



Tertiary Education Commission
Te Amorangi Mātauranga Matua

Performance-Based Research Fund

Sector Reference Group – Consultation Paper #11

**Review of the assessment framework (Part 2:
further changes to the framework); and
Updates to the ‘new and emerging’ researcher
criteria**

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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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| Review of the assessment framework (Part 2: further changes to the framework); and Updates to the ‘new and emerging’ researcher criteria | CONSULTATION PAPER | Tertiary education sector and other stakeholders Online feedback to: https://www.surveymonkey.com/r/BN6ZMCL Other feedback and questions to: PBRFSRG@tec.govt.nz Closing date: 5pm Monday 8 February 2016 |

Purpose

1. This paper has been prepared as part of the consultation on the design of the Performance-Based Research Fund (PBRF) 2018 Quality Evaluation. It is the second of two papers on proposed changes to the 2018 Quality Evaluation assessment process and focuses on proposed changes to the more detailed aspects of:
 - the assessment framework; and
 - the criteria for determining and assessing 'new and emerging' researchers.
2. In summary, this paper:
 - provides background information on the Quality Evaluation assessment process and changes that were agreed by Cabinet in February 2014 which relate to this process;
 - provides information on a number of areas that the PBRF Sector Reference Group (SRG) sought feedback from stakeholders on as part of the first consultation paper on the assessment framework;
 - proposes further detailed changes to the assessment framework as a result of stakeholder feedback;
 - proposes changes to the eligibility and assessment criteria for 'new and emerging' researchers;
 - invites feedback on these proposals; and
 - invites feedback on any other matters relating to the assessment framework not covered in this paper or the previous paper on this topic.

Quality Evaluation assessment process

3. The Quality Evaluation assessment process involves the submission of Evidence Portfolios (EPs) by participating tertiary education organisations (TEOs), the assignment of these EPs by peer review panel Chairs to assessors within the panel (including cross-referring EPs to other panels), assessment by individual assessors, and finally assessment by the wider panel resulting in the assignment of a Quality Category.
4. The assessment framework consists of a scoring process made up of a points-based scoring system with a range from 0 – 7 that is used to allocate points to the components of an EP. For the 2018 Quality Evaluation there will be two components of an EP - Research Output (RO) and Research Contribution (RC). A '0' is the lowest point on the scale and would reflect that no evidence has been provided in the EP for that component, while a '7' is the highest point on the scale. The two components are weighted; the RO component will be weighted at 70% of the total score while the RC component will be weighted at the remaining 30% of the total score.
5. There are three distinct stages where points are assigned to the two components. These are the Preparatory, Preliminary and Calibrated component scoring stages. At the Calibrated component scoring stage, the weighted scores assist in determining an indicative Quality Category. There are six Quality Categories that can be assigned - "A", "B", "C", "C(NE)", "R" and "R(NE)". The first four Quality Categories attract funding.
6. The final two stages of the assessment process are the assignment of a Holistic Quality Category which takes all aspects of the EP into consideration and the Final Quality

Category which is recommended to the Tertiary Education Commission (TEC) in the funding calculation.

7. A diagram of the Quality Evaluation assessment process is included as [Appendix 1](#).
8. The details and any issues that arose in these stages as part of the 2012 Quality Evaluation assessment are set out in the previous consultation paper on this topic: [Review of the assessment framework \(Part 1: Potential changes to the framework\)](#). Also included in that paper was information on the review of the PBRF undertaken by the Ministry of Education in collaboration with the Ministry of Business, Innovation and Employment and the TEC.
9. This review sought to build on the existing performance of the PBRF to identify how it could be improved. It included a specific focus on what changes could be considered to increase the efficiency and effectiveness of the PBRF through the simplification of the Quality Evaluation process.
10. The changes that were agreed by Cabinet in February 2014 which relate to the Quality Evaluation assessment process are:
 - a. limiting cross-referrals by TEOs to EPs that cover the interdisciplinary subject areas identified in the PBRF guidelines;¹
 - b. disestablishing the use of specialist advisors; and
 - c. the disestablishment of the expert advisory groups for Pacific Research and Professional and Applied Research – a new peer review panel would be established to assess Pacific research EPs and assign Quality Categories (similar to the Māori Knowledge and Development subject panel) and experts in professional and applied research would be included in the relevant peer review subject panels.

Consultation on high level changes to the 2018 Quality Evaluation assessment process

11. The previous consultation paper [Review of the assessment framework - Part 1: Potential changes to the framework](#) proposed and sought feedback on a number of aspects relating to the assessment process.
12. Decisions on a number of proposals for change identified in the first consultation paper on this topic have been released on the TEC website. The SRG committed to providing a second paper focussed on more detailed aspects of the framework once feedback from stakeholders had been received.

Proposals for further change to the 2018 Quality Evaluation assessment process

13. This paper will address all remaining areas for potential change, taking into consideration the feedback provided on the first consultation paper.

Guidelines for Special Input Requirements: Māori Research

14. As a result of the Cabinet decisions, TEOs are unable to request that an EP be assessed by a panel that is not the panel it is submitted to. The exception to this rule will be those EPs that contain research and/or research related activity that meets the requirements

¹ Ministry of Education, Review of the Performance-Based Research Fund, Consultation Document, August, 2013, p.21.

for the Māori Knowledge and Development (MKD) or Pacific Research panels, but have not been submitted to those panels.

15. Specific information was provided in the 2012 Quality Evaluation guidelines to assist TEOs to determine if a cross-referral to the MKD panel was appropriate ("*Guidelines for Special Input Requirements: Māori Research*").
16. The SRG sought feedback from the sector and other stakeholders on whether these guidelines needed to be reviewed and what the key issues were considered to be. The responses indicated support for a review to ensure that they are fit for purpose and reflect the Cabinet decisions regarding cross-referrals.
17. The SRG agreed that it was appropriate for it to make some changes, for example removing references to the use of specialist advisors which supports the Cabinet decision. The guidelines should also provide advice on the completion of the new Māori Research element in the EP. This element will be used to identify if an EP contains Māori research where the primary panel is not MKD. The SRG also support renaming this advice to better reflect its purpose.
18. The MKD panel will finalise the guidance below and ensure it aligns with their panel-specific guidelines. However the initial updates to these guidelines have been proposed by the SRG and feedback on the changes is sought. The proposed changes are set out below.

Cross-referral assessment by the Māori Knowledge and Development Panel

The Māori Knowledge and Development 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.

If a staff member does not select the Māori Knowledge and Development (MKD) panel as the Primary assessment panel, they can choose to indicate that their EP contains some research relevant to this panel by completing the Māori Research element of the EP.

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

If a staff member selects the MKD panel as the Primary assessment panel the Māori Research element in the EP should not be completed.

Completing the Māori Research element in the EP

The MKD panel would expect that EPs completing the Māori Research element in the EP would contain research involving Māori, or specifically relevant to Māori.

It is expected that:

One or more Nominated Research Outputs (NROs) address an issue of importance for Māori and show evidence of involvement with Māori, or are specifically relevant to Māori; and/or

The NROs are of such a nature that they are able to contribute to the understanding of issues affecting Māori, or the research impact or uptake may provide an opportunity to increase the understanding of issues affecting Māori.

The Māori Research element in the EP allows researchers to complete a comment (500 characters) and reference up to five research outputs and/or research contribution items relevant to Māori research (i.e. research based on Māori world-views and Māori methods of research).

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

Redefining 'world-class'

19. In the previous consultation paper, the SRG noted that some concern had been raised regarding the definition and use of the term "world-class" and the distinctions that were made between international and national contribution and recognition. The SRG sought feedback on whether this was an area that could be improved for the 2018 Quality Evaluation.
20. Stakeholder responses indicated that there is a level of support for reviewing the terminology used. A number of responses commented on the areas where they felt there were issues, for example, the perception that national, regional, or Māori research may be disadvantaged as it may not receive international exposure.
21. The SRG agreed to undertake further revision of the definition of 'world-class' and has proposed changes to the definition of 'world-class'. Feedback is sought on the proposed definition set out below.

Defining 'world class'

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

World class research outputs are those outputs which rank with the best within its broader discipline, regardless of the topic, theme or location.

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

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

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

Research Contribution Component scoring and tie-point descriptors

22. Cabinet agreed to merge the Peer Esteem and Contribution to the Research Environment components of an EP into a single Research Contribution component that would reflect the esteem and contributions that a staff member's research had within and outside of academia.
23. The SRG identified that it would need to develop a new Research Contribution (RC) component descriptor and tie-point descriptors to support the assessment process for the 2018 Quality Evaluation. The Cabinet paper that detailed the changes to the PBRF also signalled that the work of the 2012 Quality Evaluation's Professional and Applied Expert Advisory Group (EAG), which developed detailed criteria for assessing the excellence of applied research, should be drawn upon for this work.
24. Feedback was sought from stakeholders on the key considerations when developing these descriptors. One of the main themes from the responses was to maintain a high

level of consistency between the previous Peer Esteem and Contribution to the Research Environment component descriptors as these were well understood by the sector.

25. It was also suggested that the descriptors indicate that higher scores should only be awarded for Research Contribution when the researcher's range of contributions includes both high peer esteem and high contribution to the research environment, not just one or the other. Feedback indicated that without this stipulation, some researchers could be disincentivised to contribute to the research environment. This could potentially be the case with senior researchers who have high peer esteem, but whose contributions to the research environment are often among the most important.
26. The SRG has developed proposed RC component descriptor and tie-point descriptors based on the feedback received and the Cabinet requirement to draw upon the work of the Professional and Applied EAG.
27. The SRG seeks feedback on proposed descriptors set out in [Appendix 2](#).

Holistic assessment and other quantity and/or quality factors that need to be considered

28. The purpose of the holistic assessment is to ascertain which of the available Quality Categories is most appropriate for an EP, taking all relevant factors into consideration.
29. It was acknowledged in the 2012 Quality Evaluation guidelines that the *Calibrated Panel* Quality Category would become the final Quality Category for the majority of EPs and the holistic assessment process was primarily for exceptions.
30. The 2012 Quality Evaluation guidelines required panels to consider factors including but not limited to:
 - the Quality Category descriptors;
 - component scoring at different stages of the assessment process;
 - any issues or uncommon factors about the EP (e.g. in relation to quantity and/or quality issues);
 - whether special circumstances were sufficient to affect the Quality Category; and
 - the fact that the scoring system does not facilitate the use of fractional scores.
31. In the reporting on the 2012 Quality Evaluation assessment process, panels recommended that more detailed and explicit advice and guidance be provided on changing a Quality Category as a result of the holistic assessment.
32. The SRG consulted on this recommendation. Feedback from stakeholders supported the provision of additional guidance on the holistic assessment stage of the 2018 Quality Evaluation.
33. The SRG also consulted on a proposal to assess extra-ordinary circumstances as part of the holistic assessment process. This proposal was also strongly supported by stakeholders. This decision is reflected in the guidance on holistic assessment.
34. The SRG also received separate feedback on the consultation paper [Review of the general and Canterbury Earthquakes Special Circumstances provisions](#) which strongly recommended that certain employment factors, such as part-time employment and being employed to undertake research for a fraction of the assessment period, needed to be

considered by the panels. It was identified that in some cases these arrangements would have an impact on the quantity of research undertaken by an individual.

35. The decision has been made to exclude employment arrangements from the extra-ordinary circumstances provision (previously the special circumstances provision). The SRG believes that where employment arrangements such as part-time employment have a direct impact on the quality and/or quantity of research these can be addressed through the holistic assessment process.
36. The holistic assessment already provides for consideration of other factors which may impact quality and/or quantity of research by allowing the panel to take the entire content of the EP and the context that research is undertaken in into consideration. The “Platform of Research - Contextual Summary” section of the EP allows staff members to provide information that will assist assessors to consider the research outputs and contributions presented in the EP in the wider context of the individual’s research over the assessment period. It is not proposed to extend the current character limit of 2,500. This will mean staff members need to make a judgement on the extent to which their employment arrangements impacted their research outputs and/or research-related activity.
37. Feedback from stakeholders has also indicated that thresholds should be placed on EPs in order for them to be considered under the holistic assessment process. The SRG has considered this, and because the process is primarily for exceptions, it believes that this would provide a level of clarity and transparency for staff members, TEOs and panels.
38. The SRG seeks feedback on the proposed guidance on the holistic assessment stage of the assessment process set out below.

Guidance on determining Holistic Quality Categories

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

It is expected that for the majority of EPs, the *Calibrated Panel* Quality Category will become the final Quality Category, and the holistic phase is primarily for exceptions.

Criteria for EPs to be considered for holistic assessment

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

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

EPs with a *Calibrated Panel Score* greater than 70 points (one RO component score) from a boundary that do not meet any of these criteria would not normally be considered as part of the holistic assessment process.

Panel considerations at holistic assessment

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

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

- The Quality Category descriptors and the Quality Categories arising out of each of the stages of the assessment process are consistent when looking at all information presented in the EP;
- The scoring of the Research Output (RO) and Research Contribution (RC) components at each of the stages of the assessment process;
- The fact that the scoring system does not allow the use of fractional scores;
- Whether the extra-ordinary circumstances claimed are eligible for consideration and sufficient to affect which Quality Category should be assigned to the EP;
- Whether the additional rules applying to the assignment of a “C” Quality Category (that the EP must score a minimum RO score of 2 to be awarded a “C”) have been appropriately applied; and
- Whether the evidence in the RC component is congruent with the judgements made about the appropriate score for the RO component, particularly if there is a low RO score and a high RC score.

The panel will then determine and record a *Holistic* Quality Category for each EP that has been assessed as part of this process.

The *Holistic* Quality Category may or may not be different from the *Calibrated Panel* Quality Category. If the *Holistic* Quality Category is different, it may be higher or lower than the *Calibrated Panel* Quality Category.

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

Assessing applied research in the 2018 Quality Evaluation

Applied research in the PBRF

39. Following the 2006 Quality Evaluation, the TEC undertook analysis on the impact that the PBRF had on applied and practice-based research.² The analysis focused on the performance of staff in six applied areas across 2003 and 2006; Architecture, Design, Planning and Surveying, Clinical Medicine, Dentistry, Education, Nursing and Veterinary Studies and Large Animal Science. This report asked two questions; whether the PBRF made it difficult for subjects dominated by practitioner-instructors to gain recognition for research produced by their staff; and whether there was evidence the TEOs were reducing the proportion of researcher instructors.
40. While the results of the analysis were inconclusive, the SRG responsible for the design of the 2012 Quality Evaluation consulted with the sector and other stakeholders on options for change to the process to address concerns about the assessment of professional, practice-based, commercial and applied research ('applied research') in the PBRF.³
41. These concerns were primarily about a potential bias towards more academic research outputs and activities at the expense of staff members and organisations with more of a focus on applied research, where the impact of the research was likely to be on end users rather than through citations or impacts on the academic discipline.
42. The SRG consulted on a number of options to address these concerns, including:
- Changes to the composition of panels to include wider representation, including greater detail on assessing applied research and addressing impact (as a means of assessing quality) in the panel-specific guidelines, and additional training for panels with specific debate on the broad assessment of impact.
 - Changes to the assessment process to allow panel chairs to request confidential statements from nominated independent referees to attest to impact of applied research, and encouraging panels to consider holistic assessment on the basis of research impact in the final phases of the evaluation.
 - Changes to the staff eligibility criteria to allowing a period of grace of 5-6 years for academics newly appointed from industry or the professions before they become eligible for the PBRF (as an alternative to "NE" status for those academics), and allowing TEOs to exclude clinical practice from teaching load when determining eligibility (even when this is part of a degree programme).
 - Establishing a new entrepreneurial panel to supplement the existing discipline-based panels, and allow academics who wished to submit EPs to this new panel and to a disciplinary panel, to receive a grade derived from a weighted average of the two scores.
43. Following public consultation and consideration of the responses from the sector and other stakeholders, the SRG recommended a number of changes to the Quality

² Cinlar N. & Dowse, J. (2008). *Staffing and Performance Trends in Research Subject Areas*. Wellington: Tertiary Education Commission.

³ TEC, PBRF Sector Reference Group review: Evaluating applied and practice-based research consultation paper, 2008.

Evaluation related to the assessment of applied research, which were implemented. However, the most significant change was the establishment of the Professional and Applied Research Expert Advisory Group (EAG). Staff members were able to specify that their EP be assessed by the EAG through the cross-referral process, with all requests being considered by the group.

44. The EAG was designed to assist the peer review panels by assessing the significance, quality and impact of research of a professional and/or applied nature, when this assessment needed to go beyond the usual academic excellence criteria. It was considered to apply particularly where the impact of the research was in the wider community and not necessarily conveyed through the standard PBRF measures.
45. However, key factors limited the success of the changes. One of these was that it was difficult for applied researchers to fully address any impact that their research may have had outside the academic/tertiary education environment under the framework for EP content. Another was that the referral to the EAG relied on at least one NRO meeting the criteria for the EAG. The EAG only provided cross-referral advice to the primary peer review panel which meant that it provided advice and scoring in the first of the five scoring stages only. This limited the influence that the assessment could have on the final Quality Category result.
46. Only 4.5% of EPs submitted to the 2012 Quality Evaluation sought a referral to the EAG. Following the exercise, there was general agreement from the EAG, panels, the sector and other stakeholders that this was not the most effective way of addressing concerns about the assessment of applied research.
47. Cabinet decided in February 2014 to disestablish the EAG and incorporate experts in professional and applied research into the subject area peer review panels.

Changes to the 2018 Quality Evaluation relating to applied research

48. The SRG identified at the beginning of the consultation process for the design of the 2018 Quality Evaluation that it would provide additional guidance on the inclusion and assessment of applied research.
49. The SRG has taken the position throughout the development of the operational framework for the 2018 Quality Evaluation that staff members undertaking applied research should be able to look at all aspects of the process and see how their research will be recognised.
50. The SRG is committed to ensuring that there is improved operational guidance to better recognise and reward applied research. A number of decisions have already been made that aim to achieve this:
 - Reduction in the length of time a staff member contracted to a TEO from a non-TEO is required to fulfil a major role in teaching from five years down to three years. This amendment seeks to encourage collaborative arrangements and cross-over between industry and TEOs.
 - The introduction of the Research Contribution component to EPs, which allows staff members to include items of esteem from peers outside of TEOs, along with contributions and impact that their research has had outside academia with a specific category for this ('Uptake and impact').
 - There will be specific advice in the PBRF 2018 Quality Evaluation Guidelines to ensure that all types of Research Contribution are considered on their merits (i.e. no

one specific type will be weighted higher than another). This has been included to ensure that panels take due consideration of all types of Research Contribution made, regardless of whether this is related to basic or applied research.

- The peer review panel selection process has also been revised with a specific goal to include applied and practice-based researchers, with specific targets for those panels where this research is more prevalent.
- The PBRF definition of research has been revised to better reflect applied research, with specific advice to be provided within panel-specific guidelines.
- Granted patents will continue to be eligible research outputs ('Intellectual Property') and these will be considered to be Quality Assured. Other research outputs common in applied research are also reflected in the revised Research Output types, for example, 'Creative Work', 'Discussion/Working Paper', 'Other Form of Assessable Output' and 'Reports'. The TEC will continue to allow confidential material to be submitted where approval has been given for this material to be assessed by the panel.
- Specific guidance on determining eligibility of non-standard research outputs, which will allow staff members who have applied research outputs like products to submit the appropriate output for consideration by panels.
- The PBRF 2018 Quality Evaluation Guidelines will include specific reference to quality assurance processes used by applied researchers, with further advice to be included in the panel-specific guidelines.
- The Research Contribution component scoring descriptor and tie-point descriptors have been developed, which specifically reference standards for assessing the excellence of esteem, contribution and impact of applied research.
- Staff members will be able to provide additional contextual information on their research in the "Platform of Research - Contextual Summary" section which will be specifically considered in the Holistic assessment (as discussed above). This will further support the panels to make appropriate judgements on the EPs of applied researchers.
- Panels will also provide discipline-specific advice related to applied research in their panel-specific guidelines.

51. The full detail of these decisions is published on the TEC [website](#).

52. The SRG seeks feedback on what other aspects of the Quality Evaluation process need specific consideration and review in order to address concerns about the inclusion and assessment of applied research.

Criteria for determining and assessing 'new and emerging' researchers

Determining and assessing 'new and emerging' researchers in previous Quality Evaluation assessments

53. The 'new and emerging' (NE) researcher classification was introduced following concerns raised by panels after the 2003 Quality Evaluation that the assessment criteria could provide disincentives to staff who had recently completed a PhD. It was noted that some of these staff were building a research platform but achieved an "R" quality

category since they were unable to demonstrate sufficient peer esteem (PE) or contribution to research environment (CRE).

54. The SRG responsible for the design of the 2006 Quality Evaluation consulted on and recommended two new Quality Categories – “C(NE)” and “R(NE)” along with criteria and evidence requirements associated with these Quality Categories.
55. The SRG responsible for the design of the 2012 Quality Evaluation also consulted on the NE research criteria but did not recommend any significant changes.
56. In the 2012 Quality Evaluation Guidelines the criteria to determine a NE researcher were:

*The staff member meets the requirements of the staff-participation criteria; AND
EITHER*

They were first appointed to a PBRF-eligible or equivalent position (whether in New Zealand or overseas, and whether in a TEO or non-TEO) on or after 1 January 2006

OR

Their conditions of employment changed on, or after, 1 January 2006 to include a requirement to undertake either research or degree-level teaching where the staff member has not undertaken either in their previous conditions of employment (i.e. for the first time in their career).

57. The evidence requirements for a “C(NE)” Quality Category in the 2012 Quality Evaluation Guidelines were:

In order for a new and emerging researcher to have the potential to secure the new Quality Category “C(NE)”, evidence will need to be provided that includes at least the following:

- a) *The successful completion of a Doctoral degree or equivalent during the assessment period for the Quality Evaluation AND ‘Other’ research outputs of an adequate quality and quantity, bearing in mind the time period during which the staff member has been PBRF-eligible (a minimum of two quality-assured research outputs would normally be expected)*

OR

- b) *Research outputs equivalent to a) above.”*

58. The guidelines also provided a definition of Doctoral degree or equivalent:

In most disciplines, a Doctoral degree is regarded as the appropriate entry-level degree for an academic appointment involving research; in some other disciplines, however, either a Masters degree (in, for example, Creative and Performing Arts) or a professional qualification (such as in Law or Education) may be the customary qualification for a research career. Staff members without a Doctoral degree would normally need to provide evidence of more than the minimum number of research outputs (i.e. two).”

Changes to the weighting of “C(NE)”

59. In February 2014, Cabinet agreed that a weighting of 2 would be applied to a “C(NE)” Quality Category in the funding calculation for the 2018 Quality Evaluation. Prior to this both “C” and “C(NE)” Quality Categories were unweighted.

60. The rationale for this change was that:

“The PBRF encourages tertiary education organisations to focus on the current value and performance of researchers, rather than their future value and performance. In doing so, the PBRF contains potential financial and reputational disincentives for tertiary education organisations to recruit and develop new and emerging researchers. Over the past decade, the proportion of lecturers reduced (from 24% in 2001 to 15% in 2011), while the proportion of professors increased from 7% to 12% and associate professors increased from 9% to 11%.”⁴

61. The increased financial value of EPs submitted by new and emerging researchers is expected to result in better sustainability of the tertiary education research workforce.

62. The SRG agreed that it would clarify the intent and purpose of the NE criteria to ensure that it is explicit which staff are and are not considered to be ‘new and emerging’. After careful consideration of the issues and the intentions of Cabinet regarding new and emerging researchers, the SRG and the TEC agreed and published the following principle in April 2015.

In order for a staff member to be considered for the ‘new and emerging’ researcher Quality Categories (“C(NE)” or “R(NE)”), the key principle is that the staff member is undertaking substantive and independent research for the first time in their career. Staff who have produced outputs that meet the PBRF definition of research before the assessment period, except when in a supervised or support role, cannot be considered as ‘new and emerging’.

63. The SRG has also proposed to review and revise the evidence requirements for a “C(NE)” Quality Category, with the revised content included in this consultation paper. However, the SRG has agreed that the eligibility criteria for determining ‘new and emerging’ researchers should also be reviewed in order to ensure that it aligns to the principle and the evidence requirements.

Proposed eligibility criteria and evidence requirements

64. The SRG proposes the following criteria and guidance to determine if a staff member is ‘new and emerging’:

To be considered a ‘new and emerging’ researcher, a staff member must:

- a. meet the requirements of the staff-participation criteria; AND*
- b. be appointed to a PBRF-eligible or equivalent position for the first time on or after 1 January 2012; AND*
- c. undertake substantive and independent research on, or after, 1 January 2012 for the first time in their career.*

⁴ Office of the Minister for Tertiary Education, Skills and Employment, Cabinet Social Policy Committee, [Improving the efficiency and effectiveness of the Performance-Based Research Fund](#), February 2014.

A PBRF-eligible equivalent position can be within or outside of New Zealand, and it could be within a TEO or non-TEO, or self-employed.

Staff members are considered to undertake substantive and independent research if they undertake the design of research activity and/or the preparation of research outputs (e.g. as a co-author/co-producer), and as a result are likely to be named as an author (or co-author/co-producer) of research outputs.

Staff members who have produced outputs when in a supervised or support role, such as research Masters or PhD study, are considered to be working under the close guidance of a lead researcher. This would not be seen as undertaking independent research.

A staff member is not considered 'new and emerging' if they:

- were PBRF-eligible in a previous Quality Evaluation;* or*
- held a PBRF-eligible equivalent position outside a TEO, including self-employment, prior to 1 January 2012; or*
- are identified as a sole author/producer of an output that meets the PBRF definition of research, and this output was publicly available prior to the assessment period; or*
- are employed in a role with a higher status and/or salary than a Lecturer or equivalent.*

**In previous Quality Evaluation rounds, the TEC has accepted that a small number of staff who were employed in the six month window between the end of the previous assessment period and the census date and classified as 'new and emerging' could potentially be considered 'new and emerging' in the current Quality Evaluation rounds. The eligibility of these staff will be considered by the TEC's auditors.*

65. The SRG proposes the following evidence requirements for a "C(NE)":

If a Doctoral, Masters or professional qualification thesis is submitted as evidence within the Research Output component, it is normally expected that at least one other quality-assured research output should also be included, in order for a new and emerging researcher to be considered for the Quality Category "C(NE)".

The type of thesis will normally depend on the appropriate entry-level degree for the staff member's discipline; however, it should be considered the customary qualification for an academic appointment involving research and/or a research career in that discipline. Panels will provide specific advice on 'new and emerging' qualifications in their panel-specific guidelines.

66. The SRG note that the descriptor for the Quality Category "C(NE)" may need to be updated to reflect any changes to the evidence requirements.

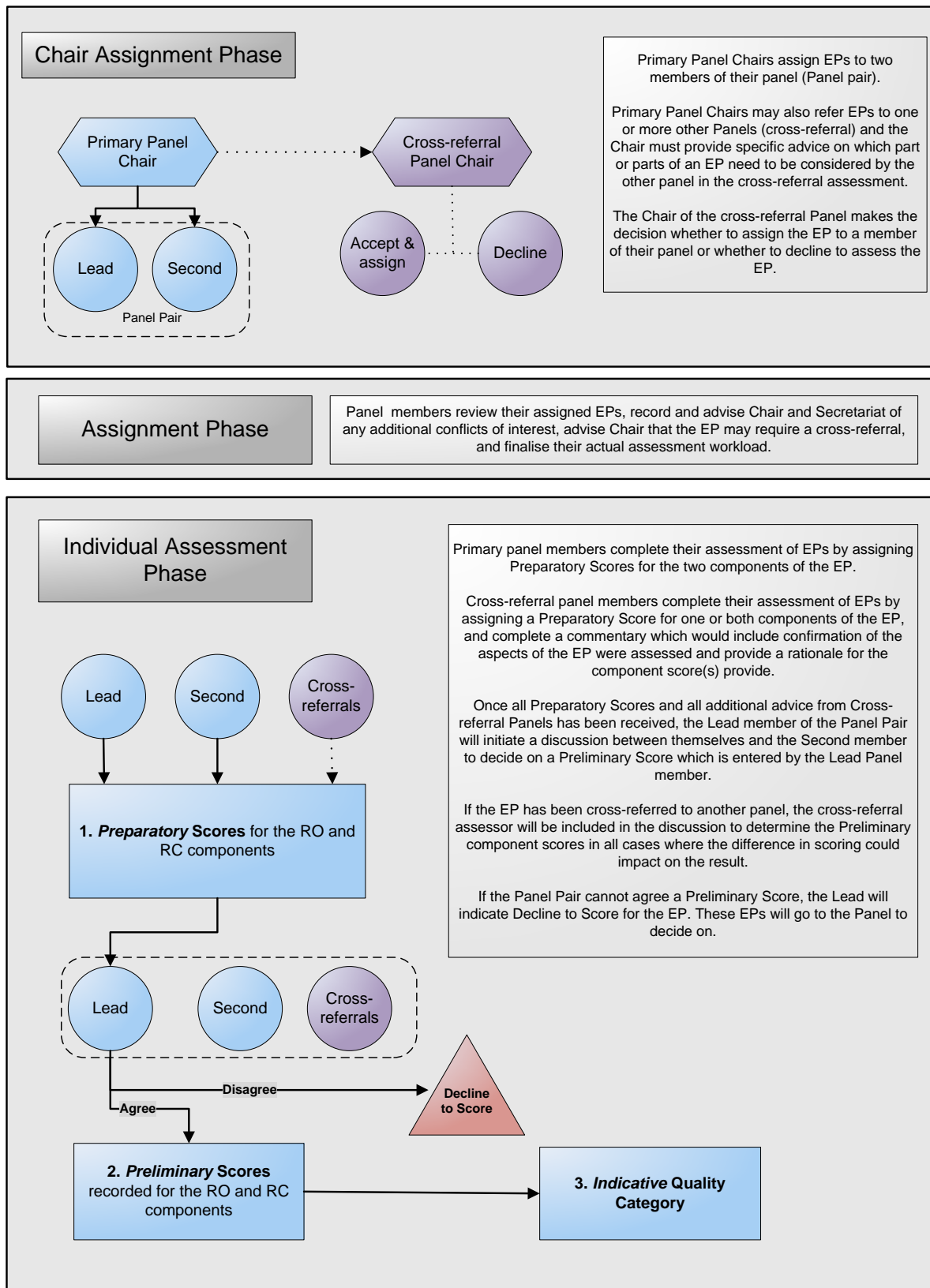
67. The SRG also noted in the first assessment framework consultation paper, a new and emerging researcher awarded a score of '2' for their RO component and a '1' or '0' in their RC component, will continue to have their weighted score automatically rounded up from 140 or 170 to 200 in the 2018 Quality Evaluation. This will also be made explicit in the draft guidelines.

68. The SRG seeks feedback on the proposed eligibility criteria and guidance, and evidence requirements for 'new and emerging' researchers.

Providing feedback

69. Feedback is sought from the sector and other key stakeholders on proposals for change set out in this paper.
70. The SRG also welcomes feedback on any other matters not included in this paper, or the previous paper, that relate to the assessment framework.
71. Feedback can be completed:
- online: <https://www.surveymonkey.com/r/BN6ZMCL>
 - or via email using the template provided on the TEC website, with completed templates being emailed to PBRFSRG@tec.govt.nz.
72. All feedback would be appreciated as soon as possible, but no later than 5pm Monday 8 February 2016.

Appendix 1: Overview of the assessment process



| | |
|-----------------------------------|--|
| Pre-Panel Assessment Phase | Panel members will be able to review their EPs in preparation for presenting these at their Panel meeting. |
|-----------------------------------|--|

First Moderation Meeting

| | |
|-------------------------------|--|
| Panel Assessment Phase | Panels come together to make final decisions on all EPs primarily assigned to their Panel. The Secretariat is the only person who can confirm scores in the IT system. Panel members will be able to view information. |
|-------------------------------|--|

Peer Review Panel Meeting

4. Calibrated Panel Scores

5. Calibrated Quality Category

Discussion will lead to agreement on the Calibrated Panel scores for the RO and RC components for each EP.

Holistic assessment process

6. Holistic Quality Category

The Holistic assessment process is to ascertain which Quality Category is most appropriate for an EP, taking all relevant factors into consideration. It is primarily for exceptions. Not all EPs will receive a Holistic Quality Category

7. Final Quality Category

The Panel determines and records the Final Quality Category for each EP.

Second Moderation Meeting

Reporting of results

Appendix 2: Research Contribution Component descriptors

Research Contribution (RC) Component Descriptor

This component of an Evidence Portfolio describes the contribution and recognition of a staff member's research and research-related activities, specifically:

- *the esteem in which their peers, within and outside of TEOs, hold their research;*
- *their role and the contributions they make, in creating a vital, high-quality research environment; and*
- *any impact that their research has had outside academia.*

This component allows for a number of activities that are indicators of a vital, high quality research environment, and/or provide indicators of the social, cultural, environmental and economic benefits of the research including the advancement of Mātauranga Māori. These activities may be local, national and/or international in orientation and impact.

These can include:

- *Contribution to research discipline and environment which reflects the staff member's contribution to the general development of their discipline or general improvements to research capability and/or the research environment inside and/or outside of academia.*
- *Facilitation, networking and collaboration which provides an indicator of the contribution the staff member makes to the research environment specifically through developing and supporting research networks and collaborations which develop their discipline or improve research capability inside and outside of academia.*
- *Invitations to present research or similar which provide an indicator of the staff member's reputation within and outside of academia, and as such, these items are about invitations that are specifically based on the staff member's research reputation, including invitations to give keynote addresses, or other similar invitations.*
- *Other evidence of research contribution which are not included in the other categories but demonstrate the contributions made, and/or esteem held, by a staff member and their research within or outside of academia.*
- *Outreach and engagement which reflects the contribution the staff member makes to the wider community in New Zealand and/or internationally through their research-based expertise.*
- *Recognition of research outputs which reflects the esteem in which a staff member's specific research outputs are held by their peers and others.*
- *Research funding and support which provides an indicator of the contribution the staff member makes to the research environment or reflect the staff member's esteem where the funding/support is competitive.*
- *Research prizes, fellowships, awards and appointments which indicate the staff member's research reputation within and outside of academia, and as such, these items are about selective memberships i.e. only elected/awarded memberships, fellowships, awards, prizes, appointments, etc. should be included.*
- *Researcher development which reflects the staff member's contribution to the range of activities related to mentoring colleagues in relation to research development.*
- *Reviewing, refereeing, judging, evaluating and examining which provides an indicator of the esteem a staff member may have amongst their peers.*

- *Student factors which reflect the staff member's contribution to student-related activity, as well as esteem factors associated with their research students.*
- *Uptake and impact which provides an indication of the contribution the staff member's research has had inside and/or outside of academia.*

Research Contributions can be generally categorised into three types, namely peer esteem, contributions to the research environment, and community/end-user impact.

Panels recognise that the items submitted within Evidence Portfolios will differ across the three areas and the 12 Research Contribution categories, and that the nature of disciplines and the opportunities they inherently have for esteem, contributions and community/end-user impact will differ.

To obtain high scores, strong and consistent evidence of both peer esteem and contributions to the research environment would normally be expected. However, it is not expected that all staff members will have, or include, examples of community/end-user impact.

RC Component tie-point descriptors

| SCORE | DESCRIPTOR |
|-----------------------|--|
| 7 | |
| <i>Tie-point</i> 6 | <p>The EP would be expected to demonstrate that the staff member's research has consistently attracted world-class recognition and the esteem of peers considered the experts in their field throughout the period; and that they can demonstrate a strong contribution to a world-class research environment in New Zealand and/or internationally, inside and/or outside of traditional academia; and/or they may have evidence that their research and/or expertise has had a significant impact, influence or benefit on the wider community or end-users.</p> <p>Evidence that the staff member has a strong and consistent history of 'world-class' recognition by their peers will be shown through, for example: invitations to present and/or contribute to world-class research (e.g. invited attendance, or presentations at prestigious academic, cultural and industry conferences/events); the receipt of highly prestigious prizes or awards for research; selective memberships or fellowships of leading learned societies/academies or prestigious institutions, or special status with professional or academic societies; and/or important directorships or advisory board memberships. Attracting top research students and mentoring their own students into postdoctoral and other fellowships, scholarships and positions within the research, industry or cultural sectors are also esteem factors associated with the staff member's research students.</p> <p>Evidence that the staff member makes a strong contribution to a world-class research environment in New Zealand and/or internationally will be shown through, for example: membership(s) of renowned collaborative research teams and/or research selection panels in New Zealand and/or internationally; research leadership at the highest levels (e.g. leading/participating in major research consortia); the development of research infrastructure; significant contributions to research-focused conferences, stakeholder engagement, or attracting research funding or support; attracting renowned scholars to the TEO and/or New Zealand; a consistent record of successful supervision of post-graduate students; contributions to developing new research capacity that go beyond student supervision, including among Māori and Pacific researchers, and/or supporting research students to produce research outputs that are quality-assured; and/or contributions to knowledge in the discipline and movement into significant places of creative practice; and undertaking editorship positions or membership of editorial panels or refereeing of top-ranked journals.</p> <p>There may be evidence within the EP that the staff member's research and/or expertise has had a significant impact, influence or benefit on the research community, the wider community, audience or end-users. This may include, for example: positive reviews or acknowledgement by esteemed end-users or favourable citations of research; significant changes to practice within a professional, cultural, or research community as a result of the staff member's research; marked benefits to the research community, business or industry through substantial new technology, design, processes, methods, services; significant changes in understanding, attitude, awareness, behaviour regarding issues as shown in public debate or presentation, media coverage, policy advice; and/or significant investment by partners or end-users into the research programme and/or further research outputs over an extended period of time.</p> |
| 5 | |
| <i>Tie-point</i> 4 | <p>The EP would be expected to demonstrate that during the assessment period, the staff member's research has been consistently recognised within New Zealand or elsewhere, and is esteemed beyond their own institution; and they have contributed research and leadership within the broader discipline in addition to contributing to their own organisation(s) research environment and/or outside of traditional academia; and/or their research and/or expertise has had a recognised impact, influence or benefit on the wider community or end-users.</p> <p>Evidence that the staff member has a consistent record of recognition by their peers will be shown through, for example: invitations to present and/or contribute to important research events(e.g. invited attendance, keynote addresses, or presentations at academic and industry conferences/events within New Zealand or elsewhere); the receipt of prizes or awards for research; membership of a professional society or similar with restricted or elected membership or honours or special status with professional or academic societies; advisory board memberships; reviewing of journal submissions and book proposals; and/or Doctoral examinations. Demonstrating that graduate students moving into research scholarships or postdoctoral fellowships or junior lectureships in departments with a good research reputation are also esteem factors associated with the staff member's research students.</p> <p>Evidence that the staff member makes a consistent contribution to the research environment in New Zealand and/or internationally will be shown through, for example: collaborative research across disciplinary boundaries or across organisations and/or membership(s) of research selection panels or leading research consortia within New Zealand; organising and hosting conferences; contributions (that are not research outputs) to research-focused conferences, stakeholder engagement, or attracting research funding or support; attracting researchers and scholars to the TEO; a consistent record of successful supervision of students; contributions to developing new research capacity that go beyond student supervision, including among Māori researchers and Pacific researchers, and supporting research students to produce research outputs possibly in conjunction with academic staff; contributions to debate in the discipline and/or public understanding of developments/implications in the discipline; and/or undertaking editorship positions or membership(s) of editorial panels or reputable journals within New Zealand or elsewhere.</p> <p>There may be evidence within the EP that the staff member's research and/or expertise has had an impact, influence or benefit on the research community, the wider community, audience or end-users. This may include, for example: positive reviews or acknowledgement by end-users or favourable citations of specific research outputs; changes or partial changes to practice within a professional, cultural or research community as a result of the staff member's research; recognised benefits to the research community, business or industry through new technology, design, processes, methods, services; recognised changes in understanding, attitude, awareness, behaviour regarding issues as shown in public debate or presentation, media coverage, policy advice; and/or moderate investment by partners or end-users into the research programme and/or further research outputs.</p> |
| 3 | |
| <i>Tie-point</i> 2 | <p>The EP would be expected to demonstrate that the staff member is developing recognition for their research among their peers, particularly their contribution and developing rigour in the application of research techniques; and they have contributed to their immediate research environment, primarily within their organisation(s) and/or outside of traditional academia; and/or they may have evidence that their research and/or expertise has had a minor but recognised impact, influence or benefit on the wider community or end-users.</p> <p>Evidence that the staff member is developing recognition within their own institution and/or beyond will be shown through, for example: invitations to present research to informed audiences, within and possibly beyond the applicant's immediate institution; invitations to contribute to research, particularly as a named researcher in an externally funded research programme(s) or project(s); invitations to referee research outputs; and/or the receipt of prizes or awards for research.</p> <p>Evidence that the staff member can demonstrate a contribution to a high-quality research environment within their organisation(s) and/or beyond. This may be evidenced through, for example, participating in committees of organisational bodies or discipline-related bodies dealing with research matters; organising and hosting research-focused conferences and/or seminars; contributions to stakeholder engagement; attracting, or assisting to attract, research funding or support; hosting visiting researchers; and/or the successful supervision of Masters and Doctoral students, including Māori and Pacific students.</p> <p>There may be evidence within the EP that the staff member's research and/or expertise has had some impact, influence or benefit on the research community, the wider community, audience, or end-users. This may include, for example: positive reviews or acknowledgement by relevant end-users or positive citations of research; minor but recognised benefits to the research community, business or industry through new technology, design, processes, methods, services; minor but recognised changes in understanding, attitude, awareness, behaviour regarding issues as shown in public debate or presentation, media coverage, policy advice; and/or minor investment by partners or end-users into further research outputs.</p> |
| 1 | <p>The EP demonstrates that during the assessment period there is minimal evidence of esteem generated through research, either within or outside of academia; and/or minimal evidence of any contributions to the research environment; and/or minimal evidence of any impact, influence or benefit that their research and/or expertise has had inside or outside of academia.</p> |
| 0 | <p>The EP demonstrates that during the assessment period there is no evidence of esteem generated through research; no contributions to the research environment; and no impact, influence or benefit that their research and/or expertise has had inside or outside of academia.</p> |