaluation;
- provide assurance to TEC that the Nominated Research Output (NRO) and Other Research Output (ORO) components of the Evidence Portfolio (EP), and staff eligibility data submitted by TEOs are complete and accurate.

1.2 Approach

The PBRF audit approach had four Phases and involved:

- completing audits of all TEOs in 2011 to assess their preparedness for the Quality Evaluation;
- auditing the NRO and ORO components of the EP. We reviewed 10.4% of NROs and 5.2% of OROs;
- auditing the data submitted by TEOs in the PBRF census data submission. We audited 20.3% of staff submitting EPs;
- reporting the results of our audit to TEC and panellists through a report on the preparedness of TEOs in April 2012 and this final report on the results of the Quality Evaluation audit.

1.3 Results

Our audit identified the following themes:

Staff participation

- EPs submitted for staff based overseas that did not meet the requirements within the guidelines;
- errors in calculating the Full-Time Equivalent (FTE) included in the PBRF census file;
- staff had the incorrect new and emerging classification;
- EPs submitted for staff that were not continuously employed as required by the PBRF guidelines;
- other minor errors related to staff participation.

Table 1: Summary of staff participation errors

Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	2
Incorrect FTE	107	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	14
Non-TEO test not met	0	New and emerging	57
Other staff participation errors	18		

Research outputs

- Research Outputs (ROs) that were first available outside the assessment period, many of which were patent applications;
- accepted manuscripts that did not meet the specific criteria for accepted manuscripts within the guidelines;
- ROs had the incorrect research output type recorded, in particular book reviews and letters to the editor incorrectly classified as journal articles;
- ROs classified incorrectly as quality assured;
- ROs that did not exist or could not be located;
- errors with the authorship of ROs;
- ROs containing similar content to other outputs;
- ROs that did not meet the definition of research.

Table 2: Summary of research output errors

Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	4	Similar content to another output	5	4
Incorrect RO type	9	5	Produced outside assessment period	45	248
Incorrect authorship	20	6	Did not meet PBRF definition of research	1	0
Minor errors	20	11	Quality Assurance	7	10

1.4 Conclusion

All issues identified during the audit process have been discussed with TEOs and addressed through corrections of EP and census data. Based on the work we performed, we conclude that:

- TEOs applied the guidelines in a **transparent, fair and consistent way**.
- NRO and ORO components of the EP **exist** and are **accurately recorded**.
- The census data for staff submitting EPs is **complete** and **accurate**.

2 Introduction

This report presents the results of an estimated 2500 hours of audit work for the Performance-Based Research Fund (PBRF) Quality Evaluation 2012.

This report presents the results from Phases two to four of our audit approach. The full report for Phase one of our audit approach was made publically available on 12 April 2012 and a summary of that phase is provided in section three of this report.

2.1 Objectives of the PBRF Quality Evaluation audit programme

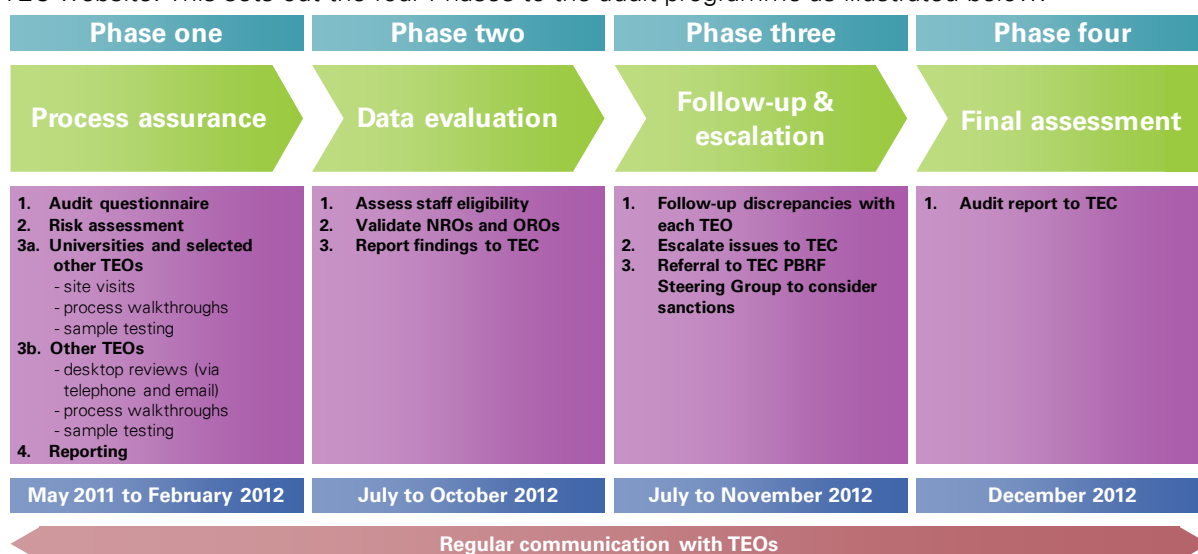
Participation in the PBRF is governed by the PBRF Quality Evaluation guidelines 'the guidelines'. The guidelines set out the information required to participate, including the criteria for assessing whether staff can participate, and guidance on how to complete and submit an evidence portfolio (EP).

The objectives of the audit programme were to:

1. Provide assurance to the Tertiary Education Commission (TEC) that Tertiary Education Organisations (TEOs) applied the guidelines in a transparent, fair, and consistent way that adheres to both the letter and spirit of the guidelines.
2. Determine that TEOs had adequate systems and controls in place for:
 - ensuring their preparedness for the 2012 Quality Evaluation round;
 - determining the eligibility of staff;
 - submitting EPs.
3. Provide assurance to TEC that the Nominated Research Output (NRO) and Other Research Output (ORO) components of the EP, and staff eligibility data submitted by TEOs are complete and accurate.

2.2 Audit approach

The audit approach for 'TEOs participating in the Performance-Based Research Fund' is available on TEC website. This sets out the four Phases to the audit programme as illustrated below:



Phase one of the audit approach 'Process assurance' was completed between May 2011 to February 2012 and assessed each TEO's preparedness for the 2012 Quality Evaluation. The [report on the overall preparedness of TEOs](#) for the Quality Evaluation is available on TEC website.

This report forms Phase four of the audit approach and includes a summary of the results of Phase one and the detailed results for Phases two and three.

3 Summary of Phase One: Process assurance

Phase 1 involved assessing each TEOs processes for determining the eligibility of staff and submitting EPs. Phase 1 commenced with an audit questionnaire sent to all organisations eligible to participate where they self-assessed their preparedness for the PBRF. This was followed by additional audit procedures undertaken either remotely – via email and telephone, or through a site visit. The additional procedures included testing, on a sample basis, the staff eligibility assessments and accuracy and existence of Research Outputs (RO) within EPs at each TEO.

We assessed the preparedness of the 12 TEOs visited as **partial**. At the time of our site visits (June to September 2011) all TEOs had commenced preparing for the Quality Evaluation. We did not conclude on the preparedness of TEOs not subject to a site visit.

We identified areas where TEOs had not applied the PBRF guidelines correctly. The most common findings related to **staff eligibility** information were:

- not assessing the eligibility of all staff employed at the TEO;
- assessing eligibility based on title rather than the function(s) of the role;
- incorrectly calculating an employee's full-time equivalent (FTE) status;
- maintaining inadequate documentation to support the assessment of eligibility, in particular for staff under supervision.

The most common findings related to **ROs** were:

- the inclusion of ROs outside the assessment period;
- the inclusion of ROs with similar content to those previously submitted;
- typographical errors in RO titles.

3.1 Revisions to the PBRF reporting framework

On 15 May 2012, after a sector consultation process, **TEC announced revisions to the PBRF Quality Evaluation reporting framework**. These revisions were implemented as a 'result of issues highlighted in the first Phase of the audit process'¹. The **main changes** to the reporting framework were to exclude staff assigned a R or R(NE) quality category from the average quality score (AQS) and to require TEOs to identify if staff will submit EPs rather than identify whether staff are 'PBRF-Eligible'.

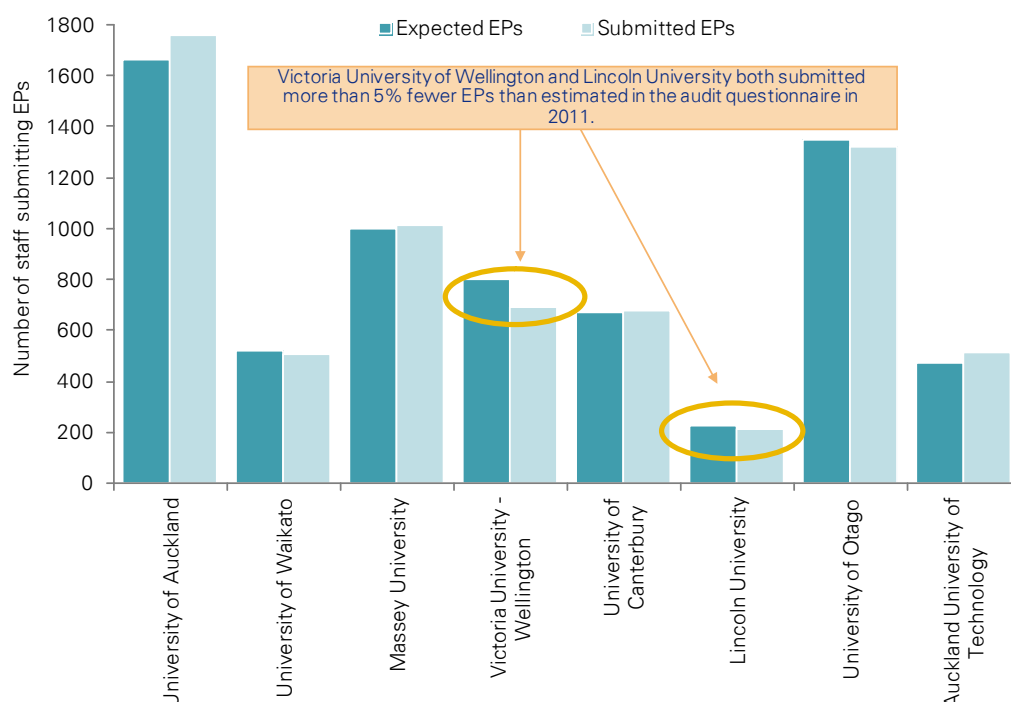
The revised reporting framework necessitated changes to the PBRF Audit Approach including a change in focus for Phases two and three of the approach. Procedures for the remainder of the audit focused only on staff submitting EPs. Specifically, whether staff submitting EPs had been correctly assessed against the PBRF staff participation criteria rather than the previous focus on whether staff had been correctly assessed as eligible or ineligible.

¹ Tertiary Education Commission Media Release: <http://www.tec.govt.nz/About-us/News/Media-releases/Changes-made-to-reporting-2012-Performance-Based-Research-Fund-Quality-Evaluation/>

3.1.1 Non-submission of 'C' scoring researchers

With the introduction of the revised PBRF Quality Evaluation reporting framework, we were advised of concerns in the sector that under the revised framework certain TEOs may elect to not submit their anticipated 'C' scoring researchers. It was considered that this may improve the AQS for certain TEOs. We did not identify any evidence to suggest this has occurred. If this practice had been followed through, it would have most likely benefited universities. To confirm this issue had not occurred, we compared the estimated number of EPs from each university as specified in the audit questionnaire in May 2011 with the actual number of EPs submitted in July 2012. (See Graph 1 below) This is a useful comparison because the information provided in the May 2011 audit questionnaire was collected before the changes to the reporting framework were consulted on.

Graph 1 Comparison of expected EPs with actual EPs submitted



Graph 1 shows that there is little variance between the estimated number of EPs and actual EPs submitted by universities. Four universities submitted a greater number of EPs than expected and four fewer than expected. Two universities submitted 5% (or more) fewer EPs than expected:

1. Victoria University of Wellington (14% or 108 staff fewer than expected). Victoria University advised that the reason for this variance was because the dual roles of some staff (e.g. Heads of School, Deans, Associate Deans who are also Associate Professors) had not yet been consolidated into one record, and therefore some staff were double-counted in the initial estimate.
2. Lincoln University (6% or 14 staff fewer than expected). Lincoln University attributed their 6% variance to the loss of staff related to the Canterbury earthquakes and temporary staff not renewed due to changes in student numbers.

In the 2006 Quality Evaluation, approximately 51% of EPs that received a quality score were awarded a 'C'. Based on the relatively small variances and the explanations provided above, it appears that no university has made a deliberate effort to not submit 'C' scoring EPs.

3.2 The impact of the PBRF on human resource practices

The consultation process (referred to in section 3.1) discussed the potential impact of different human resource practices on the PBRF, and in particular the Average Quality Score (AQS). To address these and other issues identified in the audit report on the overall preparedness of TEOs, TEC released a consultation document on changes to the PBRF reporting framework. This document advised that 'the issues that have arisen appear to relate to practices that could be considered as inconsistent with the intent and principles, rather than against the rules, set out in the PBRF Guidelines'. Following consultation with the sector and other key stakeholders, TEC agreed to change the PBRF reporting framework and the reporting of results.

After completing phase two of the audit, it is clear the PBRF can and does influence human resource practices. Set out below are examples we identified during our audit where the PBRF has influenced human resource practices. The role of the auditors is not to determine whether these practices are consistent with the intent and principles of the PBRF and these are provided as examples only.

At two TEOs we saw correspondence between management, Human Resources and staff to revise or clarify job descriptions to make expectations relating to the PBRF explicit. Examples included expectations such as 'produce two ROs in peer reviewed journal publications per annum' and 'participate in the PBRF Quality Evaluation'.

One TEO developed joint-graduate schools with four research institutes. These joint graduate schools are structured to provide for the TEO to contract staff from the research institutes and vice versa at 0.2 FTE. These arrangements have resulted in the TEO submitting EPs for 18 staff that are concurrently employed by research institutes. These staff were employed directly by the TEO (rather than through a subcontract with their primary employer) and therefore met all staff participation criteria and were not required to meet the non-TEO staff test.

At another TEO we identified instances where staff and management used the PBRF census date as a key factor in determining the details of changes to employment arrangements for staff approaching retirement, with the aim being for staff to participate (or participate at a higher FTE level) in the PBRF Quality Evaluation process. In some circumstances, these changes appeared to be influenced by staff who recognised the importance of the PBRF to the TEO. The PBRF influenced decisions on retirement dates and associated workloads (FTE) during the census year.

1. Increasing FTE increase over the census year, with the PBRF listed on documentation as a reason,
2. Increasing FTE to meet the requirements to participate in the 2012 PBRF round,
3. Reducing FTE over a period, accompanied by an increase in FTE over the census year, with the PBRF listed as the main reason, and
4. Staff accepting retirement with a revised retirement date after the census date.

4 Phases two and three: Data evaluation and follow-up

4.1 Objective

The objective of Phases two and three were to provide assurance to TEC that staff eligibility data submitted by TEOs and the NRO and ORO components of EPs were complete and accurate.

4.2 Approach

To conclude on the objectives stated above, we completed the following procedures for each participating TEO:

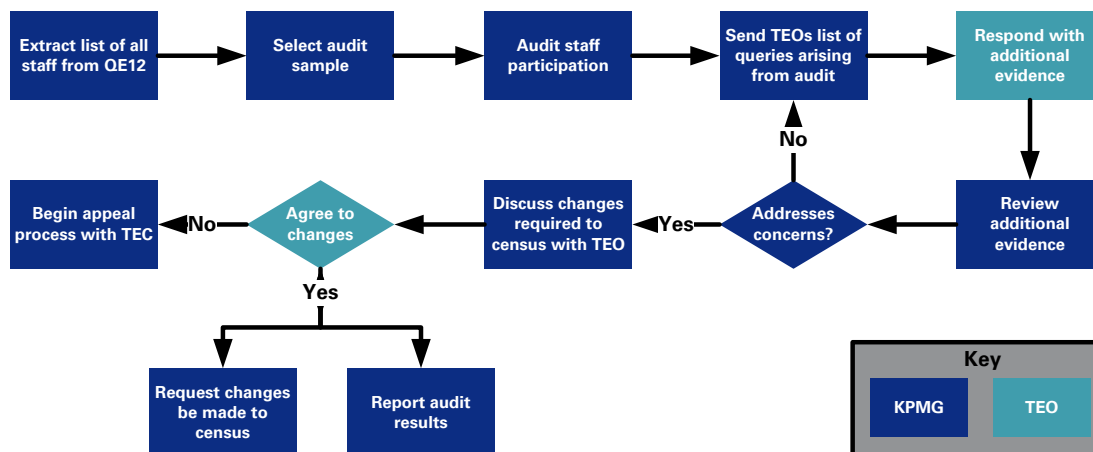
4.2.1 Staff participation

We selected a sample of at least 20% of staff submitting EPs at each participating TEO. Our sample was targeted² based on risk to provide additional audit coverage over the following areas:

- panel queries regarding specific staff
- new and emerging staff
- overseas-based staff
- staff with an FTE of fewer than 0.4
- staff queried in the process assurance Phase
- staff with relationships with a Crown Research Institute or other non-TEO
- staff with start or end dates around the census year.

Diagram 1 below sets out the broad approach we followed for auditing staff participation data. When we identified potential errors in staff participation data, we sent these to the TEO and provided them with an opportunity to respond.

Diagram 1: Process for completing staff participation audit



² Due to our 'targeted' approach to sample selection, extrapolating our audit results out to the wider population or determining an error rate is not statistically appropriate.

For each staff member in our sample we reviewed their employment agreement, job description and other relevant evidence to confirm that the TEO had correctly assessed staff against the PBRF staff participation criteria.

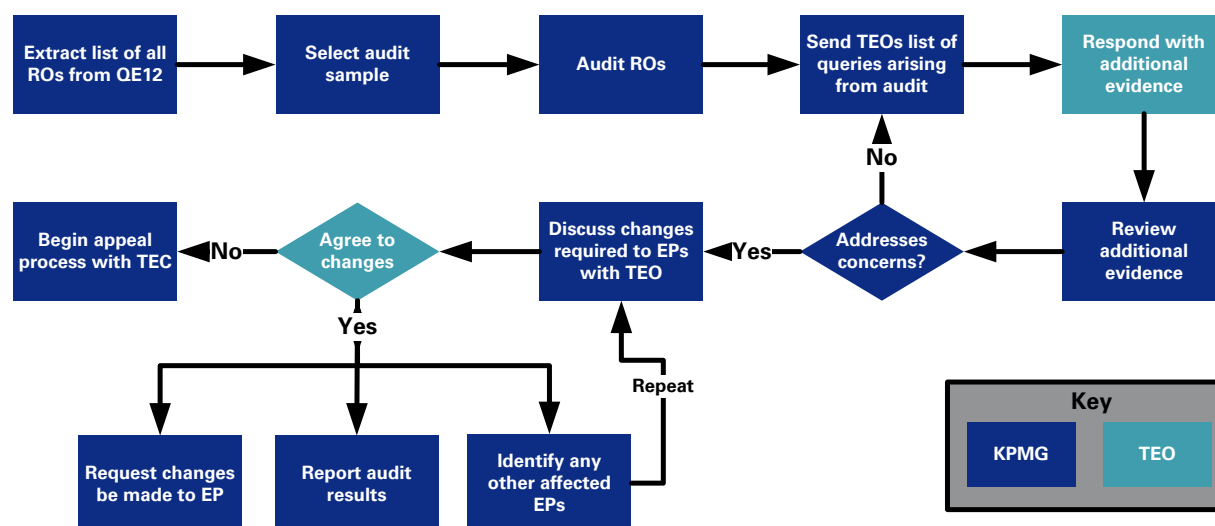
4.2.2 Research outputs

KPMG subcontracted Wellington City Libraries to assist with the RO audit. Wellington City Libraries used the PBRF IT system (QE12) and publication databases to confirm the existence and accuracy of ROs included with EPs.

In accordance with the PBRF audit approach, we selected one RO (weighted 4:1 NRO:ORO) from 50% of staff for auditing. Our sample was targeted² towards ROs that were recorded as published in 2005, 2006 or 2011 (the periphery of the assessment period) or as accepted manuscripts. The remainder of our audit sample was selected at random.

Diagram 2 below sets out the broad approach we followed for auditing RO data. When we identified potential errors, we sent these to the TEO and provided them with an opportunity to respond. In many circumstances the TEO was able to provide evidence to clarify our concerns. Once an error was confirmed with a TEO, we searched the PBRF IT system to identify if any other researchers at that TEO or other TEOs had submitted the same RO.

Diagram 2: Process for completing RO audit



For each RO selected for audit, we confirmed that:

- the RO existed and could be located, including confidential ROs
- if claimed, the RO was correctly recorded as Quality Assured
- the EP did not include ROs with similar content
- there was a demonstrable link between the research within the EP and the panel, subject area and nominated academic unit
- the RO type was correct
- the RO was produced within the appropriate assessment period
- the researcher contribution description was correct
- the RO met the PBRF definition of research
- the year, authors, source, location and any other details were correct.

4.2.3 Panel requests

In addition to the audit samples described above, the subject area panels requested audits of specific staff or ROs. In total, 165 panel requested audits were completed. Any errors identified as part of this process are included in this report. For each of these requests, we reported back to TEC our results.

4.2.4 Scope

The scope of our audit was restricted to data within the census file submitted by TEOs and the NRO and ORO components of EPs. Special circumstances, Peer Esteem, Contribution to the Research Environment and the narrative descriptions within EPs were all excluded from our scope.

4.3 Audit themes

4.3.1 Staff participation

Overseas staff not meeting eligibility requirements

The most common reason for the removal of EPs during the audit was staff based overseas who did not meet the overseas-based staff test. In total 14 staff across 4 TEOs were removed for this reason. The purpose of the overseas-based staff test and accompanying strengthened substantiveness test is to ensure that staff based overseas who participate in the PBRF Quality Evaluation are contributing substantially to the degree-level teaching and research environment in New Zealand.

The two tests require that TEOs are able to demonstrate that overseas-based staff met the following requirements over the period 15 June 2007 to 14 June 2012:

- Were continuously employed or otherwise contracted for a minimum of 0.2 FTE;
- Fulfilled a major role in the teaching and assessment of at least one degree-level course or equivalent;
- Undertook the design or conduct of research activity and/or supervision of graduate research students and/or the preparation of ROs.

In most instances EPs were removed because either the staff were recent appointments and could not demonstrate employment since 2007 or staff did not fulfil a major role in the teaching and assessment of at least one degree-level course of equivalent.

Two TEOs were not aware that the *supervision of graduate research students* had been reclassified to be a research activity since the 2010 version of the guidelines (rather than teaching as classified in 2006).

FTE calculation errors

TEOs were required to include the FTE level of all staff as part of their census submission. The majority of staff are continuously employed on contracts with a constant FTE level and therefore TEOs were only required to enter the FTE on the staff member's employment agreement in the census file. For a minority of staff, contractual changes, including a change in role or a change in hours, required the TEO to manually calculate an FTE for the census file. The audit identified errors in these calculations across two universities. We were advised that these errors were caused by incorrect formulae loaded into systems used to determine the FTE for the census file. We requested the affected TEOs review their FTE calculations across all staff, consequently, some of the errors identified extend beyond the original audit sample.

Incorrect classification as new and emerging

A recurring finding across our audit was that staff were incorrectly classified as new and emerging. This included both staff that were classified as new and emerging but did not meet the criteria and staff that the TEO did not classify as new and emerging in the census, but upon further investigation,

met the criteria. The most common reason for this error was that TEOs had not reviewed curriculum vitae (CV) or other indicators of a staff member’s employment history when classifying staff as new and emerging.

New and emerging staff on the Creative and Performing Arts (CPA) Panel

Of the 496 staff on the CPA panel, 22% claimed they were new and emerging researchers. TEC requested we place particular focus on staff who claimed to be new and emerging and had a history of producing ROs that could be considered to meet the PBRF definition of research. TEC considered that staff with an extended history of producing ROs as, for example, an author, opera singer or artist in a non-academic role, are not new to research and therefore do not meet the requirements for new and emerging status.

Our audit placed particular focus on new and emerging staff and identified a high number of instances where, in our view, TEOs had not assessed the new and emerging status of staff in accordance with the PBRF guidelines. For these staff, their new and emerging status was removed, after discussion with the TEO.

Continuous employment

The EPs of five staff employed by Anamata Private Training Establishment (PTE) were removed from the Quality Evaluation because these staff did not meet the requirement within the guidelines to be employed for at least one year on a continuous basis. Most staff were employed for the academic year and therefore had breaks in their employment of between 36 and 40 days. Subsequent to this, Anamata PTE formally withdrew from participation in the PBRF on 19 October 2012.

Table 3: Summary of staff participation errors

Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	2
Incorrect FTE	107	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	14
Non-TEO test not met	0	New and emerging	57
Other staff participation errors	18		

4.3.2 Research outputs

4.3.2.1 Fundamental errors

ROs first available outside the assessment period

In 2011, TEC corresponded with Universities New Zealand regarding ROs where the date of imprint differs from the date of actual publication. In response to the concerns raised by Universities New Zealand, TEC clarified how these ROs were to be treated through a **PBRF update** to the sector in April 2012. The clarification stated that ‘for the 2012 PBRF Quality Evaluation, the main principle governing the inclusion or exclusion of a RO concerns the date when it was first available (i.e. produced or published) in the public domain’.

Our audit identified 45 NROs and 248 OROs across TEOs where the RO was produced outside the assessment period and did not meet the requirements in the guidelines. In each of these situations, the RO was removed from the relevant staff member’s EP. The most common reasons that ROs were produced outside the assessment period relate to the treatment of **accepted manuscripts** and **patent applications**. Both of these issues are discussed in the following sections.

Accepted manuscripts

The guidelines were revised in November 2011 to provide for researchers to include accepted manuscripts³ where the publication date of the final RO was outside the assessment period (i.e. in 2012) in their EPs if the following circumstances were met:

1. The accepted manuscript is categorised as an NRO (and not an ORO).
2. The staff member was affected by the Canterbury Earthquakes.
3. The manuscript was accepted for publication within the assessment period but the publication was delayed beyond 31 December 2011.

We identified 18 ROs where TEOs had included accepted manuscripts in EPs but the staff member was not affected by the Canterbury earthquakes, or the accepted manuscript was categorised as an ORO. In each of these instances the relevant RO was removed from the staff member's EP.

Published vs. awarded patents

The broad principle for eligibility of ROs is that eligibility is based on the date that the final form of the research output appears in the public domain. TEC clarified to the sector in 2011 that for patents, the date that should appear in the EP should be the year that the patent was awarded not when it was filed. The date the patent was awarded is the date that should be used to determine whether a patent was produced inside the assessment period.

We identified 255 ROs where TEOs had included patent applications that had not been awarded. In each of these instances the relevant RO was removed from the staff member's EP.

4.3.2.2 Serious errors

Incorrect RO type

14 ROs across TEOs were identified to have the incorrect RO type. This issue most commonly affected conference contributions where abstracts or oral presentations were incorrectly classified as full conference papers. In addition, one TEO made the decision to classify the following RO types as journal articles:

- editorials
- book reviews
- letters to the editor
- case studies
- commentaries and brief communications of original research.

These ROs would have been more accurately categorised as 'other forms of assessable output'. In light of the widespread impact of this decision, panels were advised to be alert for ROs of this type rather than changing the RO type across all EPs.

Incorrectly stating ROs were quality assured

Researchers are able to claim ROs as quality assured when they have successfully completed a formal quality-assurance process⁴. We sought evidence that where claimed as quality assured, that the RO had undergone formal quality assurance processes as defined in the guidelines. For 17 ROs TEOs were not able to confirm that the ROs were subject to quality assurance and accordingly the status was removed.

³ Defined as the author's final manuscript as accepted for publication at the completion of the peer review process.

⁴ Defined as when an output has been subject to formal, independent scrutiny by those with the necessary expertise and/or skills to assess its quality.

Table 4: Summary of research output errors

Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	4	Similar content to another output	5	4
Incorrect RO type	9	5	Produced outside assessment period	45	248
Incorrect authorship	20	6	Did not meet PBRF definition of research	1	0
Minor errors	20	11	Quality Assurance	7	10

4.4 Conclusion

Based on the work we performed, we conclude that:

- TEOs are applying the guidelines in a **transparent, fair and consistent way**. Phase 1 of our audit approach identified inconsistencies in the application of the guidelines across TEOs. These inconsistencies have been addressed through changes to the reporting framework, clarifications to the guidelines in 2011 and 2012 and corrections to census and EP data arising from the audit process.
- In line with our audit approach, we audited 3052 NROs and 707 OROs to validate that NRO and ORO components of the EP **exist** and are **accurately recorded**.
- The census data for staff submitting EPs is **complete** and **accurate**.

5 Phase four: Final assessment

The output of Phases two and three formed this report (Phase four), prepared for TEC on the results of the audit programme. This report, accompanied by a list of amendments to the census file and individual EPs concludes our work on this engagement.

Appendix 1 Results for each Tertiary Education Organisation

AIS St Helens

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	9	36	123
Audit sample (excluding panel requests)	2	3	2
Errors	0	0	0

Staff participation

Our audit did not identify any errors relating to census data.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	0
Other staff participation errors	0		

Research outputs

Our audit did not identify any errors relating to ROs.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

Auckland University of Technology

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	514	2,054	9,103
Audit sample (excluding panel requests)	103	202	56
Errors	6	11	10

Staff participation

Our audit identified:

- One staff member where the FTE value recorded in the census file was incorrect.
- Five staff were incorrectly assessed as eligible for the new and emerging quality category.

The census file has been updated to address these errors.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	1	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	5
Other staff participation errors	0		

Research outputs

Our audit identified:

- One RO classified under the incorrect RO type.
- Three ROs had incorrect authorship, one with a co-author omitted and two with the incorrect order of authors.
- Seven ROs were produced outside the assessment period, including five patents.
- Evidence could not be provided to meet the audit requirements for four ROs.
- Three ROs were incorrectly categorised as Quality Assured.
- Three ROs had minor errors with the titles.

Affected EPs have been updated to rectify the errors above.

Types of research output errors

Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	4	Similar content to another output	0	0
Incorrect RO type	1	0	Produced outside assessment period	2	5
Incorrect authorship	3	0	Did not meet PBRF definition of research	0	0
Minor errors	3	0	Quality Assurance	2	1

Bethlehem Tertiary Institute

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	7	28	57
Audit sample (excluding panel requests)	2	3	1
Errors	0	1	0

Staff participation

Our audit did not identify any errors relating to census data.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	0
Other staff participation errors	0		

Research outputs

Our audit identified:

- One RO classified under the incorrect RO type.

The affected EP has been updated to rectify the error above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	1	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

Carey Baptist College

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	6	24	58
Audit sample (excluding panel requests)	3	3	0
Errors	0	0	0

Staff participation

Our audit did not identify any errors relating to census data.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	0
Other staff participation errors	0		

Research outputs

Our audit did not identify any errors relating to ROs.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

Christchurch Polytechnic Institute of Technology

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	66	263	913
Audit sample (excluding panel requests)	14	24	9
Errors	3	3	1

Staff participation

Our audit identified:

- Three staff where the FTE value recorded in the census file was incorrect.

The census file has been updated to address these errors.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	3	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	0
Other staff participation errors	0		

Research outputs

Our audit identified:

- Three errors with the authorship of ROs. One omitted an author, one did not state the total number of authors and one included authors in the incorrect order.
- One RO had a minor error in the title.

Affected EPs have been updated to rectify the errors above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	3	0	Did not meet PBRF definition of research	0	0
Minor errors	0	1	Quality Assurance	0	0

Eastern Institute of Technology

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	49	195	672
Audit sample (excluding panel requests)	10	16	9
Errors	13	1	0

Staff participation

Our audit identified:

- Seven staff where the FTE value recorded in the census file was incorrect⁵.
- Six staff were incorrectly assessed as eligible for the new and emerging quality category⁵.

The census file has been updated to address these errors.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	7	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	6
Other staff participation errors	0		

Research outputs

Our audit identified:

- One RO where the authorship was incorrect.

The affected EP has been updated to rectify the error above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	1	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

⁵ Some of these errors were self-identified by Eastern Institute of Technology as a result of system or process issues identified during the audit.

Good Shepherd College

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	4	16	72
Audit sample (excluding panel requests)	2	2	0
Errors	0	0	0

Staff participation

Our audit did not identify any errors relating to census data.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	0
Other staff participation errors	0		

Research outputs

Our audit did not identify any errors relating to ROs.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

Laidlaw College

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	11	43	77
Audit sample (excluding panel requests)	3	2	4
Errors	1	0	0

Staff participation

Our audit identified:

- One staff member was reclassified as new and emerging as they met the criteria.

The census file has been updated to address this error.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	1
Other staff participation errors	0		

Research outputs

Our audit did not identify any errors relating to ROs.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

Lincoln University

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	211	840	3,982
Audit sample (excluding panel requests)	43	149 ⁶	16
Errors	7	4	2

Staff participation

Our audit identified:

- Seven staff requiring changes to their new and emerging status (six additions and one removal of the status).

The census file has been updated to address these errors.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	7
Other staff participation errors	0		

Research outputs

Our audit identified:

- Four ROs produced outside the assessment period.
- One RO with incorrect authorship.
- One RO had a minor error in the title.

Affected EPs have been updated to rectify the errors above.

⁶ In response to concerns relating to the inclusion of outputs within EPs that were produced before the assessment period, all 2005 and 2006 print outputs from Lincoln University were audited.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	3	1
Incorrect authorship	0	1	Did not meet PBRF definition of research	0	0
Minor errors	1	0	Quality Assurance	0	0

Manukau Institute of Technology

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	31	124	350
Audit sample (excluding panel requests)	7	13	2
Errors	0	2	1

Staff participation

Our audit did not identify any errors relating to census data.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	0
Other staff participation errors	0		

Research outputs

Our audit identified:

- One RO had a minor error in the title.
- Two ROs were produced outside the assessment period, including one patent.

Affected EPs have been updated to rectify the errors above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	2	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	1	Quality Assurance	0	0

Massey University

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	1,011	4,040	19,804
Audit sample (excluding panel requests)	203	435	76
Errors	14	11	46

Staff participation

Our audit identified:

- Two staff where the FTE value recorded in the census file was incorrect.
- Two staff based overseas who did not meet the overseas-based staff test, because the University could not demonstrate that they had a major role in the teaching and assessment of at least one degree-level course or equivalent during each year in New Zealand for the five years preceding the PBRF Census date.
- 10 staff requiring changes to their new and emerging status (four additions and six removals).
- 16 staff contracted to Massey University from other organisations were not recorded on the census. These staff were added to the census and are not submitting EPs.

The census file has been updated to address these errors.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	2	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	2
Non-TEO test not met	0	New and emerging	10
Other staff participation errors	16		

Research outputs

Our audit identified:

- 39 ROs were produced outside the assessment period, including 38 patents.
- Two ROs classified under the incorrect RO type.
- Four ROs with the incorrect authorship.
- Three ROs were categorised as Quality assured, when they were not.
- Five ROs contained identical or similar content to other ROs within the same EP.
- Four ROs with minor errors; mostly related to the title of outputs.

Affected EPs have been updated to rectify the errors above.

Types of research output errors

Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	2	3
Incorrect RO type	0	2	Produced outside assessment period	4	35
Incorrect authorship	3	1	Did not meet PBRF definition of research	0	0
Minor errors	1	3	Quality Assurance	1	2

Northland Polytechnic

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	23	92	227
Audit sample (excluding panel requests)	5	10	2
Errors	1	0	0

Staff participation

Our audit identified:

- One staff member was incorrectly assessed as eligible for the new and emerging quality category.

The census file has been updated to address this error.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	1
Other staff participation errors	0		

Research outputs

Our audit did not identify any errors relating to ROs.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

NZ College of Chiropractic

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	3	12	52
Audit sample (excluding panel requests)	2	2	0
Errors	0	0	0

Staff participation

Our audit did not identify any errors relating to census data.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	0
Other staff participation errors	0		

Research outputs

Our audit did not identify any errors relating to ROs.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

New Zealand Tertiary College

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	12	42	87
Audit sample (excluding panel requests)	3	8	0
Errors	2	2	0

Staff participation

Our audit identified:

- One staff member employed on a contract of less than one year and therefore not eligible to submit an EP.
- One staff member was incorrectly assessed as eligible for the new and emerging quality category.

The census file has been updated to address these errors.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	1
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	1
Other staff participation errors	0		

Research outputs

Our audit identified:

- One RO classified under the incorrect RO type.
- One NRO included similar content to another NRO and was therefore ineligible for inclusion in the EP.

Affected EPs have been updated to rectify the errors above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	1	0
Incorrect RO type	1	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

Open Polytechnic of New Zealand

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	29	115	279
Audit sample (excluding panel requests)	6	10	4
Errors	2	0	0

Staff participation

Our audit identified:

- Two staff were incorrectly assessed as eligible for the new and emerging quality category. The census file has been updated to address this error.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	2
Other staff participation errors	0		

Research outputs

Our audit did not identify any errors relating to ROs.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

Otago Polytechnic

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	99	394	1,395
Audit sample (excluding panel requests)	20	41	9
Errors	0	4	0

Staff participation

Our audit did not identify any errors relating to census data.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	0
Other staff participation errors	0		

Research outputs

Our audit identified:

- Four ROs with minor title errors, three relating to the title and one to the volume number.

Affected EPs have been updated to rectify the errors above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	4	0	Quality Assurance	0	0

Te Whare Wananga o Awanuiarangi

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	25	91	137
Audit sample (excluding panel requests)	5	11	0
Errors	1	1	0

Staff participation

- One staff member was reclassified as new and emerging as they met the criteria.

The census file has been updated to address these errors.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	1
Other staff participation errors	0		

Research outputs

Our audit identified:

- One RO classified under the incorrect RO type.

The affected EP has been updated to rectify the error above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	1	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

Unitec Institute of Technology

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	181	722	2,391
Audit sample (excluding panel requests)	35	77	14
Errors	2	4	2

Staff participation

Our audit identified:

- One staff member where the FTE value recorded in the census file was incorrect.
- One staff member was reclassified as new and emerging as they met the criteria.

The census file been updated to address these errors.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	1	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	1
Other staff participation errors	0		

Research outputs

Our audit identified:

- One RO produced outside the assessment period.
- One RO had the incorrect order of authors.
- One RO contained similar content to another RO within the same EP.
- Three ROs had minor errors.

Affected EPs have been updated to rectify the errors above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	1	0
Incorrect RO type	0	0	Produced outside assessment period	0	1
Incorrect authorship	1	0	Did not meet PBRF definition of research	0	0
Minor errors	2	1	Quality Assurance	0	0

University of Auckland

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	1,759	7,009	35,808
Audit sample (excluding panel requests)	351	720	159
Errors	89	41	213

Staff participation

Our audit identified:

- 70 staff (17 audit sample, 53 self-identified) where the FTE value recorded in the census file was incorrect. 17 staff within our audit sample had the incorrect FTE value. This was due to an error in the system-based programming used by the University to determine FTE for the census. We requested the University review the FTE of all staff submitting EPs. This internal review identified a further 53 staff (70 total) with incorrect FTE values. Correcting the 70 errors resulted in a reduction of six FTE.
- Nine staff based overseas who did not meet the strengthened substantiveness test, in most circumstances because the University could not demonstrate that they had a major role in the teaching and assessment of at least one degree-level course or equivalent during each year in New Zealand for the five years preceding the PBRF Census date.
- Seven staff were incorrectly assessed as eligible for the new and emerging quality category.
- Two staff with minor errors, one requiring amendment to the staff member's name and one requiring revision to their start date.
- One staff member employed on a contract of less than one year and therefore not eligible to submit an EP.

Where necessary, the census file has been updated to address these errors.

Other staff participation matters

The University has developed joint-graduate schools with four research institutes. These joint graduate schools are structured to provide for the University to contract staff from the research institutes and vice versa at 0.2 FTE. These arrangements have resulted in the University submitting EPs for 18 staff that are concurrently employed by research institutes. These staff were employed directly by the University (rather than through a subcontract with their primary employer) and therefore met all staff participation criteria and were not required to meet the non-TEO staff test.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	1
Incorrect FTE	70	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	9
Non-TEO test not met	0	New and emerging	7
Other staff participation errors	2		

Research outputs

Our audit identified:

- 226 ROs were produced outside the assessment period, including 12 accepted manuscripts, 211 patents and three others.
- 11 ROs had Quality Assurance errors (10 had the status added as a result of the audit and one removed).
- Eight errors with the authorship of ROs, most of which related to the order of authors.
- Six ROs with minor errors, most of which related to the title or source.
- Two ROs classified under the incorrect RO type.
- One RO did not meet the definition of research.

Affected EPs have been updated to rectify the errors above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	1	1	Produced outside assessment period	25	201
Incorrect authorship	6	2	Did not meet PBRF definition of research	1	0
Minor errors	4	2	Quality Assurance	4	7

University of Canterbury

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	678	2,704	12,823
Audit sample (excluding panel requests)	136	264	78
Errors	9	1	2

Staff participation

Our audit identified:

- Three staff where the FTE value recorded in the census file was incorrect.
- Four staff were incorrectly assessed as eligible for the new and emerging quality category.
- Two staff based overseas who did not meet the strengthened substantiveness test because they did not teach at least one degree-level course in 2011.

The census file has been updated to address these errors.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	3	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	2
Non-TEO test not met	0	New and emerging	4
Other staff participation errors	0		

Research outputs

Our audit identified:

- Three ROs had errors with the authorship, two missing a co-author/editor and one with the authors listed in the incorrect order.

The affected EPs have been updated to rectify the errors above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	1	2	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	1,318	5,265	22,171
Audit sample (excluding panel requests)	265	548	119
Errors	19	10	6

Staff participation

Our audit identified:

- 17 staff where the FTE value recorded in the census file was incorrect, resulting in an understatement in the census file of 4.06 FTE. This was due to an error in the system-based programming used by the University to determine FTE for the census.
- Two staff were incorrectly assessed as eligible for the new and emerging quality category.

Where necessary, the census file has been updated to address these errors.

Other staff participation matters

The audit identified six instances where staff and management of the University used the PBRF census date as a key factor in determining the details of changes to employment arrangements for staff approaching retirement, with the aim being for staff to participate (or participate at a higher FTE level) in the PBRF Quality Evaluation process.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	17	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	2
Other staff participation errors	0		

Research outputs

Our audit identified:

- Six ROs produced outside the assessment period.
- One NRO included similar content to another NRO and was therefore ineligible for inclusion in the EP.
- Two book review ROs to be re-classified to 'other form of assessable output' rather than journal articles as claimed.
- Two ROs with incorrect authorship.
- Five ROs had minor errors.

The affected EPs have been updated to rectify the errors above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	1	0
Incorrect RO type	0	2	Produced outside assessment period	3	3
Incorrect authorship	2	0	Did not meet PBRF definition of research	0	0
Minor errors	4	1	Quality Assurance	0	0

University of Waikato

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	505	2,014	9,931
Audit sample (excluding panel requests)	101	201	52
Errors	9	6	2

Staff participation

Our audit identified:

- Five staff were incorrectly assessed as eligible for the new and emerging quality category.
- Three staff members where the FTE value recorded in the census file was incorrect.
- One staff member based overseas who did not meet the strengthened substantiveness test, because the University could not demonstrate that this staff member had a major role in the teaching and assessment of at least one degree-level course or equivalent during each year in New Zealand for the five years preceding the PBRF Census date.

The census file has been updated to address these errors.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	3	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	1
Non-TEO test not met	0	New and emerging	5
Other staff participation errors	0		

Research outputs

Our audit identified:

- Five ROs produced outside the assessment period.
- One RO contained similar content to another RO within the same EP.
- Two ROs with minor errors, including: one revision to source details and one revision to pagination.

Affected EPs have been updated to rectify the errors above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	1
Incorrect RO type	0	0	Produced outside assessment period	5	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	1	1	Quality Assurance	0	0

Victoria University of Wellington

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	692	2,768	13,567
Audit sample (excluding panel requests)	140	264	83
Errors	3	1	3

Staff participation

Our audit identified:

- Three staff were incorrectly assessed as eligible for the new and emerging quality category.
- The original census submission recorded the nominated academic unit for all staff as 'VUW'.

The census file has been updated to address these errors.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	3
Other staff participation errors	0		

Research outputs

Our audit identified:

- Three ROs produced outside the assessment period.
- One RO with a minor error.

Affected EPs have been updated to rectify the errors above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	1	2
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	1	Quality Assurance	0	0

Waikato Institute of Technology

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	41	161	637
Audit sample (excluding panel requests)	9	17	3
Errors	0	3	0

Staff participation

Our audit did not identify any errors relating to census data.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	0
Other staff participation errors	0		

Research outputs

Our audit identified:

- Three ROs were classified under the incorrect RO type.

Affected EPs have been updated to rectify the errors above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	3	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

Wellington Institute of Technology

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	17	67	174
Audit sample (excluding panel requests)	4	7	1
Errors	0	0	0

Staff participation

Our audit did not identify any errors relating to census data.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	0
Other staff participation errors	0		

Research outputs

Our audit did not identify any errors relating to ROs.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

Whitecliffe College of Art and Design

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	17	68	208
Audit sample (excluding panel requests)	4	7	2
Errors	1	0	0

Staff participation

- One staff member was incorrectly assessed as eligible for the new and emerging quality category.

The census file has been updated to address this error.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	1
Other staff participation errors	0		

Research outputs

Our audit did not identify any errors relating to ROs.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	0	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

Whitireia Polytechnic

Key statistics

	No. of staff submitting EPs	No. of NROs	No. of OROs
Total	31	124	247
Audit sample (excluding panel requests)	7	13	6
Errors	0	1	0

Staff participation

Our audit did not identify any errors relating to census data.

Types of staff participation errors			
Error type	Volume	Error type	Volume
Not employed on census	0	Employed / contracted for less than one year	0
Incorrect FTE	0	Employment functions do not include teaching or research	0
Substantiveness test not met	0	Overseas-based	0
Non-TEO test not met	0	New and emerging	0
Other staff participation errors	0		

Research outputs

Our audit identified:

- One RO classified under the incorrect RO type.

The affected EP has been updated to rectify the error above.

Types of research output errors					
Error type	NRO	ORO	Error type	NRO	ORO
Did not exist / unable to be located	0	0	Similar content to another output	0	0
Incorrect RO type	1	0	Produced outside assessment period	0	0
Incorrect authorship	0	0	Did not meet PBRF definition of research	0	0
Minor errors	0	0	Quality Assurance	0	0

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