



agenda

Te Komiti Rangahau o Unitec | Unitec Research Committee

Date:	2022-10-13
Scheduled Start:	1300h
Scheduled End:	1500h
Location:	Microsoft Teams

SECTION 1 NGĀ KUPU ARATAKI | PRELIMINARIES

1. Karakia Timatanga | Opening Prayer
2. Mihi Whakatau | Welcome from the Chair
3. Membership
4. Terms of Reference

SECTION 2 STANDING ITEMS

1. Ngā Whakapāha | Attendance, Apologies & Quorate Status
2. Pitopito Kōrero o Ngā Hui | Minutes of the Previous Meetings
3. Mahia Atu | Matters Arising

SECTION 3 MEA HEI WHAKAAE | ITEMS TO APPROVE

1. 2023 URC Terms of Reference

SECTION 4 WHAKAWHITI KŌRERO | ITEMS FOR DISCUSSION

1. PBRF SRG Consultation Paper 8

SECTION 5 NGĀ TUKUNGA | ITEMS TO RECEIVE

2. Animal Ethics – Te Pūkenga Code of Ethical Conduct

SECTION 6 KUPU WHAKAMUTUNGA | CLOSING

1. Ētahi Kaupapa Anō | Any Other Business
2. Komiti Self-Assessment
3. Karakia Whakamutunga | Closing Karakia

SECTION 1

NGĀ KUPU ARATAKI | PRELIMINARIES

Item 1.1 Karakia Tīmatanga | Opening Prayer

KARAKIA TĪMATANGA	OPENING PRAYER
<i>Manawa mai te mauri nuku</i>	<i>Embrace the power of the earth</i>
<i>Manawa mai te mauri rangi</i>	<i>Embrace the power of the sky</i>
<i>Ko te mauri kai au</i>	<i>The power I have</i>
<i>He mauri tipua</i>	<i>Is mystical</i>
<i>Ka pakaru mai te pō</i>	<i>And shatters all darkness</i>
<i>Tau mai te mauri</i>	<i>Cometh the light</i>
<i>Haumi ē, Hui ē, Tāiki ē!</i>	<i>Join it, gather it, it is done!</i>

Item 1.2 Mihi Whakatau | Welcome from the Chair**Item 1.3 Te Komiti Rangahau o Unitec Membership**

Marcus Williams (Associate Professor)	Chair and Director Research and Enterprise
Daisy Bentley-Gray (New and Emerging)	Nominee of Director, Pacific Success
Dr Catherine Mitchell (Early Career)	Nominee of Director, Māori Success
Dr Helen Gremillion (Associate Professor)	Healthcare and Social Practice
Dr Yusef Patel (Early Career)	Architecture
Duaa Alshadii (New and Emerging)	Building Construction
Dr Lian Wu (Associate Professor)	Healthcare and Social Practice
Dr Hamid Sharifzadeh (Associate Professor)	Computing and Information Technology
Dr Leon Tan (Associate Professor)	Creative Industries
Dr Kristie Cameron (Early Career)	Environmental & Animal Sciences
Dr Mitra Etemaddar	Applied Business
Robyn Gandell (Early Career)	Bridgepoint
Subject Librarian (representation rotates)	Learning and Achievement
Vacant	One member nominated by the Student Council
Arun Deo	Research Advisor

In attendance: Brenda Massey Acting URC Secretary

Item 1.4 Te Komiti Rangahau o Unitec Terms of Reference

The powers and functions of Te Komiti Rangahau o Unitec (URC) shall be to:

- a. Foster the conduct of research, and support the achievement of Unitec's strategic research, enterprise and innovation priorities.
- b. Propose and advise on strategic directions and priorities for research, enterprise, and

innovation.

- c. Provide expert advice on institutional policy.
- d. Develop protocols and guidelines and make recommendations in relation to the conduct of research, enterprise, and innovation.
- e. Oversee the Grants Advisory Committee and the reporting of funded projects.
- f. Encourage and enhance the development of the research, enterprise, and innovation culture along with student and staff research capability, with emphasis on the development of Māori and Pacific research capability.
- g. Oversee the monitoring of research outputs and research reporting.
- h. Foster Māori and Pacific, transdisciplinary, collaborative and externally engaged research, enterprise, and innovation.

SECTION 2 STANDING ITEMS

Section 2.1 Ngā Whakapāha | Attendance, Apologies & Quorate Status

RECOMMENDATION

That the committee accepts the apologies of today's meeting.

Section 2.2 Pitopito Kōrero o Ngā Hui | Minutes of the Previous Meetings

refer to [pg5](#)

RECOMMENDATION

That the committee approves the minutes of the meeting of 2022-09-08.

Section 2.3 Mahia Atu | Matters Arising

refer to [pg12](#)

SECTION 3 MEI HEI WHAKAAE | ITEMS TO APPROVE

Section 3.1 2023 URC Terms of Reference

refer to [pg13](#)

SECTION 4 WHAKAWHITI KŌRERO | ITEMS FOR DISCUSSION

Section 4.1 PBRF SRG Consultation Paper 8

refer to [pg15](#)

SECTION 5 NGĀ TUKUNGA | ITEMS TO RECEIVE

Section 5.1 Animal Ethics – Te Pūkenga Code of Ethical Conduct

refer to [pg85](#)

SECTION 6

KUPU WHAKAMUTUNGA | CLOSING

Section 6.1

Ētahi Kaupapa Anō | Any Other Business

Section 6.2

Komiti Self-Assessment

refer to [pg87](#)

Section 6.3

Karakia Whakamutunga | Closing Karakia

TE KARAKIA WHAKAMUTUNGA	CLOSING PRAYER
<i>Ka wehe atu tātou</i>	<i>We are departing</i>
<i>I raro i te rangimārie</i>	<i>Peacefully</i>
<i>Te harikoa</i>	<i>Joyfully</i>
<i>Me te manawanui</i>	<i>And resolute</i>
<i>Haumi ē, Hui ē, Tāiki ē!</i>	<i>We are united, progressing forward!</i>



minutes

Te Komiti Rangahau o Unitec | Unitec Research Committee

Date:	2022-09-08
Scheduled Start:	1300h
Scheduled End:	1500h
Location:	Microsoft Teams

MEETING OPENED:	1300h
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SECTION 1 – NGĀ KUPU ARATAKI | PRELIMINARIES

Item 1.1 Karakia Tīmatanga | Opening Prayer

Item 1.2 Mihi Whakatau | Welcome from the Chair

The Chair warmly welcomed members of the committee to the meeting including new member Mitra Etemaddar (Applied Business) and proxy member Sameh Shamout (Architecture).

SECTION 2 – STANDING ITEMS

Item 2.1 Ngā Whakapāha | Attendance, Apologies & Quorate Status

Members Present

1. Marcus Williams (Chair)
2. Cat Mitchell
3. Daisey Bentley-Gray
4. Duaa Alshadli
5. Kristie Cameron
6. Hamid Sharifzadeh
7. Robyn Gandell
8. Sameh Shamout (proxy for Yusef Patel)
9. Mitra Etemaddar
10. Arun Deo
11. Leon Tan
12. Helen Gremillion

Total members represented: 12 members

Apologies

1. Norasieh Md Amin
2. Yusef Patel

Total apologies: 2 members

Absent

1. Lian Wu 1 member

Quorate Status

A minimum of 9 representatives is required; the meeting was quorate.

Hunga Mahi | Staff in Attendance

1. Brenda Massey, Acting Secretary

Item 2.2 Pitopito Kōrero o Ngā Hui | Minutes of Previous Meeting

MOTION

That the committee approves the minutes of the 2022-07-14 meeting as a true and accurate record.

Moved: Daisy Bentley-Gray

Seconded: Kristie Cameron

MOTION CARRIED

Item 2.3 Mahia Atu | Matters Arising

Last month's meeting was cancelled due to a paucity of agenda items.

Agenda Item	Action	Responsible	Outcome
2.3	Send David Airehrour a formal letter of gratitude thanking him for his services to the committee.	Brenda Massey/ Marcus Williams	Complete
2.3	Utilise the Research Bank to review the research that has been conducted on or with Māori by non-Māori researchers at Unitec and report findings back to the committee.	Nora Md Amin	A verbal update will be provided at the next meeting.
3.1	Issue formal notification of the URC's endorsement of the establishment of the Digital Heritage Research Centre and the Centre for Research in Education for Healthcare Professionals to A/P Renata Jadresin-Milic and A/P Samantha Heath respectively.	Marcus Williams	Complete
3.2	Issue a letter thanking Denis Lavrov for his outstanding report and for his commitment to, and leadership of, the Cybersecurity Research Centre.	Brenda Massey/ Marcus Williams	Complete
4.2	Update the Research Centre Procedure.	Marcus Williams	Complete
5.1	Write to Cat Mitchell thanking her for her report and congratulating her on the successful completion of her project.	Brenda Massey/ Marcus Williams	Complete
6.1	Regularly schedule any updates on research from Te Pūkenga for sharing and discussion at future committee meetings.	Marcus Williams	Complete. This action has been added to the committee's annual work plan.

SECTION 3 – MEA HEI WHAKAAE | ITEMS TO APPROVE

Section 3.1 2023 ECR Fund Grants Advisory Committee (GAC) Membership

The committee reviewed and approved the membership of the 2023 ECR Fund Grants Advisory Committee (GAC), a sub-committee of the Unitec Research Committee who will assess applications to the 2023 ECR Contestable Project Fund. The committee will be advised of the outcomes of the applications at its first meeting of 2023.

MOTION

That the committee approves the membership of the 2023 ECR Fund Grant Advisory Committee (GAC).

Moved: Helen Gremillion

Seconded: Daisy Bentley-Gray

MOTION CARRIED

SECTION 4 - WHAKAWHITI KŌRERO | ITEMS FOR DISCUSSION

Section 4.1 Guidelines for Non-Degree Teaching Research Track

For several years Unitec has operated a formal process, agreed to by the then Senior Academic Leadership Team, that guides the circumstances under which non-degree teaching researchers can gain access to research funding and support, even though they are not mandated by TEC regulations to undertake research. The process involves non-degree teaching researchers developing an Individual Research Plan, as well as a review of their research productivity, as evidenced in ROMS, by the Research Advisor, Director Research and Enterprise and the Research Partners. If it is ascertained that the researcher could, with support, develop a successful PBRF portfolio, negotiations are entered into with their Head of School for assistance with achieving a research track.

Without such a process there could be very research active staff at Unitec who are not included in the support structures that degree teaching researchers automatically receive, and thus might not be motivated to submit a PBRF portfolio.

It is an appropriate time, as Unitec transitions into Te Pūkenga, to document this process through the production and dissemination of a written procedure which will be accessible via Te Aka | The Nest. The procedure has been drafted with input from Brenda Massey, Tūāpapa Rangahau and with oversight from Prof Martin Carroll, DCE Academic.

The committee discussed the new proposed Guidelines for Non-Degree Teaching Research Track as follows:

- Clarification was sought as to what will define 'excellence'. Is it the number of publications a researcher has produced? Their likelihood of submitting a rated PBRF portfolio? The Chair responded that 1) there are a variety of ways excellence could be demonstrated, some of which can be discipline specific, and this is one of the reasons why a concurrence of expertise will be utilised to assess excellence 2) the TEC is still consulting on how the PBRF will look in 2026 and how excellence and impact will be assessed. The measure of research excellence will be closely based on the PBRF definition. However, Tūāpapa Rangahau does

have some pre-prepared guidance that can be shared with those who are interested in pursuing this track.

- If was queried whether someone who is not necessarily well-published but who is highly active in the pursuit of external research funding could meet the ‘excellence’ criteria. Tūāpapa Rangahau has found that the chances of someone winning external funding without a good record of publication are slim and therefore this scenario is unlikely.
- Cat Mitchell endorsed the proposed guidelines and acknowledged the support provided by Tūāpapa Rangahau that assisted her to move into the research space whilst undertaking her PhD and working in Maia, and now Ngā Wai a Te Tūi, in a non-degree teaching role.
- Daisy Bentley-Gray was similarly supportive of the initiative. Many staff in the Pacific Centre are not degree-teaching but are research active. The TEC is actively encouraging the development of Māori and Pacific researchers and New Zealand’s Māori and Pacific research workforce. This type of policy will help to create opportunity in this space.

The Chair has already consulted on the guidelines with Heads of Schools. He thanked the committee for their feedback and will now seek ratification of them from the Executive Leadership Team.

SECTION 5 - NGĀ TUKUNGA | ITEMS TO RECEIVE

Section 5.1 2021 Unitec Annual Research Report

The committee received the 2021 Unitec Annual Research Report, which was accepted by Te Komiti Mātauranga yesterday.

The report is a manifestation of and testament to the resilience of Unitec’s research community who, despite the vicissitudes of relentless change and disruption, a pandemic, and a partial lockout of one of our largest teaching and research facilities due to an asbestos scare, still managed to undertake the multitude of activities highlighted in the report.

Progress towards the six Research Strategy KPIs, all defined and ratified by this committee, is consistently tracking upwards and Unitec is meeting its research targets. While the Research Productivity Traffic Light did decrease from 100% to 93% last year, our external research income is well over \$2m p/a now, and industry funded projects, student integrated projects etc are all tracking well. The data on Māori research productivity is quite strong in the report, and while Tūāpapa Rangahau is concerned about how that space will look with the departure of Prof Jenny Lee-Morgan and many of her team members, it is heartening that Dr Hinekura Smith is taking the reins of Ngā Wai a Te Tūi as its interim Director, and the team members that remain are doing excellent mahi.

The Chair acknowledged the work of Arun Deo who led Tūāpapa Rangahau in the production of the report and congratulated the committee for their governance in overseeing all the activity contained within.

The Chair encouraged members of the committee to engage with the report, to share it (internally), and to encourage their Heads of School to read it and to be proud of it. It’s an outstanding report that represents an organisation that shows leadership at every level in this space.

Section 5.2 2022 Research Productivity Traffic Light (RPTL) Report

The committee received the 2022 RPTL Report. The RPTL measures the research health of every degree programme over a two-year period and is a formal audit of research productivity. The goalposts have only been changed twice since its establishment in 2012, once to make an allowance for maternity leave and again to reduce the bar for part-time staff so instead of having to produce two outputs in two years, anyone 0.5 FTE or less only has to produce one output in two years. Both changes were developed by this committee and then presented to the then Academic Board for approval.

In 2021, 100% of Unitec's programmes were green-lit and in 2022 this moved to 93% green (two programmes moved from green to amber during the reporting period). The report should be seen in the context of the overall trend of the traffic light, which has moved from 33% green when the measure was first implemented in 2012, through to 2021 when it became 100% green.

The committee should be very proud of what has been achieved. 2022's result demonstrates only a very small slippage and in the context of the challenges we've all faced in recent years, Unitec has done remarkably well.

Section 5.3 **2022 ECR Funding Reports**

The committee received and reviewed the progress reports submitted by the four 2022 ECR Funding recipients. Highlights included good industry collaborations being developed, papers in progress, student involvement in projects and external grant opportunities in development. It is great to see the development of the funded ECRs and heartening to see our processes and products are ultimately leading to the outcomes that the committee and Tūāpapa Rangahau are seeking.

Action: Brenda Massey to draft letters to each of the four researchers thanking them for their reports.

Section 5.4 **ECR Fellowship Scheme – Open for Applications**

The committee noted that the call for applications for Early Career Researcher (ECR) Fellowships for Semester 1 2023 are being accepted from now until 30 September. Applications must be developed in partnership with a Research Partner and require Head of School endorsement.

It was noted that the deadline for applications falls at the end of the semester while many researchers are still attending to teaching commitments. It was queried whether the deadline for applications could be extended to the end of the mid-semester break, i.e., Friday, 14 October.

Action: Brenda Massey to ask Research Partner Penny Thomson if it is possible to extend the deadline for applications to the end of the mid-semester break and to recirculate the documents to all Research Leaders as a reminder of the availability of this opportunity.

If there is an extension to the deadline, Tūāpapa Rangahau will publicise this widely.

Section 6.1 Ētahi Kaupapa Anō | Any Other Business

Feedback on Te Pūkenga's proposed operating model has closed. The Rangahau Research Forum (RRF) worked together on a submission, which is available through the Chair on request to any committee member who is interested in reviewing it.

The RRF's submission proposed a combination of central strategic research leadership, that some implementation tasks, for example the administration of externally funded projects, be undertaken at central level, and that a good chunk of support and capacity building be available at a local level.

If there is a follow-up call for more granular feedback on research, then the Chair will try to engage the committee in a discussion around that. Unfortunately, discussion at a committee level wasn't possible on this occasion due to the timing of the consultation occurring between meetings.

The seventh PBRF Sector Reference Group Consultation Paper, "[Individual Circumstances and EP Submission Requirements](#)" has been released and is currently open for feedback. The paper is incredibly detailed, however if there is an opportunity to engage the committee on it, the Chair will endeavour to do so.

The Chair urged committee members to encourage their colleagues to submit an abstract for the 2022 Unitec/MIT Research Symposium. There are a number of prizes in different categories being offered. The symposium is being held online so it is very easy to engage with it. External attendees are welcome, however abstracts can only be submitted by researchers who are part of the ITP sector, or who are partnered with someone from the ITP sector and that person will be presenting with them.

Section 6.2 Komiti Self-Assessment

An opportunity was given for the committee to reflect on their self-assessment provocations. The committee was reminded that feedback can be emailed to the Chair or the Secretary at any time (in confidence if requested).

Section 6.3 Karakia Whakamutunga | Closing Karakia

MEETING CLOSED: 1415 h

SUMMARY OF ACTIONS

Agenda Item	Action	Responsible	Outcome
2.3	Utilise the Research Bank to review the research that has been conducted on or with Māori by non-Māori researchers at Unitec and report findings back to the committee.	Nora Md Amin	
5.3	Draft letters to each of the four 2022 ECR Funded researchers thanking them for their reports.	Brenda Massey / Marcus Williams	
5.4	Ask Research Partner Penny Thomson if it is possible to extend the deadline for applications for ECR Fellowships for Semester 1	Brenda Massey	

	to the end of the mid-semester break and to recirculate the documents to all Research Leaders as a reminder of the availability of this opportunity.		
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MATTERS ARISING

Agenda Item	Action	Responsible	Outcome
2.3	Utilise the Research Bank to review the research that has been conducted on or with Māori by non-Māori researchers at Unitec and report findings back to the committee.	Nora Md Amin	Verbal update will be provided
5.3	Draft letters to each of the four 2022 ECR Funded researchers thanking them for their reports.	Brenda Massey / Marcus Williams	Complete
5.4	Ask Research Partner Penny Thomson if it is possible to extend the deadline for applications for ECR Fellowships for Semester 1 to the end of the mid-semester break and to recirculate the documents to all Research Leaders as a reminder of the availability of this opportunity.	Brenda Massey	Complete

Unitec New Zealand Limited

Te Komiti Rangahau o Unitec | Unitec Research Committee

13 October 2022

Title	2023 URC Terms of Reference
Provided by:	Brenda Massey, Acting Secretary
For:	Approval

Recommendation

That the committee approves a roll-over of its current Terms of Reference into 2023.

Purpose

The Terms of Reference define the powers, functions and purpose of the committee. As per the Conduct of Research Policy they shall be outlined to Te Komiti Mātauranga | Academic Committee each year.

Information/Background

In December 2020 the committee reviewed and approved revised Terms of Reference. These are as follows:

Te Komiti Rangahau o Unitec Terms of Reference

The powers and functions of Te Komiti Rangahau o Unitec (URC) shall be to:

- a. Foster the conduct of research, and support the achievement of Unitec's strategic research, enterprise and innovation priorities;
- b. Propose and advise on strategic directions and priorities for research, enterprise and innovation;
- c. Provide expert advice on institutional policy;
- d. Develop protocols and guidelines and make recommendations in relation to the conduct of research, enterprise and innovation;
- e. Oversee the Grants Advisory Committee and the reporting of funded projects;
- f. Encourage and enhance the development of the research, enterprise and innovation culture along with student and staff research capability, with emphasis on the development of Māori and Pacific research capability;

- g. Oversee the monitoring of research outputs and research reporting; and,
- h. Foster Māori and Pacific, transdisciplinary, collaborative and externally engaged research, enterprise and innovation.

Next Steps

The approved Terms of Reference will be outlined to Te Komiti Mātauranga | Academic Committee.

Contributors

A/P Marcus Williams, Director Research & Enterprise

Unitec New Zealand Limited

Meeting of Te Komiti Rangahau o Unitec | Unitec Research Committee

Date of Meeting: 13 October 2022

Title	PBRF Sector Reference Group – Consultation Paper 8
Provided by:	A/P Marcus Williams, Director Research and Enterprise
For:	Feedback/Discussion

Recommendation

That the committee considers the Panels Assessment Criteria developed by the PBRF Sector Reference Group (SRG).

Key Points

The consultation paper sets out proposals and approaches developed by the PBRF SRG for issues relating to the assessment criteria and processes of the peer review panels which will be convened for Quality Evaluation 2026.

The paper sets out background information, analysis, and proposals for:

- Evidence Portfolio (EP) component scoring guidelines;
- EP component weightings;
- Cross-referral processes and guidelines;
- Holistic assessment guidelines;
- Calibration of EPs with reduced submission requirements.

It also provides the sector with information in relation to issues for which the TEC has determined consultation is not required. These are:

- Subject area selection criteria; and
- Calibration guidelines and training.

This is the second of two consultation papers focussed on issues related to the peer review panels. The Panels Membership Criteria and Working Methods consultation was open between 1 – 29 July 2022. The SRG has considered the feedback received and made recommendations to the TEC on that basis. The TEC will consider the SRG's recommendations alongside officials' advice and will publish decisions alongside the peer review panel member Call for Nominations in October 2022.

Information/Background

Ahead of the next Quality Evaluation, the TEC has appointed a SRG comprising members from across tertiary and research sectors. The SRG is to advise the TEC on the operation and design of the PBRF,

contributing critical sector expertise and knowledge towards the implementation of Cabinet's decisions on the PBRF. SRG recommendations are developed as part of a public consultation process. The SRG has just released Consultation Paper 8 "Panels Assessment Criteria" for feedback.

Next Steps

The consultation period will run from Friday 30 September – 11 November 2022. Feedback can be provided via the online survey: <https://www.surveymonkey.com/r/HTSMTWV>

Consultation feedback will be considered by the SRG and recommendations made to the TEC.

Attachment

PBRF Sector Reference Group – Consultation Paper 8 "Panels Assessment Criteria".

**Tertiary Education
Commission**
Te Amorangi Mātauranga Matua



PBRF Sector Reference Group – Consultation paper 8

Panels assessment criteria

Purpose

- 1 This paper sets out proposals and approaches developed by the PBRF Sector Reference Group (SRG) for issues relating to the assessment criteria and processes of the peer review panels which will be convened for Quality Evaluation 2026.
- 2 The paper sets out background information, analysis, and proposals for:
 - › Evidence Portfolio (EP) component scoring guidelines;
 - › EP component weightings;
 - › Cross-referral processes and guidelines;
 - › Holistic assessment guidelines;
 - › Calibration of EPs with reduced submission requirements.
- 3 It also provides the sector with information in relation to issues for which the TEC has determined consultation is not required. These are:
 - › Subject area selection criteria; and
 - › Calibration guidelines and training.
- 4 This is the second of two consultation papers focussed on issues related to the peer review panels. The Panels Membership Criteria and Working Methods consultation was open between 1 – 29 July 2022. The SRG has considered the feedback received and made recommendations to the TEC on that basis. The TEC will consider the SRG's recommendations alongside officials' advice, and will publish decisions alongside the peer review panel member Call for Nominations in October 2022.

Background

- 5 The proposals set out in the consultation paper are informed by feedback received on areas for potential operational changes following Quality Evaluation 2018, the new PBRF principles set out in Cabinet's decisions on changes to PBRF, and the in-principle decisions the TEC has made to date.

Feedback and lessons learned from Quality Evaluation 2018

- 6 Following the conclusion of Quality Evaluation 2018, the TEC heard feedback from panel Chairs, members, the Moderation Team, and internal feedback. Feedback from the Moderators and Panel Chairs has been published as *The Report of the Moderation Panel and Peer Review Panels*.¹ On the advice of the TEC, the SRG agreed to consult on a number of the issues raised in this feedback.

¹ Available at <https://www.tec.govt.nz/funding/funding-and-performance/funding/fund-finder/performance-based-research-fund/previous-quality-evaluation-rounds/pbrf-2018-quality-evaluation/pbrf-2018-quality-evaluation-results/>

- 7 Accordingly, this consultation paper sets out proposals and clarifications in relation to the holistic assessment criteria and cross-referral guidance.
- 8 The paper also provides information and clarification on subject area selection criteria and EP calibration training. These issues were raised in the feedback; however TEC officials have determined they do not require sector consultation.

Cabinet decisions on new PBRF principles

- 9 Any changes to issues grouped in this paper should also give effect to the new PBRF Guiding Principles agreed by Cabinet:
 - › Partnership: the PBRF should reflect the bicultural nature of Aotearoa New Zealand and the special role and status of the Treaty of Waitangi / Te Tiriti o Waitangi;
 - › Equity: different approaches and resources are needed to ensure that the measurement of research excellence leads to equitable outcomes; and
 - › Inclusiveness: the PBRF should encourage and recognise the full diversity of epistemologies, knowledges, and methodologies to reflect Aotearoa New Zealand's people.

In principle decisions on changes to research definitions and EP design

- 10 Following sector consultation, the SRG recently made recommendations to the TEC on changes to research definitions and EP design for Quality Evaluation 2025. The TEC has approved these changes in principle. Changes to research definitions include:
 - › A new PBRF Definition of Research;
 - › Statements acknowledging the value of Māori research and Pacific research;
 - › A new definition of research excellence and of impact; and
 - › New Quality Category descriptors.
- 11 Changes to EP design include:
 - › A definition of an Example of Research Excellence (ERE), which replaces the Nominated Research Output (NRO);
 - › A definition of an Other Example of Research Excellence (OERE), which replaces the Other Research Output (ORO);
 - › A requirement that all EPs must ordinarily contain three EREs unless one or more of the following circumstances apply:
 - a. The EP is submitted by a New and Emerging Researcher;
 - b. The EP is submitted by a staff member employed part-time; and

- c. The EP is submitted by a staff member who has made a valid extraordinary circumstances claim;
 - › Changes to the Research Contributions component, including renaming it Contributions to the Research Environment and revising and reducing the types of eligible items from 12 to six.
- 12 Full details of the in principle changes can be found in the In Principle decisions and summary of feedback documents on the TEC website: [SRG Consultation Papers 2025 | Tertiary Education Commission \(tec.govt.nz\)](#).

In-principle changes to date and role of peer review panels

- 13 The peer review panels will play a central role in interpreting and applying the in-principle decisions made to date on changes to research definitions and EP design, through assessing the EPs submitted. It is therefore critical that panels have the capacity, expertise, training and assessment guidance to apply these changes in a way that is equitable and has the confidence of the sector.
- 14 The proposals set out in the Panels Membership Criteria and Working Methods consultation paper sought to address these issues through ensuring all panels have diverse expertise, including an understanding of Māori research and knowledge, and through setting out how the TEC panels training will focus on understanding the changes to the EP design, new research definitions, and new Quality Category descriptors. The SRG has considered sector feedback on those proposals and has made recommendations to the TEC that reflect those needs.
- 15 This paper provides further detail on how the peer review panels will apply and interpret the in-principle decisions to date, by setting out proposals for changes to the detailed assessment guidance and processes through which these decisions will be applied and realised. These include EP scoring guidance, component weightings, and EP calibration processes that reflect these decisions.

Sector Reference Group process

- 16 Following consultation on the proposals set out in this paper, the SRG will consider sector feedback and will make recommendations to the TEC. The TEC will make in-principle decisions on the basis of the SRG's recommendations alongside officials' advice.
- 17 Any changes agreed by the TEC will be reflected in the Quality Evaluation 2026 Guidelines, as well as informing guidance and training for Panel Chairs and panellists. The draft Guidelines reflecting all in-principle changes will be released for sector consultation ahead of the final publication in September 2023.
- 18 In developing the proposals in this paper, the SRG has considered whether they:
 - › Deliver Cabinet's instructions;

- › Address the concerns and aspirations identified in the Report of the PBRF Review Panel and the *Report of the Moderation Panel and Peer Review Panels*;
- › Deliver fair and equitable outcomes for all participating TEOs and their staff;
- › Uphold the unique nature of research produced in Aotearoa New Zealand and reflect what is distinctive about our national research environment;
- › Are consistent with the PBRF Guiding Principles, including the three new Principles of partnership, equity, and inclusivity; and
- › Are able to be implemented and audited (legally and practically).

PART A: PROPOSALS FOR SECTOR CONSULTATION

EP component scoring guidance

- 19 This section sets out context, analysis, and proposals for reviewing and revising the EP component scoring guidance.
- 20 In Quality Evaluation 2018 the EP assessment process involved two main phases:
 - › The pre-panel assessment phase, when the EP component scoring took place; and
 - › The panel meeting assessment phase, when EP component scores were confirmed and calibrated and Quality Categories were awarded.
- 21 A full description of the panel assessment process from pre-panel assessment through to confirmation of the final Quality Category can be found on pages 36 – 43 of the Guidelines for the 2018 Quality Evaluation Assessment Process (attached as Appendix 1).²
- 22 In the pre-panel assessment phase (see page 36, Appendix 1: Assessment Guidelines), a pair of assigned panel members individually scored the two different components of the EP: the Research Output (RO) component, comprising NROs and any OROs, and the Research Contributions (RC) component, comprising any Research Contribution items. If a cross-referred panel member had been assigned they also scored the portion of the EP assigned to them (paragraphs 58-62 below describe the cross-referral process in more detail). The panel members then met to discuss their individual scoring and agree preliminary RO and RC scores, which were recorded in the PBRF IT system. Where agreement could not be reached, the lead panel pair member recorded a decision of 'Decline to Score'.
- 23 The panel members used zero to seven-point scoring scales to assign each of the two components a score. For each component, seven was the highest possible score, and zero the lowest. Zero points indicated that no evidence had been provided in the EP for that component. Scores of two, four, and six were 'tie-points', marking thresholds between the different Quality Categories.
- 24 Each component scoring scale included a component descriptor describing the generic nature of the component, alongside descriptors for the quality standards associated with each of the tie-points. Tables 1 and 2, Appendix 2, sets out the RO and RC scoring scales and descriptors used in Quality Evaluation 2018 (see also pages 45-47 and 53-58, Assessment Guidelines).

² The full Assessment Guidelines for Quality Evaluation 2018 are available on the TEC website: <https://www.tec.govt.nz/assets/Forms-templates-and-guides/PBRF/d7cddcb100/PBRF-Assessment-guidelines-October-2017.pdf>

Rationale for changing component and tie-point descriptors

- 25 The TEC has agreed in principle, following SRG advice, to a revised PBRF Definition of Research, a new definition of research excellence, new Quality Category descriptors, and new statements on the significance of Māori research and Pacific research.³
- 26 The TEC has also agreed in principle to make a number of changes to the EP structure and design.⁴ Changes which will impact on the component and tie-point descriptors include:
- › Replacing the NRO with the ERE, which will comprise a summary narrative, core research output, and up to three optional supplementary items (research activities or outputs);
 - › Replacing the ORO with the OERE, which can be either a research activity or a research output;
 - › The RO component, which comprised NROs and any OROs, will therefore be replaced with the ERE component (comprising EREs and any OEREs);
 - › Replacing the RC component with the Contribution to the Research Environment (CRE) component. The CRE component will focus on activities and outcomes which evidence the staff member's contributions to developing a vibrant and sustainable research environment.
 - › Reducing and revising the eligible CRE item types to those relating to contributions to the research culture and environment, as follows:
 1. Contribution to Research Discipline, Culture, and Environment (previously Contribution to Research Discipline and Environment)
 2. Facilitating, Networking and Collaboration
 3. Researcher Development, Capability-Building, and Mentoring (previously Researcher Development)
 4. Reviewing, Refereeing, Judging, Evaluating and Examining
 5. Student Development and Support (previously Student Factors)
 6. Peer esteem and research recognition not included in ERE section.

³ See <https://www.tec.govt.nz/assets/Publications-and-others/PBRF-Publications/TEC-In-Principle-Decisions-and-Summary-of-Feedback-on-Research-Definitions.pdf>

⁴ See <https://www.tec.govt.nz/assets/Publications-and-others/PBRF-Publications/TEC-In-Principle-Decisions-and-Summary-of-Feedback-on-EP-Design.pdf>

- 27 These changes to the research definitions and to the EP structure and design must flow through to and inform the assessment process and guidelines, including the component and tie-point descriptors. The component and tie-point descriptors provide panel members with critical guidance as to how the research definitions and Quality Categories translate into the EP scoring system.

Proposed new EP scoring guidance

- 28 The seven-point scoring scale remains the same as in Quality Evaluation 2018: both components are scored against a scale from zero to seven. Seven represents the highest possible score, and zero represents that no evidence was submitted for that component. The scores of two, four, and six continue to function as tie-points describing quality thresholds.

Proposed changes to Examples of Research Excellence component name and descriptors

- 29 The RO component will be renamed the Examples of Research Excellence component. This change is necessary to ensure alignment with in-principle decisions on EP design, and as such the TEC will implement this change.
- 30 The Examples of Research Excellence component descriptor will be revised to reflect the new PBRF Definition of Research, definition of research excellence, and Quality Category descriptors. The proposed new wording is set out in the box below. Please see Table 1, Appendix 2, for a comparison of the proposed new wording alongside the Quality Evaluation 2018 wording.

Note that the proposed examples of research outputs and research activities are illustrative rather than summative. Proposed updated lists and descriptions of all eligible research outputs and research activities will be released for sector consultation as part of the draft EP guidance.

The SRG's expectation is that the updated lists and descriptions of all eligible research outputs and research activities will not require significant changes from those that appeared in the 2018 Guidelines but will instead require review and potential adjusting of wording in order to align with the new research definitions and the proposed component descriptors. The SRG does not expect that any research output type which was eligible in 2018 will be ineligible for Quality Evaluation 2026.

Proposed Example of Research Excellence component descriptor

This component is concerned with the quality of research and research-related activity, including research impact. As part of the evidence in this component, EPs will ordinarily include three Examples of Research Excellence. EPs submitted by New and Emerging, part-time, and/or staff with extraordinary circumstances will include fewer EREs depending on the circumstance or combination of circumstances. Each ERE will comprise:

- › **a core research output** (required) which must be submitted for assessment

- › **up to three supplementary and related research outputs or research activities** (optional) which are briefly described along with bibliometric or equivalent details sufficient to enable audit
- › **a brief contextualising narrative** (required) which summarises the key discoveries, innovations, contributions, and/or impacts the ERE demonstrates, and which can link together the core research output with any supplementary items.

EPs may also include up to eight Other Examples of Research Excellence, which may be either research outputs or activities.

In scoring the ERE component, the number of total EREs and/or OEREs, and the number, presence or absence of any supplementary items within each ERE, has no bearing on the assessment of quality.

Research outputs are any form of assessable output which embody research findings and are generated out of research activity meeting the PBRF Definition of Research, and may include:

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

Research activities describe activity concerned with the planning, preparation, production, dissemination and sharing of research meeting the PBRF Definition of Research. **Research activities** also include activity and outcomes associated with the recognition and impact of research, and may include:

- › presentation or sharing of research outputs, outcomes, or work in progress in scholarly, industry or sector-based, iwi, community or public fora. Examples might include academic, industry or professional conference presentations, public lectures or seminars, hui, fono, workshops, presentations or displays
- › external support for research projects and activity, including competitive or other funding, contracts or commissions, public or private sector collaborations or partnerships, and community, iwi, or marae support
- › recognition of research activity and/or outputs in the form of fellowships, prizes, awards, secondments, appointments or elections to relevant roles, honours or other indicators of peer or external esteem
- › outreach and engagement activity concerned with engaging with and contributing to non-academic communities and stakeholder groups. Examples might include
- › evidence of research impact meeting the PBRF definition of research impact through uptake and use of or engagement with, research outputs or activities.

Examples might include legislative, regulatory, or policy changes, economic or commercial outcomes or benefits including products, practices and processes, social, health, environmental or cultural benefits or changes, or other changes to services or quality of life, at all levels from the global to the local community.

The EP may include research which is pure, basic, theoretical, applied, creative, community, or practice-based, so long as it meets the PBRF Definition of Research. All types and modes of research will be considered equal and no quality distinctions should be made on that basis alone.

The absence of quality assurance will not of itself be taken to imply low quality but the onus is on the submitter to provide evidence of quality. Evidence of research outputs having been reviewed through peers is one measure of quality, noting that the appropriate peers and peer review processes may in some contexts or fields be external to the academy. Other quality-assurance processes, including but not limited to referees, commissioning processes, and community, iwi or marae endorsement will also be given regard.

Review processes may cause overlap between the ERE and CRE components. Assessors need to ensure that they adequately differentiate between review outcomes as they relate to evidencing of quality-assurance process for core research outputs submitted in the ERE component (for example evidence of peer review of the output), and review activity or outcomes (for example awards, prizes, funding, invitations to present research) that may be presented either as supplementary or OERE research activities or as part of the CRE component. Most of the assessment time should be spent on the ERE component.

Proposed ERE scoring scale

Score	Tie-point descriptor
7	
6	The EP demonstrates a body of leading-edge research outputs and/or activities that is recognised by peers as ranking with the best of its kind in terms of its originality, rigour, and significance, and/or in terms of the reach and significance of its impact. EREs, including core research outputs and any supplementary outputs or activities, likely represent significant intellectual or creative advances, contributions to the formation of new paradigms, novel conceptual or theoretical analysis or theories, the recovery or revitalisation of significant knowledges, highly novel or creative practical applications or syntheses of research, or other important new or creative findings with wider implications. EREs may evidence research that has delivered very significant impact that has either wide-ranging reach across multiple stakeholders, or has achieved profound depth of change or benefit, or both. Outputs could demonstrate research that is exemplary or at the leading edge in its field, highly innovative, has significance beyond its field or across fields, or all of the above. They would be expected to demonstrate the highest levels of intellectual rigour, imaginative insight or methodological skill, and/or to form a primary point of reference to be disseminated widely.

	A significant proportion of research outputs should be presented through the most appropriate and best channels relative to the field or topics of research. Where relevant, research and research-related activities may have gained the highest level of recognition from peers, which may also include peers within industry, communities, iwi, hapū, marae, the public and third sectors, and/ or professional practice. Research-related activities likely demonstrate very significant outcomes from collaboration, dissemination, and/or engagement with the leading or most relevant representative groups and bodies within or outside academic domains. They may have delivered impacts which may be either very significant, have extensive reach potentially across multiple beneficiary groups, or both. Such impacts could include significant changes in professional, policy, organisational, artistic, or research practices, commercial developments, processes, and applications, or other outcomes which have significant benefits for public stakeholder groups, private sector or commercial enterprises, or communities.
5	
4	The EP demonstrates a body of research outputs and/or activities that is recognised as high-quality in terms of its originality, rigour, and significance, and/or in terms of the reach and significance of its impact. EREs, including core research outputs and any supplementary outputs or activities, likely represent substantial new ideas, interpretations, or critical findings, valuable contributions to existing paradigms, the recovery or revitalisation of knowledge, innovative practical applications or syntheses of research, or other new or creative findings. EREs may evidence research that has delivered significant impact; reach may be significant in terms of breadth or depth or both. Outputs could demonstrate research that is recognised as high quality and significant within its field. They would be expected to demonstrate a high level of intellectual rigour, insight or methodological skill, and may be a point of reference within the relevant field. Research outputs will typically be presented through reputable and appropriate channels relative to the field or topic of research. Where relevant, research and research-related activities may have gained recognition from peers, which may also include peers within industry, communities, iwi, hapū, marae, the public and third sectors, and/ or professional practice. Research-related activities may demonstrate some significant outcomes from collaboration, dissemination, and/or engagement with relevant representative groups and bodies within or outside academic domains. They may have delivered impacts which have achieved either reach or significance for a beneficiary group. Such impacts could include changes or contributions to changes in professional, policy, organisational, artistic, or research practices, commercial developments, processes, and applications, or other outcomes which have realised benefits for

	public stakeholder groups, private sector or commercial enterprises, or communities.
3	
2	The EP demonstrates a body of research outputs and/or activities that is recognised as meeting the minimum standards of originality, rigour, and significance relative to the field, and/or as having achieved some limited impact. EREs, including core research outputs and any supplementary outputs or activities, likely represent some contributions to or developments on existing ideas, paradigms or interpretations, practical applications research, or other findings that have some significance within the field. EREs may evidence impact, likely limited to small stakeholder groups and/or to a more superficial degree of change or benefit. Outputs could demonstrate research that has a sound and justifiable methodology and is recognised as meeting minimum quality assurance standards within the field. Outputs should typically be presented through reputable channels relative to the field or topic of research. Where relevant, research and research-related activities may have gained some limited recognition from peers, which may also include peers within industry, communities, iwi, hapū, marae, the public and third sectors, and/ or professional practice. Research-related activities may demonstrate evidence of collaboration, dissemination, and/or engagement with representative groups and bodies within or outside academic domains; outcomes and impacts for specific beneficiary groups may be limited. Such impacts could occur within public, private, third sector or community contexts but are likely to be limited both in terms of significance and reach.
1	The EP demonstrates minimal evidence of research or research-related activity. The research presented is assessed as having limited or no originality, significance, or rigour, and has achieved little or no impact. EREs represent little or no additional contributions to or applications of knowledge. Research outputs demonstrate no or very limited contributions to understanding or insight in the discipline or field, or lack the appropriate application of theory or methods, or both. Research-related activities demonstrate very limited collaboration, dissemination, or engagement, with little evidence of outcomes or of peer recognition.
0	No evidence of research or research-related activity is presented.
Contributions to the Research Environment component	
31	The RC component will be renamed the Contributions to the Research Environment component. This change is necessary to ensure alignment with in-principle decisions on EP design, and as such the TEC will implement this change.
32	The Contributions to the Research Environment component descriptor will be revised to reflect the new PBRF Definition of Research, definition of research excellence, and

Quality Category descriptors. The proposed new wording is set out in the box below. Please see Table 2, Appendix 2, for a comparison of the proposed new wording alongside the Quality Evaluation 2018 wording.

Note that the proposed item examples under each eligible CRE type are illustrative rather than summative. Proposed revised descriptions of the six eligible item types will be released for sector consultation as part of the draft EP guidance.

Note that the SRG's expectation is that the updated lists of eligible items will not require significant changes from those that appeared in the 2018 Guidelines but will instead require review and potential adjusting of wording in order to align with the new research definitions and the proposed component descriptors. The SRG does not expect that any item which was eligible as an RC in 2018 will be ineligible for Quality Evaluation 2026, although the item may belong within the ERE component rather than the CRE component as a consequence of the in-principle decision to move six of the former RC types into the ERE component.

Proposed Contributions to the Research Environment component descriptor

This component is concerned with the contribution a staff member has made to sustaining, developing, and/or growing the research environment and culture of which they are a part. The component allows for recognition of activities and outcomes that are indicative of a vital, high-quality, sustainable research environment that may exist across academic, community, industrial, public, and commercial domains. Research environments and the activity that sustains and grows them may be local, regional, national or international in orientation.

EPs will normally be expected to include a minimum of one and up to ten CRE items, unless the EP is submitted by a New and Emerging Researcher, in which case no CRE items are required. In scoring the CRE component, the number of CRE items submitted should have no bearing on the assessment of quality so long as the minimum of one item (where relevant) has been included.

The component will recognise the following types of activity or outcome:

- › **Contributions to Research Discipline, Culture, and Environment** that demonstrate the staff member's contribution to the general development, sustainability, vitality or visibility of their discipline, field or the broader research environment, culture or capability both within and outside academic domains. Examples might include research leadership roles such as head of department, laboratory, centre, or institute director, institutional or other research related committee membership, activity related to establishing, validating, representing, raising awareness of, and advocating for the discipline or field, or acting in the 'critic and conscience' role.
- › **Facilitating, Networking and Collaboration** activity that demonstrate the staff member's contribution to the research environment specifically through developing and supporting research networks, groups, or collaborations that develop or sustain their discipline, field, or the broader research environment, culture or capability both within and outside academic domains. Examples might include setting up,

leading, or contributing to research centres, groups, seminars, wānanga, fono, lecture series, reading groups, fora, or networks.

- › **Researcher Development, Capability-Building, and Mentoring** activity that demonstrates the staff member's contribution to developing and growing the research environment specifically through staff development, mentoring and support both within and outside academic domains. Examples might include formal mentoring roles, leadership roles and advocacy/representative roles for particular career stages, or contributions to promotions processes and appointments panels.
- › **Reviewing, Refereeing, Judging, Evaluating and Examining** activity that demonstrates the staff member's contributions to developing and sustaining their discipline or field through reviewing, refereeing, judging, evaluating and examining their peers. Invitations to undertake such activity may also indicate the staff member's standing and/or peer esteem within the discipline or field. Examples might include positions on editorial boards, publisher, journal, institutional or other peer-review roles, funding or awards panel membership.
- › **Student Development and Support** activity which demonstrates the staff member's contributions to developing or growing research capacity and capability through supervision, mentoring, support, evaluation or review of research students, activity aimed at addressing equity and inclusivity issues including for Māori and Pacific research students in particular, as well as esteem and recognition factors associated with a staff member's research student supervisees.
- › **Peer esteem and research recognition factors not included in ERE section**, including indicators associated with the staff member and/or work over the duration of a career rather than associated with a specific ERE or OERE. Examples might include prizes, awards, honours, elected roles or other indicators.

Panels recognise that the items submitted across the six CRE types will differ in kind depending on disciplinary norms and that inherent opportunities for research environment contributions will likewise vary across fields or disciplines. It is not expected that evidence of contributions across all six types will be submitted, and neither will submission of evidence across a greater or lesser range of types form the sole basis for quality assessment. All six types of CRE are considered as equally valuable and as equally capable of producing the highest score.

Proposed CRE scoring scale

Score	Tie-point descriptor
7	
6	The EP demonstrates that the staff member makes a leading contribution to a sustainable research environment in New Zealand and/or internationally. This is likely to be shown through, for example: › research leadership at the highest levels (for example, membership of significant research selection and/or assessment panels nationally or internationally, leading major collaborative research centres, consortia, units, teams or other groups including initiatives at the highest level of Te Ao Māori, Pacific, and other communities, institutional or cross-

	institutional, national or international leadership roles including of research or professional membership organisations and bodies); › leading or contributing to the development of significant institutional, national, or international research capacity-building or support including infrastructure, services, collections, funds, fellowships; › significant contributions to or leadership of research-focused conferences, stakeholder engagement, or attracting research funding or support; › attracting renowned scholars to the TEO and/or New Zealand; › a consistent record of successful supervision of post-graduate students; contributions to developing new research capacity that go beyond student supervision, including for Māori and Pacific research students and researchers, and/or supporting research students to produce research outputs that are quality-assured; › contributions to knowledge in the discipline through editorship positions, membership of editorial panels or refereeing of top-ranked journals. › The staff member may have a public profile either nationally or internationally as a consequence of their expertise in their field or discipline, and may regularly provide expert public commentary or raise awareness of the role or value of their discipline or field.
5	
4	The EP demonstrates that the staff member makes a strong contribution to a high-quality, sustainable research environment in New Zealand and/or internationally. This is likely to be shown through, for example: › research leadership which may include membership of research selection and/or assessment panels nationally or internationally, membership or participation in collaborative research centres, consortia, units, teams or other groups, institutional or cross-institutional, national or international leadership roles including of research or professional membership organisations and bodies); › contributing to the development of institutional research capacity-building or support including infrastructure, services, collections, funds, fellowships; › contributions to research-focused conferences, stakeholder engagement, or attracting research funding or support; › attracting renowned scholars to the TEO and/or New Zealand; › a record of successful supervision of post-graduate students; contributions to other research student development, mentoring, and support initiatives including for Māori and Pacific research students, and/or supporting research students to produce research outputs that are quality-assured; › contributions to knowledge in the discipline through editorship positions, membership of editorial panels or peer review roles at high-quality journals. › The staff member may have a developing public profile as a consequence of their expertise in their field or discipline, and may have provided expert

	public commentary or raised awareness of the role or value of their discipline or field.
3	The EP demonstrates that the staff member has made some contribution to a high-quality, sustainable research environment in their discipline or field at an organisational or national level. This is likely to be shown through, for example: › participation in research centres, consortia, units, teams or other groups within their specific discipline or at the institutional level; › contributions to the institutional research environment through membership of relevant committees or discipline-related bodies; › contributions to research-focused conferences or seminars, or to stakeholder engagement activity; › the successful supervision of post-graduate students, including Māori and Pacific research students; › contributions to knowledge in the discipline through membership of editorial panels or peer review roles at journals that are recognised within the discipline or field. › The staff member may have had some experience of providing public commentary as a consequence of their specific research expertise
2	
1	The EP demonstrates minimal evidence of contribution to the staff member's research environment. Any activity is likely to be limited to the departmental or sub-organisational level, or to platforms and events that are not well-recognised within the discipline or field. There may limited or no evidence of research student supervision or support.
0	No evidence of contributions to the research environment is presented.

EP component weightings

- 33 This section sets out context, analysis, and options for reviewing and revising the EP component weightings.
- 34 In Quality Evaluation 2018, the RO and RC components were each scored individually at the pre-panel assessment phase. Each component was awarded a score out of seven, with seven representing the highest possible score and zero the lowest (see paragraphs 22-24 above for further details).
- 35 A full description of the panel assessment process from pre-panel assessment through to confirmation of the final Quality Category can be found on pages 36 – 43 of the Assessment Guidelines, Appendix 1. This section focusses on the pre-panel assessment phase, which is when the EP component weighting is applied.
- 36 Following pre-panel assessment, the agreed component scores were entered into the PBRF IT system which automatically multiplied each component score by the relevant weightings to produce a weighted score for each component. The weighted scores were

combined to produce a total weighted score which determined the indicative Quality Category (see pages 30-32, Assessment Guidelines).

37 The weightings were informed by the following factors:

- › As a measure of overall research excellence, the production and dissemination of research and research outputs was a core function of research activity and thus considered more significant than carrying out research-related activity;
- › NROs were submitted for assessment and thus those outputs are subject to rigorous peer review, while OROs and RCs were not themselves assessed (although they were briefly described and bibliographic data sufficient to enable audit was submitted); and
- › The total maximum number of items in the RO component was 16, while the total maximum number of items in the RC component was 12.

38 The RO component score received a 70 percent weighting. The RC component score received a 30 percent weighting.

Rationale for reviewing EP component weightings

39 The TEC has agreed in principle, following SRG recommendations, to make a number of changes to the EP structure and design as set out above and in the summary of in-principle decisions.⁵ These changes will result in the number and type of items within the new ERE and CRE components differing from EPs submitted in Quality Evaluation 2018 as follows:

- › The NRO will be replaced by the ERE;
- › EPs will ordinarily contain three EREs, unless they are submitted by NERs, part-time staff, or staff claiming extraordinary circumstances, in which case reduced ERE submission requirements will apply depending on the nature and combination of circumstances;
- › Each ERE will contain a core research output and may additionally contain up to three supplementary research outputs or research activities;
- › The ORO will be replaced with the OERE, which can be either a research output or a research activity. An EP may contain up to eight OEREs;
- › The RO component, which comprised NROs and any OROs and was weighted at 70 percent, will be replaced with the ERE component (comprising EREs and any OEREs);

⁵ See <https://www.tec.govt.nz/assets/Publications-and-others/PBRF-Publications/TEC-In-Principle-Decisions-and-Summary-of-Feedback-on-EP-Design.pdf>

- › The RC component, which was weighted at 30 percent, will be replaced with the Contribution to the Research Environment (CRE) component which will focus on activities and outcomes which evidence the staff member's contributions to developing a vibrant and sustainable research environment;
 - › The number of eligible CRE item types will be revised and reduced from those covering contributions to the research environment, peer esteem, research funding and support, research recognition, engagement and impact, to only those relating to contributions to the research culture and environment, as follows:
 1. Contribution to Research Discipline, Culture, and Environment (previously Contribution to Research Discipline and Environment)
 2. Facilitating, Networking and Collaboration
 3. Researcher Development, Capability-Building, and Mentoring (previously Researcher Development)
 4. Reviewing, Refereeing, Judging, Evaluating and Examining
 5. Student Development and Support (previously Student Factors)
 6. Peer esteem and research recognition not included in ERE section.
- 40 The SRG has therefore reviewed the existing component weightings to consider whether they remain appropriate in light of the changes agreed in principle and the intent of Cabinet's directions. Below are set out the implications of these changes for the new ERE and CRE components, relative to the previous RO and RC components.

Proportion of items submitted to the two components

- 41 The new EP design settings mean that the ERE component may (but will not necessarily) contain both a greater number of items overall and a larger proportion of the total items submitted in the EP, relative to the 2018 settings.
- 42 The ERE component for an EP with a requirement to submit three EREs can contain a minimum of three and a maximum of 20 items: a minimum of three and up to 12 items across the three EREs, and up to eight OERs. In Quality Evaluation 2018, the equivalent RO component contained up to 16 items: a minimum of one and up to four NROs, and up to 12 OROs.
- 43 The CRE component for all EPs can contain a maximum of ten items. In Quality Evaluation 2018, the equivalent RC component could contain up to 12 items.

- 44 This means that an EP with a requirement to submit three EREs can contain a maximum of 30 items overall, of which up to 20 (or 67 percent) may come from the ERE component. In Quality Evaluation 2018, an EP could contain up to 28 items, of which up to 16 (or 57 percent) could come from the RO component.

Significance and depth of assessment of items submitted to the two components

- 45 As in Quality Evaluation 2018, the production and dissemination of research remains the core measure of research excellence, and in-depth evaluation of research outputs remains central to the assessment process and its outcomes. Each ERE must comprise a core research output which, like an NRO, is submitted in full for assessment.
- 46 However, unlike in 2018, the number of outputs that are fully assessed will likely be fewer: ordinarily three, as opposed to up to four.⁶ In addition, panel members will be required to take any supplementary items into account in assessing EREs, and more weight will be placed on research impact and outcomes through the inclusion in the ERE component of research activities relating to peer esteem, research support, engagement and research recognition, outcomes and impact.
- 47 The CRE component will be based on a more focussed range of items than in 2018 that relate to developing and sustaining a vibrant and healthy research environment, unlike the equivalent RC component which additionally included items relating to peer esteem, research support, engagement and research recognition, outcomes and impact, which have now been moved into the ERE component.

Intent of Cabinet directions and in-principle changes to EP design and research definitions

- 48 In directing the TEC and the SRG to review and broaden the PBRF Definition of Research and to make complementary changes to the EP design, the SRG considers that Cabinet's intent is to recognise a more diverse range of research and research-related activity beyond research outputs, with a greater focus on collaboration and engagement, and that as such the EP component weightings should support that intent.

TEC modelling of EP component weighting changes

- 49 TEC analysis of Quality Evaluation 2018 results shows that almost all EPs achieved either the same score for both components (e.g. a score of four for both components) or scores that differed by a single point (e.g. a score of four for the RO component and a score of three for the RC component). Indeed, as discussed below in the section on holistic assessment, significant differences between preliminary RO and RC scores were one of the criteria that indicated an EP should receive detailed holistic assessment.
- 50 The TEC has modelled the following weighting changes based on the previous EP design and on 2018 results:

⁶ As noted in previous consultation papers on EP design and Individual Circumstances, despite a minimum one of one NRO being permitted, in practice over 98% of EPs submitted contained the maximum of four NROs.

- › an RO component weighting of 80 percent and an RC component weighting of 20 percent;
 - › an RO component weighting of 60 percent and an RC component weighting of 40 percent
- 51 The modelling showed that both weighting changes would have resulted in 0.1 percent of EPs receiving a different Quality Category.
- 52 Modelling of the RO score at 100 percent of the total score led to only 9.2 percent of EPs receiving a different Quality Category under this scenario. Modelling of the RC score at 100 percent of the total score led to 14.5 percent of EPs receiving a different Quality Category.
- 53 While the changes to the EP design mean this modelling should not be used to predict how comparable weighting changes might affect results under the new settings, it may be assumed that there will continue to be some correlation between how an ERE component scores and how a CRE component scores, and thus that any adjustments to component weightings are likely to have minor impacts for the majority of researchers.
- 54 Based on the analysis and context set out above, the SRG seeks the sector's views on the following options:

Options for EP component weightings

- 55 **Option 1:** The component weightings remain the same, at 70 percent weighting for the ERE component, and 30 percent weighting for the CRE component.

Under Option 1, the CRE component could be perceived as being ‘worth’ more than the comparable RC component was in 2018. While the weighting would remain the same, the CRE component will potentially include fewer items (up to ten, as opposed to up to 12 in 2018) across a more focussed range: the six eligible categories will focus on activity and outcomes that demonstrate contributions to the research environment only.

The ERE component will also potentially include fewer core outputs (usually three, as opposed to up to four in 2018), but a greater number of overall items (up to 20, compared with up to 16 in 2018), for the same weighting. Activities relating to peer esteem, research recognition and support, engagement and impact that in 2018 were included in the RC section, will also now belong within the ERE section rather than the CRE section.

- 56 **Option 2:** the component weightings are adjusted so that the ERE component has a 60 percent weighting and the CRE component has a 40 percent weighting.

Under Option 2, the CRE component would be given an explicitly higher weighting than in Quality Evaluation 2018, signalling the increased significance of research-related activity which sustains and develops the research environment and culture. This option reflects the intent behind Cabinet’s directions to broaden the range of activity and excellence that the Quality Evaluation recognises and rewards.

- 57 **Option 3:** the component weightings are adjusted so that the ERE component has an 80 percent weighting and the CRE component has a 20 percent weighting.

Option 3 would reflect the fact that the ERE component can contain not only research outputs but also research activities relating to peer esteem, recognition, research support, engagement and impact that previously fell within the RC component.

It would also reflect that the new ERE component can potentially contain more items than the equivalent RO component, and that the new CRE component contains a narrower range of item types and may contain fewer items than the equivalent RC component.

EP cross-referral processes and guidance

- 58 For Quality Evaluation 2018, each EP was submitted to a single panel which best fit the majority of the research outputs in the EP. However, to ensure that EPs containing

research outputs which fell into more than one panel's areas of disciplinary expertise were fairly assessed, Panel Chairs had the ability to request cross-referral of parts of an EP (usually an NRO) to be assessed by another panel. This was expected to happen where a significant minority of the research outputs, or one or more NROs, fell within a subject area covered by another panel. Panel members requesting cross-referral were asked to indicate to their Panel Chair the specific parts of the EP that required assessment by the cross-referred panel. The Panel Chair then requested cross-referral to the Chair of the cross-referred panel.

- 59 Alongside the main process described above, there was an additional process for requesting cross-referral to the Māori Knowledge and Development (MKD) and Pacific Research panels. Submitting staff or TEOs could initiate a cross-referral request by completing either the 'Māori research elements of the EP' or the 'Pacific Research elements of the EP' section of the EP template, or both. The Panel Chairs of the MKD and/or Pacific Research panels could then decide whether to accept the cross-referral request or not.
- 60 Except in respect of the MKD and Pacific Research panels, cross-referral requests could only be made by the Panel Chair of the panel an EP was submitted to, and could only be accepted by the Panel Chair of the panel to which the cross-referral request was made. Neither submitting staff nor TEOs could initiate cross-referral requests to any panels other than the MKD and Pacific Research Panels.
- 61 Cross-referral occurred at the EP assignment stage, prior to the panel pairs carrying out their assessments. If a request for cross-referral was accepted, a cross-referral panel member was assigned to assess the relevant part of the EP. Cross-referral panel members completed their assessment and fed into the panel-pair's discussion to agree preliminary component scores.
- 62 Full details of the guidance on cross-referral can be found in the Assessment Guidelines, page 37 (Appendix 1). The main Guidelines also refer to elements of the cross-referral process on pages 35-39 (Appendix 3).

Rationale for reviewing the cross-referral process

- 63 The TEC received feedback from Quality Evaluation 2018 moderators, panel chairs, and panel members that cross-referral processes and guidance could be clarified, particularly the process and criteria for cross-referral to the MKD and Pacific Research panels. Some of this feedback has been published in the *Report of the Moderation and Peer Review Panels*.
- 64 The Moderation Panel noted that the cross-referral process was 'greatly limited' but did not recommend expanding TEO ability to initiate cross-referral to panels other than MKD and Pacific Research. However, the panel did note that discrepancies between the advice in the main Guidelines and the advice in the MKD Panel-Specific Guidelines led to the MKD Panel Chair declining a number of cross-referral requests and significant additional workload in that panel, and recommended that the process be revised to ensure alignment between the two guidelines.

- 65 Panel feedback recommended, in addition to echoing comments about cross-referral guidance for the MKD and Pacific Research panels, that additional guidance on the general cross-referral process should better signal which EP components are being cross-referred, and that more formalised communications and processes around cross-referral would be beneficial.
- 66 In reviewing the cross-referral guidance for Quality Evaluation 2018, TEC officials have found some additional small differences between the guidance on cross-referral in the main Guidelines (which were primarily aimed at TEOs) and the Assessment Guidelines (which provided information to TEOs but were primarily aimed at panel members), which may have also contributed to inappropriate requests to cross-refer, particularly to the MKD or Pacific Research panels. The relevant sections of the guidance are presented for comparison in the table below.

Quality Evaluation 2018 main Guidelines	Quality Evaluation 2018 Assessment Guidelines
Guidance on cross-referral to MKD and/or Pacific Research panels	
Completing the Māori and Pacific Research elements ‘While TEOs cannot request a cross-referral assessment, cross-referrals to the MKD Panel and the Pacific Research Panel can be initiated by the TEO completing the ‘Māori Research element’ or ‘Pacific Research element’ sections of the EP. TEOs may complete both elements if appropriate. If either or both elements are completed the EP will be automatically cross-referred to the relevant panel/s. The Panel Chair/s will decide whether the cross-referral assessment will occur or not. The final decision on whether an EP will or will not be cross-referred lies with the Chair of the MKD Panel or the Chair of the Pacific Research Panel (or both if both elements are completed). The cross-referral assessment may relate to part of an EP or to specific items within the EP.	Cross-referring an Evidence Portfolio to the Māori Knowledge and Development Panel and the Pacific Research Panel ‘An EP can be cross-referred to the Māori Knowledge and Development (MKD) Panel and the Pacific Research Panel in two ways, either › at the request of the Chair of the panel the EP is assigned to (that Chair will provide specific advice on which part or parts of an EP need to be considered in the cross-referral assessment), or › by the TEO completing the Māori Research or Pacific Research elements of the EP. The decision on whether the cross-referral is accepted is made by the Chair/s of the panel(s) receiving the cross-referral.’ See page 37, Assessment Guidelines.

The Chair will need to advise the cross-referral panel member on what part or parts of the EP should be considered in the assessment. The panel member undertaking the cross-referral assessment must provide a commentary along with the score(s) for their assessment. This commentary must include confirmation of the part(s) of the EP that were assessed and provide a rationale for the component score(s) provided.' See page 38-9, main Guidelines.	
Cross-referral to any other panel	
Completing the Panel Details section 'TEOs cannot request a cross-referral to another panel. Staff members need to provide information on the primary field of research for the Field of Research Description. TEOs need to ensure that this information is succinct and accurately reflects the content of the research in the staff member's EP. This information helps the Chair to assign the EP appropriately.' See page 35, main Guidelines Completing the Field of Research Description 'This information is used by panel Chairs to help with assigning the EP to appropriate panel members. TEOs need to ensure that it: › is a succinct and accurate description of the research field for the EP's NROs and the majority of the staff member's	Cross-referring an Evidence Portfolio to another panel for assessment 'A request for an EP to be cross-referred to any panel other than MKD or Pacific can only be made by the Chair of the panel the EP is assigned to. Normally, a panel Chair will seek a cross-referral for an EP to another panel (or other panels) when a significant proportion, but not a majority, of the outputs listed in the RO component falls within the subject areas covered by the other panel(s). Cross-referral may also be appropriate when one or more Nominated Research Outputs (NROs) fall within the subject areas covered by another panel. The Chair of the assigned panel will provide specific advice on which part or parts of an EP need to be considered in the cross-referral assessment. The decision on whether the cross-referral is accepted is made by the Chair(s) of the panel(s) receiving the cross-referral.' See page 37, Assessment Guidelines

research activity during the assessment period › only contains information that describes the staff member's research at the level of a discipline or sub-discipline (for example, educational psychology, and molecular biology). If the staff member's research is interdisciplinary, they should clearly indicate this in the description.' See page 37, main Guidelines	
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- 67 While it is important that Panels and Panel Chairs are able to exercise their expertise independently, the SRG considers that more structured guidance on the cross-referral process, including clarification of the instructions that Panel Chairs should give to cross-referral panel members, could be provided without compromising that independence. This would also provide reassurance to submitting staff members and TEOs.
- 68 The SRG also considers that while the main and Assessment Guidelines do not have completely identical audiences, the information in both should align for the avoidance of doubt. In particular, the main Guidelines could more clearly identify when an EP will be considered for cross-referral by a Panel Chair. The main Guidelines do not indicate that Panel Chairs can also request cross-referral to the MKD or Pacific Research panels, and thus give the impression that the only way EPs can be cross-referred into those panels is by the TEO completing the Māori or Pacific research elements sections.
- 69 The 'Māori research elements' and Pacific research elements' EP template section names, and the *Completing the Māori and Pacific Research elements* section heading in the Guidelines, do not accurately align with the purpose of completing those sections, which is to initiate a cross-referral request, rather than simply to describe any relevant elements. This may have contributed to EPs being inappropriately submitted for cross referral to the MKD panel in 2018, alongside the differences in the MKD Panel-specific guidance on subject area coverage and the guidance in the *Completing the Māori and Pacific Research elements*.
- 70 The *Completing the Field of Research* section in the main Guidelines indicates, but is not explicit, that this section will be used by Panel Chairs to determine whether cross-referral is required as well as to ensure the EP as a whole is submitted to the correct main Panel.

Clarification of EP subject area funding weightings

- 71 As in Quality Evaluation 2018, EP subject area funding weightings are determined on the basis of the nominated primary subject area the EP is submitted to only. Cross-referred elements do not receive the funding weightings of the subject area cross-referred into.

Proposed adjustments to cross-referral guidance

The following changes are proposed to cross-referral processes and guidance:

Guidance on cross-referral to MKD and Pacific Research Panels

- 72 The 'Māori Research elements' and 'Pacific Research elements' sections in the EP template will be renamed the 'Māori Knowledge and Development Panel cross-referral request' and 'Pacific Research Panel cross-referral request' sections respectively, to clarify that these sections should only be completed if the staff member/TEO wishes to request cross-referral to either/both panels. This will also be reflected in the main Guidelines.
- 73 Rather than set out in the main Guidelines the conditions an EP should meet in order to be considered by the MKD or Pacific Research Panel Chairs for cross-referral, this guidance will be set out in the MKD and Pacific Research Panel-Specific Guidelines, which will each contain a specific cross-referral section.

The main Guidelines will refer TEOs and submitting staff to the Panel-Specific Guidelines to determine whether a request for cross-referral should be made. This will ensure there is no risk of non-alignment between the main Guidelines and the Panel-Specific Guidelines, and clarify for TEOs and submitting staff that the Panel-Specific Guidelines are the overriding authority.

Guidance on cross-referral to other panels

- 74 The main Guidelines will have a standalone 'Cross-referral' section, which for the avoidance of doubt will repeat the conditions under which Panel Chairs may request cross-referral as set out in the Assessment Guidelines.
- 75 The cross-referral section will clarify that Panel Chairs will draw on information provided in the Field of Research section, as well as the ERE and OERE subjects.
- 76 The Assessment and main Guidelines will both clarify that Panel Chairs who request cross-referral must specify the parts of the EP that require cross-referral.
- 77 The language used to refer to the cross-referral process will be standardised across both Guidelines so that, for example, the use of 'request' versus 'initiate' or 'initiate a request' is rationalised.

Holistic assessment guidance

- 78 Holistic assessment of an EP takes place at the panel assessment phase, following the panel agreement of Calibrated Panel component scores.
- 79 Following calibration, the agreed Calibrated Panel component scores are entered into the PBRF IT System, which will automatically derive a Calibrated Panel Quality Category.

The EP then passes to the holistic assessment phase. The purpose of holistic assessment is to determine whether this is the most appropriate Quality Category for the EP, taking all relevant factors into consideration, and considering the EP as a whole. All EPs are awarded a Holistic Quality Category.

- 80 In Quality Evaluation 2018, the expectation was that the Calibrated Panel Quality Category was confirmed at the holistic assessment stage for the majority of EPs; the Holistic Quality Category was the same as the Calibrated Panel Quality Category.
- 81 However, where an EP met one of the following criteria following the calibration phase, it could be referred for 'detailed holistic assessment':
 - › the EP had claimed extraordinary circumstances, or
 - › the panel had identified any uncommon issues about the EP, for example:
 - specific quantity and/or quality issues that may include unusual or uncommon research outputs and/or research activities;
 - specific scoring concerns that may include differences in scoring either by the panel-pair or cross-referral assessors, unusual scoring combinations like a low RO score but a high RC score, or where the panellist believes the raw component scores may not accurately represent the overall quality of the EP.
- 82 The Assessment Guidelines further specified that EPs with a total-weighted Calibrated Panel component score greater than 70 points (one RO component score) from a boundary that did not meet any of these criteria would not normally be considered for detailed assessment as part of the Holistic assessment process.
- 83 EPs selected for detailed holistic assessment were subject to a more thorough review by the panel, including consideration of the scoring throughout the process, the information set out in the Platform of Research, and any impact of Extraordinary Circumstances. Where appropriate this process could entail the whole panel reviewing some or all of the items in the EP.
- 84 Where panels determined that the detailed holistic assessment indicated a different Quality Category should be awarded, the factors that informed this decision were recorded, along with the Holistic Quality Category. There was no requirement for the component scores and Holistic Quality Category to be in agreement where the detailed holistic assessment had produced a different result.
- 85 Full details of the holistic and detailed holistic assessment phases are set out on pages 39-41 in the Assessment Guidelines, Appendix 1, and are referred to on page 41 in the main Guidelines, Appendix 3.

Rationale for reviewing the holistic assessment process and guidance

- 86 The TEC received feedback from Quality Evaluation 2018 panel members that the criteria used to select EPs for detailed holistic assessment should be clarified and refined. Some of this feedback has been published in the *Report of the Moderation and Peer Review Panels*.
- 87 Some panels felt the criteria were too broad, and additionally noted that EPs on or close to Quality Category boundaries were routinely being referred for detailed holistic assessment despite not meeting the criteria set out in the Assessment Guidelines, as a form of 'check'. TEC officials have heard feedback that this led to some significant additional workload on some panels.
- 88 While the Assessment Guidelines stated that EPs with a total-weighted Calibrated Panel component score greater than 70 points from a boundary that did not meet any of the criteria would not normally be considered for detailed assessment as part of the Holistic assessment process, the Guidelines did not clarify whether that meant that EPs with a total-weighted Calibrated Panel component score **fewer** than 70 points from a boundary should have been considered for detailed holistic assessment, where they did not meet any of the criteria. This lacuna may have accounted for the over-referral of EPs for detailed holistic assessment.
- 89 The in-principle decisions on EP design mean that Extraordinary Circumstances are taken into account through EP submission requirements. Panels are therefore no longer expected to assess the impact of Extraordinary Circumstances as part of the assessment process.
- 90 In addition, the in-principle decisions on EP design means that EPs submitted by part-time staff, NER staff, and staff with valid Extraordinary Circumstances claims will have reduced ERE submission requirements. While the assessment of EPs must be based on research quality, rather than quantity, it is important that the assessment process ensure that all EPs are scored fairly and consistently. The SRG considers that panels have a role to play in ensuring that EPs with different ERE submission requirements are considered equally in terms of quality assessment. The proposed 'calibration check' for EPs with lower submission requirements reflects this.

Proposed adjustments to holistic assessment process and guidelines

The following changes are proposed to the holistic assessment process and guidance:

- 91 Clarify the distinction in the Assessment Guidelines between 'holistic assessment' (a routine assessment phase applying to all EPs) and 'detailed holistic assessment' (a process which is only carried out for EPs which meet the criteria).
- 92 Clarify in the Assessment Guidelines the expectation that detailed holistic assessment is an exceptional process and will not be necessary for the majority of EPs.
- 93 EPs that meet one or more of the following criteria are referred for detailed holistic assessment:
 1. The Panel identifies that the EP has specific quality issues that are uncommon relative to subject-area norms such as unusual research outputs, activities, or the presence or absence of CRE item types.
 2. In relation to the CRE component only, the Panel identifies that the EP has specific quantity issues that are uncommon relative to subject-area norms such as an unusually low or high number of CRE items or particular types relative to career-stage.
 3. The Panel identifies specific scoring concerns which may include significant differences in scoring either by the panel-pair or cross-referral assessors, unusual scoring combinations like a low RO score but a high RC score, or where the panellist believes the raw component scores may not accurately represent the overall quality of the EP.
- 94 Additionally, Panel Chairs will have the discretionary ability to refer EPs for detailed holistic assessment in exceptional circumstances where EPs do not meet any of the criteria but the Panel Chair considers that there are strong reasons for detailed holistic assessment.

Proposed calibration check for EPs with lower submission requirements

- 95 Ahead of the panel meeting, the panel will receive the average component scores across the following groups of EPs submitted to their panel:
 - › EPs with three EREs;
 - › EPs that have fewer than three EREs as a consequence of reduced submission requirements due to NER status;
 - › EPs that have fewer than three EREs as a consequence of reduced submission requirements due to part-time status; and
 - › EPs that have fewer than three EREs as a consequence of reduced submission requirements due to extraordinary circumstances.

TEC supporting officials will carry out analysis comparing the average component scores of EPs with fewer than three EREs with the average scores of EPs with three

EREs. Where meaningful variation is observed (likely to vary across panels) the panel will carry out specific calibration of the various groups against each other, as part of the calibration process, to ensure that ERE quantity has not informed scoring.

PART B: PROCESS CHANGES FOR SECTOR INFORMATION

Subject area selection criteria

- 96 TEOs must nominate a peer review panel and subject area for each EP they submit. The nominated peer review panel and subject area should be the best match for the primary subject area or research discipline in the EP, and in particular for the research outputs submitted.
- 97 In Quality Evaluation 2018, there were 13 main panels, and 43 subject areas. The subject areas, and the panels they fall into, are set out on page 36 in the main Guidelines.
- 98 The Panel-Specific Guidelines included detailed descriptions of each panel's subject area coverage to aid TEOs and submitting staff in selecting the most appropriate panel and subject area, although this was not explicitly noted in the main Guidelines (see Appendix 3).
- 99 The main Guidelines provided additional guidance for EPs involving interdisciplinary research and for EPs in the design disciplines (see pages 35-36).
- 100 The Assessment Guidelines set out criteria for Panel Chairs to request a transfer to another panel, but this was not set out in the main Guidelines (see pages 37-8).

Need to clarify subject-area selection criteria and guidance

- 101 In light of Cabinet's decision to introduce new funding weightings for the MKD and Pacific Research panels and the new incentives this creates, the SRG agreed it was appropriate to consider whether additional high-level subject area selection guidance was required.
- 102 Should the SRG recommend, and the TEC agree, to split the Medicine and Public Health panel into two new panels as proposed in SRG Consultation 6: Panels Membership Criteria and Working Methods, additional guidance may be necessary to help TEOs and submitting staff determine which of the two new panels is most appropriate.⁷
- 103 TEC officials have considered this issue and have determined that it does not require sector consultation. The TEC intends to address the issue by:

⁷ See <https://www.tec.govt.nz/funding/funding-and-performance/funding/fund-finder/performance-based-research-fund/srg-consultation-papers-2025/>

- › Clarifying in the main Guidelines under the *Which panel should be nominated as the primary panel?* subheading that Panel Chairs have the ability to accept EPs into their panel or to request a transfer to another panel;
- › Revising the guidance under the *Which panel should be nominated as the primary panel?* subheading to explicitly refer to the Panel-Specific Guidelines as the final authorities on subject area coverage in order to support TEO decisions about which panel to nominate;
- › Revising the guidance under the *Which panel should be nominated as the primary panel?* subheading to explicitly refer to the statements acknowledging Māori and Pacific knowledges which will sit alongside the PBRF Definition of Research, and to the elaborations of the PBRF Definition of Research in the MKD and Pacific Research Panel-Specific Guidelines in order to support TEO decisions about whether to submit EPs to those panels.

104 The TEC notes that it is not appropriate for the main Guidelines to articulate what subject matter does or does not belong in the MKD and Pacific Research panels.

105 The TEC also notes that should the Medicine and Public Health panel be split, the Panel Chairs of the two new panels (Medicine, and Public Health) will articulate subject area coverage of the respective panels in the Panel-Specific Guidelines.

EP calibration training

106 In light of the in-principle decisions on EP design, the SRG agreed to consider how panels will receive appropriate calibration training, given it will not be feasible to use existing EPs as example calibration EPs.

107 TEC officials have determined that this issue falls within broader panels training, and as such is a TEC operational matter which does not require sector consultation. The TEC will consider how to provide robust EP calibration training in developing the panels training for Quality Evaluation 2026, including whether ‘mock’ EPs should be developed.

Next steps and consultation feedback

108 Feedback is sought on the following proposals:

EP component scoring guidance

1. Do you support the proposed revised component and tie-point descriptors?
2. Do you wish to suggest changes to the proposed wording? Note that we invite respondents to submit detailed wording suggestions via a track-changed Word document for ease.

EP component weighting

3. Do you support Option 1 (weightings remain at 70 percent ERE component, 30 percent CRE component)?
4. Do you support Option 2 (60 percent weighting ERE component, 40 percent weighting CRE component)?
5. Do you support Option 3 (80 percent weighting ERE component, 20 percent weighting CRE component)?
6. Do you wish to propose a different approach?

Cross-referral guidance

7. Do you support the proposed adjustments to the cross-referral guidance?
8. Do you wish to propose any changes?

Holistic assessment process and guidance

9. Do you support the proposed adjustments to the holistic assessment guidance, including the proposed EP calibration check?
10. Do you wish to propose any changes?

109 We welcome any comments you wish to make on the TEC's intended approach on the following issues:

Subject area selection criteria

1. We welcome any comments you have on the TEC's proposed clarifications to the subject area selection guidance, or any additional criteria that should be considered.

EP calibration training

2. We welcome any comments on the TEC's intended approach to EP calibration training.

110 The consultation period will run from Friday 30 September – 11 November 2022. Feedback can be provided via the online survey:
<https://www.surveymonkey.com/r/HTSMTWV>

111 Consultation feedback will be considered by the SRG and recommendations made to the TEC.

APPENDIX 1: Panels assessment process, Guidelines for the 2018 Quality Evaluation Process pp 36-43

The panel assessment process

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

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



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

Calibration occurs in a number of ways:

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

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

Assignment of Evidence Portfolios to panel members

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

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

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

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

The lead panel member will:

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

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

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

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

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

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

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

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

Cross-referring an Evidence Portfolio to another panel for assessment

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

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

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

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

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

Transferring an Evidence Portfolio to another panel

Participating tertiary education organisations (TEOs) will have selected a panel, subject area and provided a primary field of research for each EP submitted to the TEC. The panel Chair will review this information as part of the assignment process, as well as any conflicts of interest related to the EP. The Chair may also review the NROs submitted if necessary, to make a decision regarding the assignment or possible transfer of an EP.

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

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

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

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

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

Pre-meeting assessment and scoring

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

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

- › follow the assessment process
- › advise the Chair if they have any conflicts of interest that prevent them from assessing any of the EPs assigned to them
- › review all the material in the EPs assigned to them
- › review or request any of the NROs, as required
- › if necessary, advise the panel Chair that a cross-referral assessment may be required

- › determine and record in the PBRF IT System Preparatory component scores (RO and RC) for each assigned EP, using the PBRF assessment policies, the descriptors and tie-points for each component, the panel-specific guidelines, and taking into account any advice from the Moderators
- › maintain confidentiality in relation to all material in, and discussions relating to, the EPs reviewed.

Determining Preparatory scores

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

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

A cross-referral panel member assigned to an EP also determines and records a Preparatory score for one or both of the components of the EP, depending on the request provided by the panel Chair. The cross-referral panel member must also provide a commentary along with the score(s) for their assessment. This commentary must include confirmation of the part(s) of the EP that were assessed and provide a rationale for the component score(s) provided.

Determining Preliminary scores

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

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

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

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

Deriving Indicative Quality Categories

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

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

Panel meeting assessment and scoring

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

Panel members are required to:

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

Determining Calibrated Panel component scores

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

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

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

Deriving Calibrated Panel Quality Categories

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

Determining Holistic Quality Categories

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

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

Criteria for Evidence Portfolios to be considered for detailed Holistic assessment

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

- › the EP has claimed extraordinary circumstances, or
- › the panel has identified any uncommon issues about the EP, for example:
 - specific quantity and/or quality issues that may include unusual or uncommon research outputs and/or research activities
 - specific scoring concerns that may include differences in scoring either by the panel-pair or cross-referral assessors, unusual scoring combinations like a low RO score but a high RC score, or where the panellist believes the raw

component scores may not accurately represent the overall quality of the EP.

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

Panel considerations at Holistic assessment

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

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

- › the Quality Category descriptors and the Quality Categories arising out of each of the stages of the assessment process are consistent when looking at all information presented in the EP
- › the scoring of the RO and RC components at each of the stages of the assessment process
- › the information set out in the Platform of Research – Contextual Summary and the recorded FTE
- › whether the extraordinary circumstances claimed are eligible for consideration and sufficient to affect the Quality Category assigned to the EP
- › whether the evidence in the RC component is consistent with the judgements made about the appropriate score for the RO component, particularly if there is a low RO score and a high RC score.

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

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

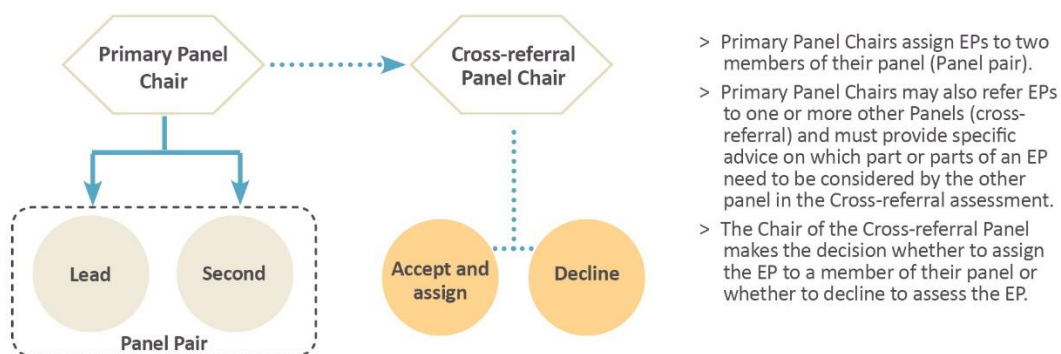
There is no requirement for the component scores and Quality Category to be in agreement if the Holistic assessment of an EP produces a different result.

Assigning Final Quality Categories

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

Quality Evaluation assessment process

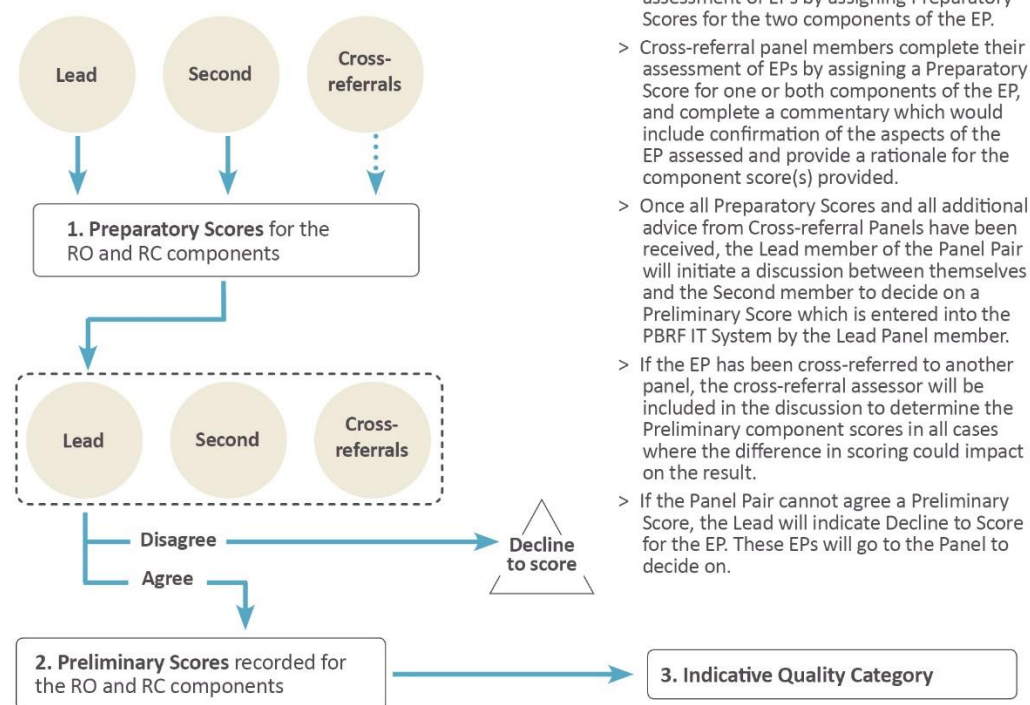
Chair Assignment Phase



Assignment Phase

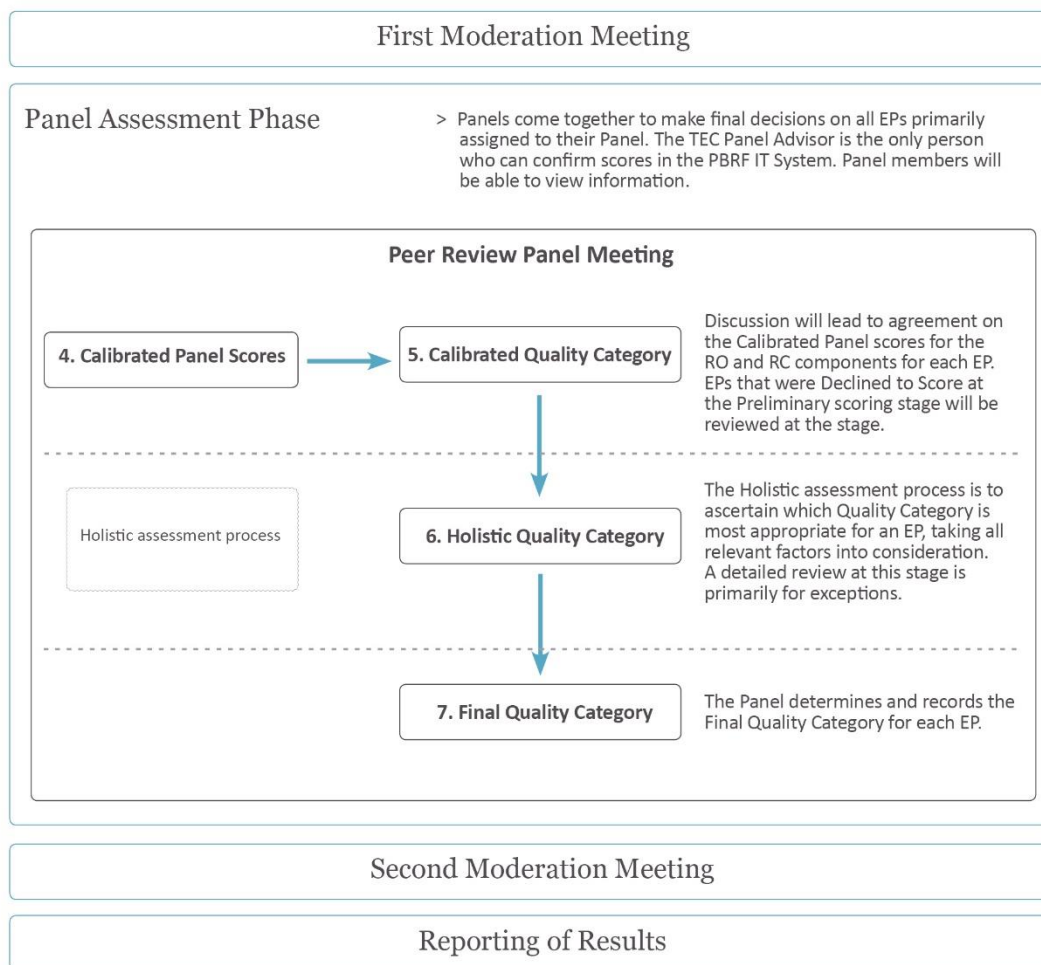
Panel members review their assigned EPs, record and advise Chair and TEC Panel Advisor of any additional conflicts of interest, advise Chair that the EP may require a cross-referral, and finalise their actual assessment workload.

Pre-panel Assessment Phase



Pre-panel Meeting

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



APPENDIX 2: Quality Evaluation 2018 component and tie-point descriptors compared against proposed new component and tie-point descriptors

Table 1: Research Output (2018) and proposed Example of Research Excellence descriptors

Research Output component descriptor Quality Evaluation 2018	Proposed Example of Research Excellence component descriptor
This component is concerned with the production of quality research outputs. As part of the evidence in this component, staff members will present up to four NROs (that represent their best research outputs) and 12 OROs. Research outputs are any form of assessable output embodying the findings of research and generated out of research activities, and include: › printed academic work › published and confidential work › work published in non-print media › other forms of outputs such as granted patents, materials, products, performances, and exhibitions. The EP may include research primarily concerned with methodological, theoretical and analytic issues (basic or strategic research), and/or applied research primarily directed to and impacting on practices, technologies, policies, or processes. The absence of quality assurance will not of itself be taken to imply low quality but the onus is on the submitter to provide evidence of quality. Evidence of research outputs having been reviewed through peers is one measure of quality. Other quality-assurance	This component is concerned with the quality of research and research-related activity, including research impact. As part of the evidence in this component, EPs will ordinarily include three Examples of Research Excellence. EPs submitted by New and Emerging, part-time, and/or staff with extraordinary circumstances will include fewer EREs depending on the circumstance or combination of circumstances. Each ERE will comprise: › a core research output (required) which must be submitted for assessment › up to three supplementary and related research outputs or research activities (optional) which are briefly described along with bibliometric or equivalent details sufficient to enable audit › a brief contextualising narrative (required) which summarises the key discoveries, innovations, contributions, and/or impacts the ERE demonstrates, and which can link together the core research output with any supplementary items. EPs may also include up to eight Other Examples of Research Excellence, which may be either research outputs or activities.

processes, including referees and commissioning processes (but not limited to these examples) will also be given regard. Review processes may cause overlap between the RO and RC components. Assessors need to ensure that they adequately differentiate between pre-publication/production review as it relates to the quality-assurance process for the RO component and post-publication/production review that may be presented as part of the RC component. Most of the assessment time should be spent on the RO component.	In scoring the ERE component, the number of total EREs and/or OEREs, and the number, presence or absence of any supplementary items within each ERE, has no bearing on the assessment of quality. Research outputs are any form of assessable output which embody research findings and are generated out of research activity meeting the PBRF Definition of Research, and may include: › published or otherwise disseminated academic work such as scholarly books, journal articles, Master’s or doctoral theses, or presentations › published or otherwise disseminated creative work that embodies original research such as works of fiction, artworks, or compositions. › publicly available or confidential work that embodies original research such as reports, policies, legislation, or designs › work published or otherwise disseminated in digital, visual, audio, or other non-print media including computer programs, waiata, carving, buildings › other forms of outputs such as granted patents, materials, products, performances, orations, and exhibitions. Research activities describe activity concerned with the planning, preparation, production, dissemination and sharing of research meeting the PBRF Definition of Research. Research activities also include activity and outcomes associated with the recognition and impact of research, and may include: › presentation or sharing of research outputs, outcomes, or work in progress in scholarly, industry or sector-based, iwi, community or public fora. Examples might include academic, industry or professional conference presentations, public
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	lectures or seminars, hui, fono, workshops, presentations or displays › external support for research projects and activity, including competitive or other funding, contracts or commissions, public or private sector collaborations or partnerships, and community, iwi, or marae support › recognition of research activity and/or outputs in the form of fellowships, prizes, awards, secondments, appointments or elections to relevant roles, honours or other indicators of peer or external esteem › outreach and engagement activity concerned with engaging with and contributing to non-academic communities and stakeholder groups. Examples might include › evidence of research impact meeting the PBRF definition of research impact through uptake and use of or engagement with, research outputs or activities. Examples might include legislative, regulatory, or policy changes, economic or commercial outcomes or benefits including products, practices and processes, social, health, environmental or cultural benefits or changes, or other changes to services or quality of life, at all levels from the global to the local community. The EP may include research which is pure, basic, theoretical, applied, creative, community, or practice-based, so long as it meets the PBRF Definition of Research. All types and modes of research will be considered equal and no quality distinctions should be made on that basis alone. The absence of quality assurance will not of itself be taken to imply low quality but the onus is on the submitter to provide evidence of quality. Evidence of research outputs having been reviewed through
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		peers is one measure of quality, noting that the appropriate peers and peer review processes may in some contexts or fields be external to the academy. Other quality-assurance processes, including but not limited to referees, commissioning processes, and community, iwi or marae endorsement will also be given regard. Review processes may cause overlap between the ERE and CRE components. Assessors need to ensure that they adequately differentiate between review outcomes as they relate to evidencing of quality-assurance process for core research outputs submitted in the ERE component (for example evidence of peer review of the output), and review activity or outcomes (for example awards, prizes, funding, invitations to present research) that may be presented either as supplementary or OERE research activities or as part of the CRE component. Most of the assessment time should be spent on the ERE component.	
Research Output scoring scale QE 2018		Proposed ERE scoring scale	
Score	Tie-point descriptor	Score	Tie-point descriptor
7	The EP would be expected to demonstrate leadership and accomplishment in research exemplified by a platform of world-class research that includes highly original work that ranks with the best of its kind. The EP would likely be characterised by, for example, outputs that represent intellectual or creative advances, contributions to the formation of new paradigms, generation of novel conceptual or theoretical analysis or	7	The EP demonstrates a body of leading-edge research outputs and/or activities that is recognised by peers as ranking with the best of its kind in terms of its originality, rigour, and significance, and/or in terms of the reach and significance of its impact. EREs, including core research outputs and any supplementary outputs or activities, likely represent significant intellectual or creative advances, contributions to the formation of new
6		6	

theories, or important new findings with wider implications. It could indicate research that is exemplary in its field, at the leading edge, highly innovative, or all of the above. It would be expected to demonstrate intellectual rigour, imaginative insight or methodological skill or to form a primary point of reference to be disseminated widely. A significant proportion of research outputs should be presented through the most appropriate and best channels. The research outputs would be likely to result in substantial impact or uptake. Such impacts could also include product development, uptake and dissemination; or significant changes in professional, policy, organisational, artistic, or research practices.	paradigms, novel conceptual or theoretical analysis or theories, the recovery or revitalisation of significant knowledges, highly novel or creative practical applications or syntheses of research, or other important new or creative findings with wider implications. EREs may evidence research that has delivered very significant impact that has either wide-ranging reach across multiple stakeholders, or has achieved profound depth of change or benefit, or both. Outputs could demonstrate research that is exemplary or at the leading edge in its field, highly innovative, has significance beyond its field or across fields, or all of the above. They would be expected to demonstrate the highest levels of intellectual rigour, imaginative insight or methodological skill, and/or to form a primary point of reference to be disseminated widely. A significant proportion of research outputs should be presented through the most appropriate and best channels relative to the field or topics of research. Where relevant, research and research-related activities may have gained the highest level of recognition from peers, which may also include peers within industry, communities, iwi, hapū, marae, the public and third sectors, and/ or professional practice. Research-related activities likely demonstrate very significant outcomes from collaboration, dissemination, and/or engagement with the leading or most relevant representative groups and bodies within or outside academic domains. They
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			may have delivered impacts which may be either very significant, have extensive reach potentially across multiple beneficiary groups, or both. Such impacts could include significant changes in professional, policy, organisational, artistic, or research practices, commercial developments, processes, and applications, or other outcomes which have significant benefits for public stakeholder groups, private sector or commercial enterprises, or communities.
5		5	
4	The EP would be expected to demonstrate a platform of significant research output that has generated substantial new ideas, interpretations or critical findings and that makes a valuable contribution to existing paradigms and practices. The research outputs generate new information or ideas and are well researched and technically sound. The EP typically includes research outputs that are presented in reputable channels considered as being very good. The research is likely to contribute to further research activities and to have demonstrable impacts reflected in developments that may include product development, processes or tools; or uptake and dissemination; or changes in professional, organisational, policy, artistic, or research practices.	4	The EP demonstrates a body of research outputs and/or activities that is recognised as high-quality in terms of its originality, rigour, and significance, and/or in terms of the reach and significance of its impact. EREs, including core research outputs and any supplementary outputs or activities, likely represent substantial new ideas, interpretations, or critical findings, valuable contributions to existing paradigms, the recovery or revitalisation of knowledge, innovative practical applications or syntheses of research, or other new or creative findings. EREs may evidence research that has delivered significant impact; reach may be significant in terms of breadth or depth or both. Outputs could demonstrate research that is recognised as high quality and significant within its field. They would be expected to demonstrate a high level of intellectual rigour, insight or methodological skill, and may be a point of reference within the relevant field.

			Research outputs will typically be presented through reputable and appropriate channels relative to the field or topic of research. Where relevant, research and research-related activities may have gained recognition from peers, which may also include peers within industry, communities, iwi, hapū, marae, the public and third sectors, and/ or professional practice. Research-related activities may demonstrate some significant outcomes from collaboration, dissemination, and/or engagement with relevant representative groups and bodies within or outside academic domains. They may have delivered impacts which have achieved either reach or significance for a beneficiary group. Such impacts could include changes or contributions to changes in professional, policy, organisational, artistic, or research practices, commercial developments, processes, and applications, or other outcomes which have realised benefits for public stakeholder groups, private sector or commercial enterprises, or communities.
3	The EP would be expected to demonstrate a platform of research activity (or developing research activity) and output that is based on a sound and justifiable methodology, and that makes a contribution to research within the discipline or to applied knowledge, or both. This	3	The EP demonstrates a body of research outputs and/or activities that is recognised as meeting the minimum standards of originality, rigour, and significance relative to the field, and/or as having achieved some limited impact.
2		2	

	is normally demonstrated by the production of research outputs that have been subject to quality assurance processes.		EREs, including core research outputs and any supplementary outputs or activities, likely represent some contributions to or developments on existing ideas, paradigms or interpretations, practical applications research, or other findings that have some significance within the field. EREs may evidence impact, likely limited to small stakeholder groups and/or to a more superficial degree of change or benefit. Outputs could demonstrate research that has a sound and justifiable methodology and is recognised as meeting minimum quality assurance standards within the field. Outputs should typically be presented through reputable channels relative to the field or topic of research. Where relevant, research and research-related activities may have gained some limited recognition from peers, which may also include peers within industry, communities, iwi, hapū, marae, the public and third sectors, and/ or professional practice. Research-related activities may demonstrate evidence of collaboration, dissemination, and/or engagement with representative groups and bodies within or outside academic domains; outcomes and impacts for specific beneficiary groups may be limited. Such impacts could occur within public, private, third sector or community contexts but are likely to be limited both in terms of significance and reach.
1	Minimal evidence of research activity. The research outputs are assessed as having limited or no significance or impact, as contributing little or no additional understanding or insight in the discipline or field, or as	1	The EP demonstrates minimal evidence of research or research-related activity. The research presented is assessed as having limited or no originality, significance, or rigour, and has achieved little or no impact.

	lacking in the appropriate application of theory or methods, or both.		EREs represent little or no additional contributions to or applications of knowledge. Research outputs demonstrate no or very limited contributions to understanding or insight in the discipline or field, or lack the appropriate application of theory or methods, or both. Research-related activities demonstrate very limited collaboration, dissemination, or engagement, with little evidence of outcomes or of peer recognition.
0	No evidence of research activity.	0	No evidence of research or research-related activity is presented.

Table 2: Research Contribution (2018) and proposed Contributions to the Research Environment descriptors

Research Contribution component descriptor QE 2018	Proposed Contributions to the Research Environment component descriptor
This component of an EP 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 tertiary education organisations (TEOs), hold their research › their role and the contributions they make, in creating a vital, high-quality research environment › any impact that their research has had outside academia. This component allows for a number of activities that are indicators of a vital, high-quality research environment, and provide indicators of the social, cultural, environmental and economic benefits of the research including the advancement of	This component is concerned with the contribution a staff member has made to sustaining, developing, and/or growing the research environment and culture of which they are a part. The component allows for recognition of activities and outcomes that are indicative of a vital, high-quality, sustainable research environment that may exist across academic, community, industrial, public, and commercial domains. Research environments and the activity that sustains and grows them may be local, regional, national or international in orientation. EPs will normally be expected to include a minimum of one and up to ten CRE items, unless the EP is submitted by a New and Emerging

mātauranga Māori. These activities may be local, national and/or international in orientation and impact. These can include: › Contribution to research discipline and environment that reflects the staff member's contribution to the general development of their discipline or general improvements to research capability and/or the research environment inside and/or outside of academia. › Facilitation, networking and collaboration that provides an indicator of the contribution the staff member makes to the research environment specifically through developing and supporting research networks and collaborations that develop their discipline or improve research capability inside and outside of academia. › Invitations to present research or similar that provide an indicator of the staff member's reputation within and outside of academia, and as such, these items are about invitations that are specifically based on the staff member's research reputation, including invitations to give keynote addresses, or other similar invitations. › Other evidence of research contribution that are not included in the other categories but demonstrate the contributions made, and/or esteem held, by a staff member and their research within or outside of academia. › Outreach and engagement that reflects the contribution the staff member makes to the wider community in New Zealand and/or internationally through their research-based expertise.	Researcher, in which case no CRE items are required. In scoring the CRE component, the number of CRE items submitted should have no bearing on the assessment of quality so long as the minimum of one item (where relevant) has been included. The component will recognise the following types of activity or outcome: › Contributions to Research Discipline, Culture, and Environment that demonstrate the staff member's contribution to the general development, sustainability, vitality or visibility of their discipline, field or the broader research environment, culture or capability both within and outside academic domains. Examples might include research leadership roles such as head of department, laboratory, centre, or institute director, institutional or other research related committee membership, activity related to establishing, validating, representing, raising awareness of, and advocating for the discipline or field, or acting in the 'critic and conscience' role. › Facilitating, Networking and Collaboration activity that demonstrate the staff member's contribution to the research environment specifically through developing and supporting research networks, groups, or collaborations that develop or sustain their discipline, field, or the broader research environment, culture or capability both within and outside academic domains. Examples might include setting up, leading, or contributing to research centres, groups, seminars, wānanga, fono, lecture series, reading groups, fora, or networks.
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› Recognition of research outputs that reflects the esteem in which a staff member's specific research outputs are held by their peers and others. › Research funding and support that provides an indicator of the contribution the staff member makes to the research environment or reflects the staff member's esteem where the funding/support is competitive. › Research prizes, fellowships, awards and appointments that indicate the staff member's research reputation within and outside of academia, and as such, these items are about selective memberships. › Researcher development that reflects the staff member's contribution to the range of activities related to mentoring colleagues in relation to research development. › Reviewing, refereeing, judging, evaluating and examining that 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 classified into three categories, namely peer esteem, contributions to the research environment, and community or end-user impact. Panels recognise that the items submitted within EPs will differ across the three categories and the 12 research contribution types, and that the nature of disciplines and the opportunities they	› Researcher Development, Capability-Building, and Mentoring activity that demonstrates the staff member's contribution to developing and growing the research environment specifically through staff development, mentoring and support both within and outside academic domains. Examples might include formal mentoring roles, leadership roles and advocacy/representative roles for particular career stages, or contributions to promotions processes and appointments panels. › Reviewing, Refereeing, Judging, Evaluating and Examining activity that demonstrates the staff member's contributions to developing and sustaining their discipline or field through reviewing, refereeing, judging, evaluating and examining their peers. Invitations to undertake such activity may also indicate the staff member's standing and/or peer esteem within the discipline or field. Examples might include positions on editorial boards, publisher, journal, institutional or other peer-review roles, funding or awards panel membership. › Student Development and Support activity which demonstrates the staff member's contributions to developing or growing research capacity and capability through supervision, mentoring, support, evaluation or review of research students, activity aimed at addressing equity and inclusivity issues including for Māori and Pacific research students in particular, as well as esteem and recognition factors associated with a staff member's research student supervisees. › Peer esteem and research recognition factors not included in ERE section, including indicators associated with the staff member and/or work over the duration of a career rather than
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inherently have for esteem, contributions and community or end-user impact will differ. To obtain a high score, strong and consistent evidence of both peer esteem and contributions to the research environment would normally be expected. Strong and consistent examples of community or end-user impact will also contribute to a high score, although it is not expected that all staff members will have, or include, such examples.		associated with a specific ERE or OERE. Examples might include prizes, awards, honours, elected roles or other indicators. Panels recognise that the items submitted across the six CRE types will differ in kind depending on disciplinary norms and that inherent opportunities for research environment contributions will likewise vary across fields or disciplines. It is not expected that evidence of contributions across all six types will be submitted, and neither will submission of evidence across a greater or lesser range of types form the sole basis for quality assessment. All six types of CRE are considered as equally valuable and as equally capable of producing the highest score.	
Research Contribution scoring scale QE 2018		Proposed CRE scoring scale	
Score	Tie-point descriptor	Score	Tie-point descriptor
7	The EP would be expected to demonstrate that the staff member's research has consistently attracted world-class recognition and the esteem of peers considered the experts in their field throughout the period; and that they can demonstrate a strong contribution to a world-class research environment in New Zealand and/or internationally, inside and/or outside of traditional academia. They may also have evidence that their research or expertise or both has had a significant impact, influence or benefit on the wider community or end-users. Evidence that the staff member has a strong and consistent history of world-class recognition by their peers is likely to be shown through, for example, invitations to	7	The EP demonstrates that the staff member makes a leading contribution to a sustainable research environment in New Zealand and/or internationally. This is likely to be shown through, for example: › research leadership at the highest levels (for example, membership of significant research selection and/or assessment panels nationally or internationally, leading major collaborative research centres, consortia, units, teams or other groups including initiatives at the highest level of Te Ao Māori, Pacific, and other communities, institutional or cross-institutional, national or international leadership roles
6		6	

present and/or contribute to world-class research (for example, invited attendance, or presentations at prestigious academic, cultural and industry conferences and events); the receipt of highly prestigious prizes or awards for research; selective memberships or fellowships of leading learned societies/academies or prestigious institutions, or special status with professional or academic societies; important directorships or advisory board memberships; attracting top research students and mentoring their own students into postdoctoral and other fellowships, scholarships and positions within the research, industry or cultural sectors (as esteem factors associated with the staff member's research students). Evidence that the staff member makes a strong contribution to a world-class research environment in New Zealand and/or internationally is likely to be shown through, for example, membership(s) of renowned collaborative research teams and/or research selection panels in New Zealand and/or internationally; research leadership at the highest levels (for example, leading/participating in major research consortia); the development of research infrastructure; significant contributions to research-focused conferences, stakeholder engagement, or attracting research funding or support; attracting renowned scholars to the TEO and/or New Zealand; a consistent record of successful supervision of post-graduate students; contributions to developing new research capacity that go beyond student supervision, including among Māori and Pacific researchers, and/or supporting research students to	including of research or professional membership organisations and bodies); › leading or contributing to the development of significant institutional, national, or international research capacity-building or support including infrastructure, services, collections, funds, fellowships; › significant contributions to or leadership of research-focused conferences, stakeholder engagement, or attracting research funding or support; › attracting renowned scholars to the TEO and/or New Zealand; › a consistent record of successful supervision of post-graduate students; contributions to developing new research capacity that go beyond student supervision, including among Māori and Pacific researchers, and/or supporting research students to produce research outputs that are quality-assured; › contributions to knowledge in the discipline through editorship positions, membership of editorial panels or refereeing of top-ranked journals. The staff member may have a public profile either nationally or internationally as a consequence of their expertise in their field or discipline, and may regularly provide expert public commentary or raise awareness of the role or value of their discipline or field.
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	produce research outputs that are quality-assured; contributions to knowledge in the discipline and movement into significant places of creative practice; undertaking editorship positions or membership of editorial panels or refereeing of top-ranked journals. There may be evidence within the EP that the staff member's research and/or expertise has had a significant impact, influence or benefit on the research community, the wider community, industry, audience or end-users. This may include, for example, positive reviews or acknowledgement by esteemed end-users or favourable citations of research; significant changes to practice within a professional, cultural, or research community as a result of the staff member's research; marked benefits to the research or wider community, business or industry through substantial new technology, design, processes, models, tools, methods, services; significant changes in understanding, attitude, awareness, behaviour regarding issues as shown in public debate or presentation, media coverage, policy advice; significant investment by partners or end-users into the research programme or further research outputs or both over an extended period of time; or other social, well-being, environmental, cultural or economic benefits.		
5		5	
4	The EP would be expected to demonstrate that during the assessment period, the staff member's research has been consistently recognised within New Zealand or elsewhere, and is esteemed beyond their own institution; they have	4	The EP demonstrates that the staff member makes a strong contribution to a high-quality, sustainable research environment in New Zealand and/or internationally. This is likely to be shown through, for example:

contributed research and leadership within the broader discipline in addition to contributing to their own organisation(s) research environment and/or outside of traditional academia; or they may have evidence that their research and/or expertise has had a recognised impact, influence or benefit on the wider community or end-users. Evidence that the staff member has a consistent record of recognition by their peers is likely to be shown through, for example, invitations to present and/or contribute to important research events (for example, invited attendance, keynote addresses, or presentations at academic, cultural, and/or industry conferences/events within New Zealand or elsewhere); the receipt of prizes or awards for research; significant commissions of research; membership of a professional society or similar with restricted or elected membership, or honours or special status with professional or academic societies; advisory board memberships; reviewing of journal submissions and book proposals; doctoral examinations; mentoring their own graduate students into research scholarships or postdoctoral fellowships or junior lectureships in departments with a good research reputation (esteem factors associated with the staff member's research students). Evidence that the staff member makes a consistent contribution to the research environment in New Zealand and/or internationally is likely to be shown through, for example, collaborative research across disciplinary boundaries or across organisations and/or membership(s)	› research leadership which may include membership of research selection and/or assessment panels nationally or internationally, membership or participation in collaborative research centres, consortia, units, teams or other groups, institutional or cross-institutional, national or international leadership roles including of research or professional membership organisations and bodies); › contributing to the development of institutional research capacity-building or support including infrastructure, services, collections, funds, fellowships; › contributions to research-focused conferences, stakeholder engagement, or attracting research funding or support; › attracting renowned scholars to the TEO and/or New Zealand; › a record of successful supervision of post-graduate students; contributions to other research student development, mentoring, and support initiatives including for Māori and Pacific research students, and/or supporting research students to produce research outputs that are quality-assured; › contributions to knowledge in the discipline through editorship positions, membership of editorial panels or peer review roles at high-quality journals. The staff member may have a developing public profile as a consequence of their expertise in their field or discipline, and may have provided expert public commentary or raised awareness of the role or value of their discipline or field.
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	of research selection panels or leading research consortia within New Zealand; organising and hosting conferences; contributions (that are not research outputs) to research-focused conferences, stakeholder engagement, or attracting research funding or support; attracting researchers and scholars to the TEO; a consistent record of successful supervision of students; contributions to developing new research capacity that go beyond student supervision, including among Māori researchers and Pacific researchers, and supporting research students to produce research outputs possibly in conjunction with academic staff; contributions to debate in the discipline and/or public understanding of developments/implications in the discipline; undertaking editorship positions or membership(s) of editorial panels of reputable journals within New Zealand or elsewhere. There may be evidence within the EP that the staff member's research and/or expertise has had an impact, influence or benefit on the research community, the wider community, industry, audience or end-users. This may include, for example, positive reviews or acknowledgement by end-users or favourable citations of specific research outputs; changes or partial changes to practice within a professional, cultural or research community as a result of the staff member's research; recognised benefits to the research or wider community, business or industry through new technology, design, processes, methods, models, tools, services; recognised changes in understanding, attitude, awareness, behaviour regarding issues as shown in public debate or		
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	presentation, media coverage, policy advice; moderate investment by partners or end-users into the research programme or further research outputs or both; or other social, well-being, environmental, cultural or economic benefits.		
3		3	
2	The EP would be expected to demonstrate that the staff member is developing recognition for their research among their peers, particularly their contribution to and developing rigour in the application of research techniques; they have contributed to their immediate research environment, primarily within their organisation(s) and/or outside of traditional academia; or they may have evidence that their research and/or expertise has had a minor but recognised impact, influence or benefit on the wider community or end-users. Evidence that the staff member is developing recognition within their own institution and/or beyond is likely to be shown through, for example, invitations to present research to informed audiences, within and possibly beyond the applicant's immediate institution; invitations to contribute to research, particularly as a named researcher in an externally funded research programme(s) or project(s); commissions to undertake research; invitations to referee research outputs; the receipt of prizes or awards for research.	2	The EP demonstrates that the staff member has made some contribution to a high-quality, sustainable research environment in their discipline or field at an organisational or national level. This is likely to be shown through, for example: › participation in research centres, consortia, units, teams or other groups within their specific discipline or at the institutional level; › contributions to the institutional research environment through membership of relevant committees or discipline-related bodies; › contributions to research-focused conferences or seminars, or to stakeholder engagement activity; › the successful supervision of post-graduate students, including Māori and Pacific research students; › contributions to knowledge in the discipline through membership of editorial panels or peer review roles at journals that are recognised within the discipline or field. The staff member may have had some experience of providing public commentary as a consequence of their specific research expertise

	Evidence that the staff member is contributing to a high-quality research environment within their organisation(s) and/or beyond is likely to be shown through, for example, participating in committees of organisational bodies or discipline-related bodies dealing with research matters; organising and hosting research-focused conferences and/or seminars; contributions to stakeholder engagement; attracting, or helping to attract, research funding or support; hosting visiting researchers; the successful supervision of Master's and doctoral students, including Māori and Pacific students. 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 be include, for example, positive reviews or acknowledgement by relevant end-users or positive citations of research; minor but recognised benefits to the research or the wider community, business or industry through new technology, design, processes, models, tools, methods, services; minor but recognised changes in understanding, attitude, awareness, behaviour regarding issues as shown in public debate or presentation, media coverage, policy advice; minor investment by partners or end-users into further research outputs; or other social, well-being, environmental, cultural or economic benefits.		
1	The EP demonstrates that during the assessment period there is minimal evidence of esteem generated through research, either within or outside of academia; minimal	1	The EP demonstrates minimal evidence of contribution to the staff member's research environment. Any activity is likely to be limited to the departmental or sub-organisational level, or

	evidence of any contributions to the research environment; and minimal evidence of any impact, influence or benefit that their research and/or expertise has had inside or outside of academia.		to platforms and events that are not well-recognised within the discipline or field. There may limited or no evidence of research student supervision or support.
0	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.	0	No evidence of contributions to the research environment is presented.

APPENDIX 3: Panel selection and completing panel details guidance, Guidelines for tertiary education organisations participating in the 2018 Quality Evaluation, pp. 35-41

Completing the Panel Details section

Tertiary education organisations (TEOs) must nominate a peer review panel and subject area for each Evidence Portfolio (EP) they submit to the 2018 Quality Evaluation.

- › There are 13 peer review panels in the 2018 Quality Evaluation. Each panel is responsible for assessing a specific subject area or areas.
- › TEOs need to nominate one primary peer review panel. This will be the panel that undertakes the assessment and awards the Quality Category for the EP. This is normally the panel selected by the TEO.
- › Panel Chairs are able to recommend the TEC transfers EPs to another panel. If this occurs, the TEO will be advised when it receives the results of the Quality Evaluation.
- › TEOs cannot request a cross referral to another panel.
- › TEOs need to nominate one primary subject area from the 43 PBRF subject areas.
- › Staff members need to provide information on the primary field of research for the Field of Research Description. TEOs need to ensure that this information is succinct and accurately reflects the content of the research in the staff member's EP. This information helps the Chair to assign the EP appropriately.
- › TEOs can complete the Māori Research and/or Pacific Research elements in the Panel Details section of the EP, if the EP contains relevant research but is not being submitted to either of those panels. This information will allow the Chairs of the two panels to decide whether a cross-referral assessment is appropriate.
- › Each panel has developed panel-specific guidelines that provide further advice on the subject areas it expects to assess.

Which panel should be nominated as the primary panel?

The nominated peer review panel should be the panel that best matches the majority of the research outputs – in particular, the subject area or discipline that best matches the Nominated Research Outputs (NROs) selected.

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

Where the research outputs in an EP involve interdisciplinary research that is covered by more than one panel, the TEO should nominate the panel and the subject area that best matches the majority of the NROs in the EP. In these cases, the TEO

should note the interdisciplinary nature of their EP in the Field of Research Description.

What are the peer review panels and subject areas?

The 13 peer review panels and their subject areas are set out in the table below.

Panel	Subject areas	
Biological Sciences	Agriculture and other applied biological sciences Ecology, evolution and behaviour Molecular, cellular and whole organism biology	The subject area selected for the EP will be the subject area that the quality score will be reported under on a nationally standardised basis.
Business and Economics	Accounting and finance Economics Management, human resources, industrial relations, international business and other business Marketing and tourism	
Creative and Performing Arts	Design Music, literary arts and other arts Theatre and dance, film and television and multimedia Visual arts and crafts	
Education	Education	Research in the area of design can potentially be submitted to the Creative and Performing Arts panel (under Design) or the Engineering, Technology and Architecture panel (under Architecture, design, planning, surveying). The panel-specific guidelines for these two panels set out what each panel would expect to see from design research submitted to each of the panels, to help with allocation to one of these panels.
Engineering, Technology and Architecture	Architecture, design, planning, surveying Engineering and technology	
Health	Dentistry Nursing Other health studies (including rehabilitation therapies) Pharmacy Sport and exercise science Veterinary studies and large animal science	
Humanities and Law	English language and literature Foreign languages and linguistics History, history of art, classics and curatorial studies Law Philosophy Religious studies and theology	
Māori Knowledge and Development	Māori knowledge and development	
Mathematical and Information Sciences and Technology	Computer science, information technology, information sciences Pure and applied mathematics Statistics	

Panel	Subject areas
Medicine and Public Health	Biomedical Clinical medicine Public health
Pacific Research	Pacific research
Physical Sciences	Chemistry Earth sciences Physics
Social Sciences and Other Cultural/Social Studies	Anthropology and archaeology Communications, journalism and media studies Human geography Political science, international relations and public policy Psychology Sociology, social policy, social work, criminology and gender studies

The subject area weighting used in the Quality Evaluation funding calculation for EPs submitted to the Māori Knowledge and Development (MKD) Panel and the Pacific Research Panel will reflect the underlying subject of the research, rather than the subject listed in the EP.

The Chair of the relevant panel will advise the Moderators of the appropriate subject area weighting based on the NROs and the Field of Research description section within the EP. The Moderators will review and provide a recommendation to the TEC on the subject area weighting to be applied to each EP.

The Field of Research Description is 200 characters long.

- Examples of what to put in the field could include simple short statements like:
- viticulture and wine-making
- soil biology
- cross-cultural management and leadership
- history and theory of cinema and theatre.
- Longer statements should only be used where necessary, for example, where the nominated research outputs in the EP are interdisciplinary or sit in different subject areas.
- The research in the EP crosses two panels. Three NROs relate to cultural identity as part of organisational communications, but one NRO is considered literary arts because it is a fiction novel.
- The research in the EP is interdisciplinary. The research in two NROs relates to veterinary microbiology and public health, while

Completing the Field of Research Description

This information is used by panel Chairs to help with assigning the EP to appropriate panel members. TEOs need to ensure that it:

- › is a succinct and accurate description of the research field for the EP's NROs and the majority of the staff member's research activity **during the assessment period**
- › only contains information that describes the staff member's research at the level of a discipline or sub-discipline (for example, educational psychology, molecular biology).

If the staff member's research is interdisciplinary, they should clearly indicate this in the description.

Completing the Māori and Pacific Research elements

An important aim of the PBRF is to give due emphasis to research into Māori matters and Pacific matters. This research may acknowledge and recognise different approaches to the research process.

While TEOs cannot request a cross-referral assessment, cross referrals to the MKD Panel and the Pacific Research Panel can be initiated by the TEO completing the Māori Research element or Pacific Research element of the EP. TEOs may complete both elements if appropriate.

The final decision on whether an EP will or will not be cross referred lies with the Chair of the MKD Panel or the Chair of the Pacific Research Panel (or both if both elements are completed).

The cross-referral assessment may relate to part of an EP or to specific items within the EP. The Chair will need to advise the cross-referral panel member on what part or parts of the EP should be considered in the assessment. The panel member undertaking the cross-referral assessment must provide a commentary along with the score(s) for their assessment. This commentary must include confirmation of the part(s) of the EP that were assessed and provide a rationale for the component score(s) provided.

Cross-referral assessment to the Māori Knowledge and Development Panel

The MKD Panel will normally assess EPs where there is evidence of research based on Māori world views (both traditional and contemporary) and Māori methods of research.

TEOs and staff members should refer to the MKD panel-specific guidelines on the TEC website for further details on the coverage of this panel.

If the MKD Panel is not selected as the primary assessment panel, the staff member can choose to indicate that their EP contains some research relevant to this panel by completing the Māori Research element of the EP.

(Note: If the MKD Panel is selected as the primary assessment panel, the Māori Research element in the EP should not be completed.)

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.

Completing the Māori Research element in the Evidence Portfolio

The MKD Panel will consider cross referrals of EPs:

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

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

The Māori Research element in the EP allows researchers to complete a comment (500 characters) and reference up to five items in total from the Research Outputs and/or Research Contribution components of the EP relevant to Māori research. Commentary may include research based on Māori world views or Māori methods of research.

This information will help 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).

Cross-referral assessment to the Pacific Research Panel

The Pacific Research Panel will evaluate all EPs where there is evidence of Pacific-based research methodologies and methods, that involve Pacific-centred subject matter and that impacts on Pacific communities.

If the Pacific Research Panel is not selected as the primary assessment panel, the staff member can choose to indicate that their EP contains some research relevant to this panel by completing the Pacific Research element of the EP.

(Note: If the Pacific Research panel is selected as the primary assessment panel, the Pacific Research element in the EP should not be completed.)

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

Completing the Pacific Research element in the Evidence Portfolio

The Pacific Research Panel expects that EPs, where the Pacific Research element in the EP is completed, would contain one or more NROs that:

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

TEOs and staff members should refer to the Pacific Research panel-specific guidelines on the TEC website for further detail on the coverage of this panel.

The Pacific Research element in the EP allows researchers to complete a comment (500 characters) and reference up to five items in total from the Research Outputs and/or Research Contribution components of the EP relevant to Pacific research.

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

Completing the Platform of Research – Contextual Summary section

The Platform of Research – Contextual Summary includes information to help panel members to consider the research outputs and contributions presented in the Evidence Portfolio (EP) in the wider context of the individual’s research over the assessment period.

Following the review of the PBRF in 2014, there has been a substantial reduction in the quantity of research outputs and research-related activities that can be submitted in EPs for the 2018 Quality Evaluation. The aim of this is to simplify the Quality Evaluation process.

The Platform of Research – Contextual Summary provides staff members with the opportunity to present the peer review panel with information that will allow it to contextualise the information submitted in the Research Output and Research Contribution components.

The Platform of Research – Contextual Summary should provide the panel with a clear introduction to and overview of the research outputs and research-related activity presented within the EP, and reflect the staff member’s overall platform of research. It should answer the questions: who is the researcher, what are they doing and what is their research?

Staff members should also provide information on their specific research context, which may include for example:

- › the research environment they are working in, such as applied research or professional practice
- › changes in the focus of their research within the assessment period
- › the range of other research outputs completed in the assessment period, but not in the EP, that indicates the breadth or depth, or both, of the research platform
- › employment status, such as part-time employment, becoming research active during the assessment period, or teaching on sub-degree programmes.

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

The information in the Platform of Research – Contextual Summary will also support the panel to make judgements about the EP if it requires a detailed review by the panel at the Holistic assessment stage. The Holistic assessment process is primarily for exceptions, for example, where the component scoring may not produce a result that the panel judges correct when all information in the EP is considered together. The Holistic assessment allows the panel to determine which of the available Quality Categories is most appropriate for an EP, by taking all relevant factors into consideration.



The Platform of Research – Contextual Summary replaces the Other Comments section of EPs submitted in previous Quality Evaluations.

For those staff members undertaking interdisciplinary research, the Platform of Research – Contextual Summary should expand on the Field of Research Description.

The Platform of Research – Contextual Summary field is 2,500 characters long.

Unitec New Zealand Limited

Meeting of Te Komiti Rangahau o Unitec | Unitec Research Committee

Date of Meeting: 13 October 2022

Title	Animal Ethics - Te Pūkenga Code of Ethical Conduct
Provided by:	A/P Marcus Williams, Director Research & Enterprise
For:	INFORMATION

Recommendation

That the committee receives an update on the Animal Ethics - Te Pūkenga Code of Ethical Conduct (CEC).

Key Points

- The CEC was discussed at a meeting of the National Animal Ethics Advisory Committee in September.
- The CEC is currently being drafted and is expected to be finalised by 1 November 2022.

Background

A new CEC covering the conduct of ethical research and teaching involving animals at Te Pūkenga is currently being drafted. It has been a challenging piece of mahi as Te Pūkenga's operating structure is still being finalised.

The Draft CEC allows for Parenting arrangements, a proposed structure similar to that used by AgResearch where there is one Animal Ethics Committee, drawing upon membership representation from the different sites/campuses where research/teaching and testing takes place.

The working party developing the code has provided for Facility Animal Welfare Officer(s), and specialist knowledge co-opted members as well as an application review/screening subcommittee working where required. They have tried to ensure that the CEC can work effectively and inclusively across the network of users and that it reflects the nature of the new organisation in relation to commitment to Charter and meeting Te Pūkenga's obligations under Te Tiriti.

The working party has also started to put together some of the more general SOPs/Protocols required for using animals for teaching purposes – but these will need to be built upon using the template that has been designed for that purpose. They have collected together a good number of the existing ones used for teaching purposes to help with this mahi.

The working party has checked with MPI and given that the operating structure for the CEC will need to be agreed and set up, once it's clear how Te Pūkenga will be organised, they will continue to operate using the Codes and Parented/parenting arrangements that are currently in place. This will allow the time needed to set up a dedicated Animal Ethics Committee, structure and application

process/policy required to ensure that teachers and researchers can function under the new CEC. Consideration will also be given to who will be responsible for overseeing the Animal Use Ethics structure. Once this is all clear, there will be a need for current Codes and parented/parenting arrangements to be terminated. Guidance will be provided as to this timing of this in due course.

Te Komiti Rangahau o Unitec | Unitec Research Committee Self-Assessment

Purpose: NZQA requires the Committees of Unitec's Academic Board to provide evidence of self-assessment.

Te Komiti Rangahau o Unitec Self-Assessment Provocations

- Can we improve the way the committee is run?
- Is time well managed?
- Are issues under discussion well-handled and resolved?
- Are the agenda and minutes well handled?
- Are the perspectives of committee members respected and heard?
- Are actions completed and accounted for?
- Were there matters raised and dealt with in the meeting that were particularly helpful or unhelpful?
- Does the committee oversee and ensure compliance within its mandate?
- Does the committee show foresight and proactively engage in continuous improvement?
- Does the committee review and improve the relevant policies, guidelines and regulations?