



Tertiary Education Commission
Te Amorangi Mātauranga Matua

Performance-Based Research Fund

Peer Review Panel nomination and selection
process for the 2018 Quality Evaluation

Last updated: 6 May 2016

Contents

Status update.....	1
What is the overall outcome sought?	1
What is the overall process?	1
What are the selection criteria?	2
What is required of panellists?	3
How do I nominate someone or be nominated?	3
Where do I submit this nomination and by when?	4
How are Panel Members appointed?	4
When will I know the result?.....	5
Can I withdraw my nomination?	5
What if I have questions?.....	5
Key dates for panel nominations and appointments	6
Appendix 1: Peer Review Panels	7
Appendix 2: Nomination information.....	9
Appendix 3: Information relating to panel appointments	13
Appendix 4: Conflict of interest policy.....	16
Appendix 5: Confidentiality of Information policy	20
Appendix 6: Guidance to Panel Chairs.....	22
Potential number of Panel members by subject area	29
Targets for panel composition	32
Appendix 7: Appointment of Panel Chairs and Deputy Chairs	34

The Tertiary Education Commission (TEC) invites nominations for people to serve as Panel Members for the Performance-Based Research Fund (PBRF) 2018 Quality Evaluation.

This document provides an overview of the nomination and appointment processes, as well as key information and dates for those interested in being on a panel in the 2018 Quality Evaluation.

Status update

As at May 2016, the initial cohort of panel Chairs and panel members have been appointed, and have drafted the panel-specific guidelines. The panel-specific guidelines have been released for public consultation, which is open until 17 June 2016. The final panel-specific guidelines will be published by 22 July 2016.

The nomination process for the second cohort of panel members remains open until 23 February 2018.

What is the overall outcome sought?

The two-stage panel selection process will result in the appointment of the Chairs, Deputy Chairs and members (collectively referred to as “panellists”) of the thirteen peer review panels for the 2018 Quality Evaluation (see Appendix 1).

PBRF peer review panellists are appointed for their specific expertise and knowledge, and do not act as representatives of their employer or discipline.

In the appointment of a peer review panel, the goal will be to achieve the highest calibre of panellists, who jointly represent a comprehensive range of subjects and interests.

Each panel will have, where possible;

- an appropriate mix of new and previous panel members;
- gender representation;
- international representation of at least 25%;
- representation from across different tertiary education sectors and other research organisations; and
- panel members who have the ability to represent the interests of:
 - applied/practice-based researchers;
 - early career researchers;
 - inter-disciplinary researchers;
 - Māori researchers; and
 - Pasifika researchers.

What is the overall process?

There is a two stage open nomination process for membership of the 2018 Quality Evaluation peer review panels, with the first stage closed in September 2015, and the second stage open until 23 February 2018.

Nominations are welcome from individuals with recognised research expertise and knowledge, including those with experience of applied research or significant evidence of links to research users, and who undertake research in non-TEO settings.

There are key activities within the overall nomination and selection process. These activities and the indicative dates are set out in the table below.

Activity	Indicative date	Status update (May 2016)
Nominations open for all Panel Chairs and Panel Members	3 August 2015	Ongoing (for panel members only)
First nomination deadline closes	14 September 2015	Completed
Panel Chairs announced	6 November 2015	Completed
Initial cohort of members including Deputy Chairs announced	4 February 2016	Completed
Panel-specific guidelines developed and released	February – July 2016	In progress
Evidence Portfolio (EP) estimates supplied by TEOs to inform judgements about size of each panel	12 February 2018	
Second nomination process closes	23 February 2018	
Second cohort of members announced	19 April 2018	
Deadline for submission of EPs	15 July 2018	
Additional appointments of Panel Members announced	31 July 2018	

What are the selection criteria?

Panel member selection criteria

The preferred attributes and qualities of a panel member are that they will:

- have substantial experience in a peer review or research evaluation role;
- have significant and broad research expertise;
- have sufficient levels of knowledge and expertise to be able to apply expert judgements about quality against widely recognised standards of excellence;
- be able to give appropriate consideration to the significance, quality and impact of professional and applied research (where relevant);
- have limited conflicts of interest;
- be committed to operating within the guidelines in an objective, fair and dispassionate manner;

- be able to operate effectively and productively as a member of a small, multi-disciplinary team over a pressured time period; and
- have the confidence of their peers.

What is required of panellists?

In the PBRF Quality Evaluation process, individuals are appointed as peer review panellists in their own right, for their specific skills and expertise in both research and the assessment of research. They do not act as representatives of their employer or discipline.

Responsibilities of Panel Members

Panel members are to participate fully in the evaluation process within their panel.

Specifically, their responsibilities are to:

- understand the principles, guidelines and procedures of the PBRF Quality Evaluation;
- assess EPs assigned to them by the panel Chair, primarily by assigning preparatory and preliminary scores as required;
- understand the broad criteria under which the evaluations are to be made, and apply these objectively to the work of the panel;
- be diligent in their preparation for meetings and in completing tasks allocated to them by the panel Chair (e.g. undertaking initial assessment of EPs allocated to them in a timely manner);
- contribute fully, constructively and dispassionately to all panel processes and take collective ownership for the panel decisions;
- maintain confidentiality of both the deliberations and decisions of the panel;
- exercise due skill and care in the performance of their responsibilities; and
- identify instances where they may have a conflict of interest and raise this with the panel Chair prior to the conflict affecting the assessment process.

Panel members appointed in the first selection process in 2015 are also required to assist with revising and updating panel-specific guidelines.

How do I nominate someone or be nominated?

Any person seeking to be appointed to a panel must be nominated by another person who must submit a nomination form.

PBRF panel members from previous Quality Evaluations will not be automatically reappointed.

All nominations must be submitted online by the person making the nomination. All nominations must be completed using this [online form](#).

If you wish to nominate someone as a panel member, you must:

- ask the nominee to agree to the nominee declaration and provide all nominee information required and a current curriculum vitae (CV) that outlines the nominees' appropriate skills, attributes and backgrounds. The CV must be no more than five single-side A4 pages.

- complete the remaining information and declaration, and submit the completed form with the attached nominee's CV to the TEC.

The TEC reserves the right to approach individuals directly.

Where do I submit this nomination and by when?

The first nomination process (to select Panel Chairs, Deputy Chairs, and an initial cohort of panellists to develop panel-specific guidelines) has now closed.

Nominations for the second nomination process remain open and will be accepted any time up until **26 February 2018**. Self-nominations will not be accepted.

All nominations must be completed using this [online form](#).

Nominees who were not successful in the first nomination process have been carried over to the second nomination process.

How are Panel Members appointed?

Panel Members will be selected through a two-stage open nomination process.

First nomination process (completed February 2016)

An initial cohort of panel members, consisting of at least five members who provide fair representation of all relevant disciplines covered by the panel, have been appointed to each peer review panel. This number excludes the Panel Chair and the Deputy Panel Chair.

This initial cohort of each panel are responsible for developing the panel-specific guidelines that will be used by the sector to support the submission of Evidence Portfolios (EPs).

Second nomination process (ongoing)

A second nomination process will finalise the size of each panel prior to the Quality Evaluation in 2018 by appointing panellists that meet the specific gaps identified by the Chairs and Moderators. Nominations from the first selection process will be included for consideration by Chairs.

Selection process

Panel Chairs will assess nominees against the selection criteria reviewing the information supplied about those people nominated for the relevant peer review panel.

Panel Chairs are also able to directly nominate potential members where they consider this necessary or appropriate.

The Panel Chair will then work with the Moderators to recommend suitable candidates for appointment as Panel Members by the TEC. The Moderators will review the recommendations in regard to the [overall goals](#) set out for PBRF panels and provide specific advice on this.

The recommendations to the TEC will include:

- a. the grouping of nominees as follows:
 - preferred candidates for appointment to the role of Panel Member;
 - candidates identified as suitable for appointment but not recommended; and
 - individuals who are not considered suitable for appointment;

- b. information on what gaps may have arisen in the membership of the initial cohort of Panel Members, and what steps were taken to identify alternative Panel Members; and
- c. what gaps have arisen in the overall membership of the panel based on the nominations received to date, taking into account the overall goal that is sought.

Finalising the panel following the submission of Evidence Portfolios

Participating tertiary education organisations (TEOs) will submit their Evidence Portfolios in June 2018.

Following this, Panel Chairs may need to appoint a small number of additional members to address certain subject areas or manage conflicts of interest.

Panel Chairs will select these members from the nominations received and through direct nomination of appropriate individuals where they consider this necessary or appropriate.

When will I know the result?

The TEC will advise each nominee advising them of the outcome of the process. Following the second nomination round, nominees will be advised by **27 March 2018** that their application has either been successful or unsuccessful.

Finalising appointments

Once the recommendations for panel appointments and panel profiles are approved by the TEC, the successful nominees will be advised in writing.

This information will include a letter of appointment to be signed and returned as acceptance of the appointment. It will include a confidentiality agreement and conflict of interest declaration.

Panel appointments will be announced on the TEC's website with information on each member to include name, current employer/organisation affiliation, and subject area expertise.

Replacing Panel Chairs or Members

Should a recommended nominee decline an appointment or resign, the TEC will work with the Moderators and relevant Panel Chair where applicable, to recommend a replacement from the list of those who are "suitable for appointment but not recommended". The final decision on appointment will rest with the TEC.

Can I withdraw my nomination?

Nominees can withdraw their nomination at any time by emailing pbrfhelp@tec.govt.nz with their name, contact details and nominated panel name so that the TEC can identify the correct nomination.

What if I have questions?

Any questions can be sent via email to pbrfhelp@tec.govt.nz and we will get back to you directly. Updates on the process will be published on the TEC website.

Key dates for panel nominations and appointments

Activity	Indicative dates
Nomination process opens	3 August 2015
First nomination process closes (second nomination process continues)	14 September 2015
Panel Chairs advised of appointment	16 October 2015
Panel Chairs announced	6 November 2015
Panel Chair induction session (1 day)	19 November 2015
Deputy Panel Chairs and Panel Members (initial cohort) advised of appointment	15 December 2015
Deputy Panel Chairs and Panel Members (initial cohort) announced	4 February 2016
Panel specific guidelines released for consultation	18 April 2016
Consultation closes on panel-specific guidelines	17 June 2016
Final panel-specific guidelines released	22 July 2016
TEOs provide estimates of EPs to be submitted by panel and subject area	12 February 2018
Second nomination process closes	23 February 2018
Panel Members (second cohort) advised of appointment	By 27 March 2018
Second cohort of members announced	19 April 2018
Panel training meetings (2 days)	May 2018
Deadline for submission of EPs	15 June 2018
Additional appointments of Panel Members announced	31 July 2018
Panel assessment of EPs	July – November 2018
Initial moderation meeting	Mid/late November 2018
Panel meetings (3-5 days)	December 2018
Second Moderation meeting	Mid/late December 2018
Any panels reconvened if necessary	January 2019
Panel reports due	February 2019

Appendix 1: Peer Review Panels

Panel	Panel Identifier	Subject Area
Biological Sciences	BIOS	Agriculture and other applied biological sciences Ecology, evolution and behaviour Molecular, cellular and whole organism biology
Business and Economics	BEC	Accounting and finance Economics Management, human resources, industrial relations, international business and other business Marketing and tourism
Creative and Performing Arts	CPA	Design Music, literary arts and other arts Theatre and dance, film and television and multimedia Visual arts and crafts
Education	EDU	Education
Engineering, Technology and Architecture	ETA	Architecture, design, planning, surveying Engineering and technology
Health	HEALTH	Dentistry Nursing Other health studies (including rehabilitation therapies) Pharmacy Sport and exercise science Veterinary studies and large animal science
Humanities and Law	HAL	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	MKD	Māori knowledge and development
Mathematical and Information Sciences and Technology	MIST	Computer science, information technology, information sciences Pure and applied mathematics Statistics
Medicine and Public Health	MEDPH	Biomedical Clinical medicine Public health
Pacific Research	PACIFIC	Pacific research

Physical Sciences	PHYSC	Chemistry Earth sciences Physics
Social Sciences and Other Cultural/ Social Studies	SSOCSS	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

Appendix 2: Nomination information

The table below can be used to collect the required information, however all nominations must be completed using this [online form](#).

In the first nomination process, nominees must indicate if they are being nominated for the Panel Chair or a Panel Member role. Nominees for the Panel Chair should indicate if they are willing to be considered as a panel member if they are not recommended as a Panel Chair.

The information in a nomination form will be available to other Panel Members if the nominee is appointed. Nominees may wish to use contact details for their place of employment.

A current copy of the nominee's CV that outlines the nominee's appropriate skills, attributes and background must be uploaded with the nomination form. The CV must be no more than five single-side A4 pages and can be submitted in Microsoft Word or PDF format only. The CV should include information on the nominee's research outputs (where applicable).

Information required for a nominee

Nominee's details	
Surname	
First name	
Preferred name (if different from first name above)	
Preferred title	
Gender	
Ethnicity (and iwi affiliations where applicable)	
Contact details	
Contact phone number	
Mobile phone number	
E-mail address	
Postal Address	
Physical Address for courier (if different from above)	
Employment/academic details	
Employer (if applicable)	

Current position	
Academic qualifications and year attained	
Peer review panel details	
Panel(s) nominating for (please refer to Appendix 1)	
Primary area of subject expertise	
Specific subject area expertise (A brief statement relating to the subject areas of the panel)	
Up to five examples of appointments to external bodies/committees (including dates)	
Up to five examples of external experience in peer review/assessment situations	
Up to five examples of significant awards/grants/fellowships	
A list of all actual, potential or perceived conflicts of interest (refer to the Conflict of Interest policy for guidance)	
Declaration	
<p>The nominee must agree to the submission of the nomination form on the following basis:</p> <ul style="list-style-type: none"> - they have read the information set out in this document <i>Peer Review Panel nomination and selection process for the 2018 Quality Evaluation</i> and agree to the Conditions of Nomination set out as part of that information; and - they have read and agree to the Conflict of Interest Policy and the Confidentiality of Information Policy; and - the information contained in the nomination form is accurate. 	

Information required for the person making the nomination

Contact details	
Name (including title)	
Position	
Phone number	

Email address	
Declaration	
<p>The person making the nomination must confirm that they are submitting the nomination form on the following basis:</p> <ul style="list-style-type: none"> - they have discussed this nomination with the person they are nominating and they have agreed to be considered; and - the nomination is valid for the 2018 Quality Evaluation only; and - the information contained in the nomination form is accurate. 	

Accepting nominations

Nominations will be accepted by the TEC on the understanding that:

- nominees have read this document and understand the role, responsibilities and commitments of the role they are being nominated for, this includes:
- being available to contribute to the preparation of panel-specific guidelines between March and May 2016 (initial cohort only);
- using the PBRF IT system and all processes developed by the TEC for the purposes of assessing and scoring of Evidence Portfolios;
- attending the one day induction session in November 2015 (Chairs only);
- attending the two day training session in May 2018 (all Chairs and New Zealand and Australian-based Members);¹
- being available to evaluate Evidence Portfolios between July and December 2018 (including being available for a meeting of up to 5 days during the last week of November and first week of December 2018);
- being available for any further panel meeting or assessment that is required as directed by the Moderation Panel for the Quality Evaluation (normally in January or February of 2019); and
- nominees employed by any agency of the Crown have the agreement of their employer to their potential involvement;
- Panel Chairs and Members who are employed by a Crown Research Institute or any other agency of the Crown will not receive an honorarium for their PBRF duties if they are also being paid by their employer for the same time; and
- the information will be made available to panels seeking additional members, particularly in multi-disciplinary research areas, if necessary.

The TEC undertakes to:

- safeguard the information provided by the person being nominated and the person making the nomination;

¹ Appropriate training options for other overseas-based panel members will be developed and advised to appointees in advance of May 2018.

- only use this information for the purposes of appointing peer review Panel Members and to those panels;
- acknowledge all nominations received and to notify all nominees of the outcome of the appointment process; and
- maintain the confidentiality of Panel Members' deliberations and decision-making.

Appendix 3: Information relating to panel appointments

Honorarium

The honorarium for each role is set out below.

- Panel Chairs: \$18,170
- Deputy Chairs: \$5,500
- Panel Members (appointed in the initial cohort): \$4,500
- Panel Members (appointed in the second cohort): \$3,500

All honoraria are exclusive of GST.

Panel Chairs and Members who are employed by a Crown Research Institute or any other agency of the Crown will not receive an honorarium for their PBRF duties if they are also being paid by their employer for the same time.

Panel Chairs and Members who are self-employed or employed within the private sector will be appointed through a contract for service. The payment for services will be negotiated with those individuals.

Tax

If you live permanently in New Zealand and are registered for GST, you must provide the TEC with an invoice for your honorarium (if applicable).

If you are not registered for GST, and you are not claiming through a company or partnership, you must also submit an [IR330 Tax Code Declaration Form](#). The TEC will deduct resident withholding tax from your honorarium prior to payment.

Payments

All payments will be by direct credit to your bank account. Please complete and supply a direct credit authority as specified on the Direct Credit Form included in this letter.

When claiming fees please note that:

- Overseas-based persons in New Zealand for less than 64 days are exempt from withholding tax.
- If you are not registered for GST, the fee will be paid through our payroll system and withholding tax will be deducted from the total claimed.
- If you are claiming as an individual or as a company or partnership registered for GST, or through your organisation, you will need to provide a valid GST invoice within one month of completion of the relevant activity. GST should be added to the total claimed.

If you do not want to have withholding tax deducted, you will need to provide a copy of your certificate of exemption from withholding tax.

Disbursements

All disbursements will be paid in accordance with the TEC's travel, accommodation and expense claim policy, unless otherwise agreed. This policy will be provided to appointees following acceptance of their role.

Term of appointment

The term of appointment will be for the 2018 Quality Evaluation, however for those appointed as part of the initial cohort including Panel Chairs and Deputy Chairs the term will be for a longer period (2015/2016 until 2019).

The TEC may terminate appointments with immediate effect by giving the Panel Member written notice if they:

- breach any of the terms and conditions of this appointment; or
- commit any act amounting to serious misconduct.

The TEC may also terminate an appointment if it determines that the Panel Member's conflicts of interest are at a level that they may impact on the operation of a fair, impartial and effective evaluation process.

The Panel Member, or the TEC, may also terminate the appointment (at the Panel Member's, or our, sole discretion) for any reason by giving 14 days' notice in writing to the other party.

If the appointment terminates, the Panel Member must promptly deliver all property, documents, records and papers in their possession or under their control associated with the appointment to the TEC.

Time commitment and meeting location

The role of a Panel Member is reasonably demanding and includes the comprehensive assessment of Evidence Portfolios (EPs), the detailed review of selected Nominated Research Outputs, extensive liaison with other Panel Members, preparation for the peer review panel meetings, and a range of administrative tasks.

In addition, Panel Members will normally be expected to attend seven days of panel meetings comprising:

- up to two days of panel training in May 2018; and
- up to five days of peer review panel meetings in November or December 2018.

The subgroup of Panel Members who are involved in the preparation of the panel specific guidelines may be required to attend a further two days of meetings (a total of nine days of meetings).

The location of the panel meetings is yet to be confirmed, but are likely to be held in either Auckland, or Wellington or Christchurch.

Preparation of panel-specific guidelines

The 2018 panel-specific guidelines will be developed between March and May 2015. At least five Panel Members from each panel will contribute to this process.

Training

Chairs must be available for a one day induction session during 18 - 20 November 2015. The training of Panel Members is scheduled to occur during May 2018. This training will be held in New Zealand, and is expected to involve a time commitment of up to two days. Panel Members who are based overseas will be able to participate via online teleconferencing, or some comparable arrangement.

Peer assessment process

Panel Members will be involved in the assignment of EPs from July 2018, and normally begin assessing EPs from the last week of August 2018. These assessments will involve intensive work until early November 2018, and preparation for the peer review panel meetings during November 2018.

Meetings of the panels will be held for up to five days between 26 November and 7 December 2018 (the number of days and period are to be confirmed closer to the time).

Panel Chairs will need to be available for additional meetings normally in mid-November and mid-December 2018.

Copyright

The TEC will obtain a copyright agreement from Copyright Licensing Limited for the period of the 2018 Quality Evaluation. Participating TEOs also have similar copyright agreements in place.

Conflicts of interest

All Panel Members will be required to declare any conflicts of interest and to comply with the directions of the relevant Panel Chair in managing these conflicts in accordance with the TEC's [policy](#). While the nomination form calls for nominees to set out any significant conflicts of interest, once appointed Panel Members will be asked to make a declaration of all actual or potential conflicts of interest. Any changes to conflicts of interest must be updated should they occur.

Confidentiality of information

By accepting the appointment, Panel Members agree to comply with the TEC's [Confidentiality of Information Policy](#). The policy sets out the obligations in respect of information that they may receive in their capacity as a Panel Member.

Public comment

You may not make statements to the media or any other third party about the work of the panel or the PBRF 2018 Quality Evaluation process, without the prior consent of the TEC.

Release of names

The names of all appointed Panel Members, their position/current employer, and subject area expertise will be made public by the TEC.

Appendix 4: Conflict of interest policy

Definition

In the PBRF Quality Evaluation process, individuals are appointed as peer review panellists in their own right, for their specific skills and expertise in both research and the assessment of research.

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

While the conflict of interest itself is unlikely to be improper, it could lead to improper conduct or allegations of such conduct if not declared.

Note: In this context the term 'panellists' should be read to include panel Chairs, panel members, the TEC Secretariat, and other staff involved in the TEC processes.

Principles

The TEC's policy on conflict of interest is guided by the following principles:

- all conflicts of interest must be declared and recorded;
- a conflict of interest can be declared at any time during the process but must be done as soon as practicable;
- the panel Chair has discretion to take decisions on the action required in any situation;
- the action required depends on the nature of the conflict;
- all actions on declared conflicts will be recorded; and
- individual panellists can exclude themselves from panel discussions even if this is not required by the policy.

The policy is also guided by the fact that the Quality Evaluation process, through the use of panel pairs and wider panel assessment, ensures that no single panellist is responsible for the decision on the final Quality Category given to an EP.

Identifying a conflict of interest

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

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

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

Examples of possible conflicts of interest

Examples of possible conflicts of interest can include, *but are not limited to*:

- assessment of one's own Evidence Portfolio (EP);
- assessment of the EP of:
 - a family member/partner or close personal friend;
 - a current colleague within the same small academic unit or research team;
 - a close colleague or someone reporting directly to the panellist or to whom the panellist currently reports;
 - a colleague with whom the panellist has, or has had at any time in the assessment period, a research collaboration and/or direct teaching collaboration; or
 - an academic who is undertaking Doctoral work under the supervision of the panellist;
- assessment of an EP where the panellist may receive a personal financial benefit from a high Quality Category; or
- any situation where the panellist considers they might not provide an objective review of another researcher's EP because of a direct, indirect, potential or perceived conflict of interest, or where a reasonable observer would consider the panellist to be conflicted.

Conflict at institutional level

The following activities can be perceived as representing a conflict of interest for panellists:

- involvement in the internal assessment process the TEOs use to determine which EPs to submit to the TEC; and
- the provision by panellists of either general or specific advice or guidance on the preparation of EPs within their TEO.

The provision by panellists of general information and guidance about the assessment process within or outside their employing TEOs is not considered a conflict of interest by the TEC; however to ensure that the peer review process is perceived as fair, impartial and effective the TEC has determined the following principles generally apply to panellists:

- If the panellist is involved in the internal assessment of their TEO's EPs, or they have provided specific advice or guidance on individual EPs at their TEO while serving on a panel, they cannot assess EPs from their TEO at the individual assessment stage and can only contribute to panel discussions at the request of the Chair.
- If the panellist has no involvement in the internal assessment of their TEO's EPs, they have not provided specific advice or guidance on individual EPs at their TEO while serving on a panel and they have no other conflict of interest, they cannot be a Lead assessor for EPs from their TEO but they may be assigned as a second assessor.

When to declare a conflict of interest

A panellist may declare a conflict of interest at any time during the Quality Evaluation process. Conflicts must be declared as soon as practicable after the person concerned realises that a conflict exists however, the TEC would expect any new known or potential conflicts to be declared at the following points in the Quality Evaluation process:

- when first appointed;
- on assignment of EPs;
- at the beginning of peer review panel meetings; and
- when discussing an individual EP at the panel meeting.

Responsibilities

All interests must be recorded within the PBRF IT system, which will create an Interests Register.

All panellists are responsible for registering interests and undertaking any action required by the panel Chair.

The TEC's Secretariat is responsible for registering any interests submitted by TEOs, recording any action(s) that may be required, and monitoring the Interests Register.

The Chair of each panel, on the advice of the TEC Secretariat, is responsible for deciding whether a conflict of interest exists in any instance.

The Chair of each panel is also responsible for ensuring that:

- all conflicts and any action(s) that may be required have been recorded in the Interests Register;
- appropriate action(s) is taken in respect of the conflict of interest during assignment, assessment and/or panel meetings; and
- the action(s) taken with respect to declared conflicts as part of the panel meeting process is recorded in the panel meeting minutes.

The Principal Moderator is responsible for considering conflicts of interest for Chairs and determining the appropriate action to be taken.

The TEC is responsible for undertaking an independent review of the Interests Register and the actions taken.

Actions to take

The nature of any action(s) to be undertaken by a panellist will depend on the extent of the conflict of interest. Most potential conflicts will be managed at the assignment stage of the assessment process, with conflicted panellists not being assigned individual EPs.

Actions may include, but are not limited to, one or more of the following:

- not receiving or being able to access an individual or group of EPs.
- having no involvement in the EP assessment at any stage and leaving the room when the EP is being discussed and decisions made at the panel meeting.
- having no involvement in the EP assessment at the individual assessment stage but remaining in the room when the EP is being discussed by the panel at the panel

meeting, and participating in the discussion and/or decision-making if asked by the panel Chair.

- possible involvement in the EP assessment at the individual assessment stage (although not as the Lead assessor) and full participation in the discussion and decision-making on the EP.

The TEC may determine that a panellist's conflicts of interest are at a level that they may impact on the operation of a fair, impartial and effective evaluation process. In such a situation, the TEC reserves the right to stand-down a panellist.

Chair conflicts

Where the Chair has a conflict of interest, this must be declared to the Principal Moderator and the TEC's Secretariat assigned to that panel. The decision on what action, if any, should be taken will rest with the Principal Moderator.

In these circumstances, the Principal Moderator may ask the deputy Chair to act as Chair for the period if it is decided that the Chair is unable to participate. If this is not appropriate, the Principal Moderator will ask another panellist to act as Chair for the period the Chair is unable to participate.

The TEC's Secretariat will be responsible for recording any action(s) undertaken in the panel meeting minutes.

Appendix 5: Confidentiality of Information policy

As a participant in the PBRF 2018 Quality Evaluation assessment process, you will receive information and be a party to discussions and decisions that may be confidential. You are responsible for taking all reasonable steps to maintain the security of the information provided to you and maintaining this confidentiality during your involvement and after it has ended.

Information

Electronic Information

You must retain any electronic information in a secure manner.

You must not treat electronic information in such a way that it could be accessed by others with or without your knowledge.

Storage and destruction of physical information

You are permitted to obtain and retain physical copies of Tertiary Education Commission (TEC) information (or supporting information) provided for meetings. You must keep these papers secure at all times to avoid the accidental disclosure to a third person. You are not permitted to make additional copies of this information unless expressly authorised by the TEC.

You may elect to return any or all physical copies of information you hold to the TEC for disposal at any time during your tenure as a participant in the PBRF 2018 Quality Evaluation assessment process.

At the end of your tenure you must return to the TEC all physical copies of information you hold that has not been publicly released.

No other uses

You are not permitted to use electronic or physical information for any purpose other than that for which it was provided.

Official Information Act 1982 and Privacy Act 1993

Information received by the TEC will be official information in terms of the Official Information Act (OIA), and may be personal information under the Privacy Act, so may be requested by various parties. The TEC will be responsible for dealing with any requests made under the OIA or the Privacy Act.

For the purposes of section 27(1)(c) of the OIA and section 29(1)(b) of the Privacy Act, this paragraph constitutes a promise that the TEC will keep confidential at all times your notes relating to your assessment of the EPs. However, you acknowledge that if the TEC receives a request for such notes under the OIA or the Privacy Act, the TEC may be under a legal obligation to release such information and such release will not amount to a breach of the terms of this letter by the TEC.

Confidential information

Confidential information includes, but is not limited to, EPs, associated evidence of nominated research outputs, and the assessment information related to EPs.

Treatment of confidential information

You must not circulate or communicate confidential information provided to you by the TEC, whether in hard copy or by electronic means, to another person for any reason.

Physical copies of any electronic confidential information can be made for the purpose of assessment only. You must keep these papers secure at all times to avoid the accidental disclosure to a third person.

You must not treat confidential information in such a way that it could be accessed by others with or without your knowledge.

At the end of your tenure as a participant in the PBRF 2018 Quality Evaluation assessment process you must:

- return to the TEC for disposal, or securely dispose of, any or all physical copies of confidential information you hold; and
- delete any or all electronic copies of confidential information you hold.

No other uses

You are not permitted to use confidential information for any purpose other than that for which it was received.

PBRF meeting discussions

Discussions and communications

You must treat as confidential all discussions and communications between fellow participants (Moderators, panel Chairs, panel members), the TEC Secretariat and other TEC employees.

Outcomes

You must treat as confidential any decisions made by PBRF peer review panels into perpetuity.

Appendix 6: Guidance to Panel Chairs

Summary of criteria, methodology and targets

Panel Selection Criteria	Methodology	Target
An appropriate mix of new and previous panel members	The proportion of Panel Members for the 2012 Quality Evaluation who were appointed for the first time was 63%. The target for the 2018 Quality Evaluation is an approximation of that proportion.	<i>New Panel Members target: 60%</i>
Gender representation	<p>The proportion of female Panel Members for the 2012 Quality Evaluation was 30%, which is lower than the share of EPs submitted on behalf of female researchers (41%). The target proportion aims to ensure that the membership of the Peer Review Panels is more reflective of the overall academic workforce.</p> <p>Individual targets have been developed for each Peer Review Panel based on the proportion of EPs submitted by female researchers to the relevant panel.</p>	<p><i>Female Panel Members target: 40%</i></p> <p>General Guidance for Panel Chairs: The overall target of 40% should be viewed as a minimum level of representation for those Panels that had more than 40% of EPs submitted on behalf of female researchers. For Panels where fewer than 40% of EPs are submitted by female researchers, 40% should be considered an aspirational target, and the individual panel target seen as a minimum level of representation.</p> <p>See below for specific guidance and targets for each Panel.</p>
International representation of at least 25%	The proportion of international Panel Members for the 2012 Quality Evaluation was 19%. International Panel Members are expected to make up 25% of all Panel Members for the 2018 Quality Evaluation.	<i>International Panel Members target: 25%</i>

Panel Selection Criteria	Methodology	Target
Representation from across different tertiary education sectors and other research organisations.	The proportion of EPs that were submitted by TEOs other than universities has been used as a proxy for this guidance.	<p>General Guidance for Panel Chairs: Panel Chairs should have regard to the expertise within New Zealand among people who are employed by non-university TEOs. Panel Chairs should also have regard to the distribution of measured research quality in the tertiary system and refer to the report of the 2012 Quality Evaluation for guidance.</p> <p>See below for specific guidance and targets for each Panel.</p>
Panel members who have the ability to represent the interests of applied/practice-based researchers	The share of EPs referred to the Professional and Applied Research Expert Advisory Groups has been used as a proxy for this guidance.	<p>General Guidance for Panel Chairs: Panel Chairs should seek as far as practicable to include Panel Members who have a familiarity with and understanding of professional and applied research to a level that they are able to give appropriate consideration to the significance, quality and impact of the research. Panel Chairs should note that the appointment of such researchers is strongly recommended.</p> <p>Consideration should also be given to the appointment of individuals working in industry, and non-university research organisations including Crown Research Institutes.</p> <p>See below for specific guidance and targets for each Panel.</p>
Panel members who have the ability to represent the interests of early career researchers	The proportion of early career researchers uses the proportion of new and emerging	<p>General Guidance for Panel Chairs: Panel Chairs should note that EPs submitted on behalf of new</p>

Panel Selection Criteria	Methodology	Target
	<p>researchers as a proxy. The proportion of EPs submitted by new and emerging researchers for the 2012 Quality Evaluation was 18%.</p>	<p>and emerging researchers made up around one-fifth of all EPs submitted. Panel Chairs should take care to appoint Panel Members who can give a fair assessment of the research performance by early career researchers and have experience supporting the development of early career researchers.</p>
<p>Panel members who have the ability to represent the interests of inter-disciplinary researchers (1)</p>	<p>Most interdisciplinary research is likely to be able to be assessed within the subject areas covered by a particular Peer Review Panel.</p> <p>The extent to which EPs were cross-referred to other Peer Review Panels provides an indication of the need for wider expertise whether within a particular panel or across all panels.</p>	<p>General Guidance for Panel Chairs: Panel Chairs should carefully review the Peer Review Panel reports for the 2012 Quality Evaluation to identify patterns of referral. These patterns will assist Panel Chairs in identifying areas of particular demand for advice and input from other areas.</p> <p>Panel Chairs should discuss with each other the range of expertise required across the panels and agree how best to meet these needs through the appointment of Panel Members.</p>
<p>Panel members who have the ability to represent the interests of inter-disciplinary researchers (2)</p>	<p>The proportion of EPs referred to specialist advisors and the reports of the Peer Review Panels have been used to develop this guidance.</p>	<p>General Guidance for Panel Chairs: Panel Chairs should seek as far as practicable to ensure Panel Members are able to assess the widest range of topics and research areas covered by the subject areas for each Peer Review Panel.</p>
<p>Panel members who have the ability to represent the interests of Māori researchers</p>	<p>The proportion of EPs that were cross-referred to the Māori Knowledge and Development Panel has been used as a proxy for the need on each Peer Review Panel for researchers with a familiarity with and understanding of</p>	<p>General Guidance to Panel Chairs: All Panel Chairs should seek as far as practicable to include Panel Members who have a familiarity with and understanding of Māori research methodologies and research relevant to Te Ao Māori. The potential to</p>

Panel Selection Criteria	Methodology	Target
	<p>Māori research methodologies and research relevant to Te Ao Māori.</p> <p>The proportion of EPs cross-referred to the Māori Knowledge and Development Panel for the 2012 Quality Evaluation was 2%, with a range between 0% and 5% across the Peer Review Panels.</p>	<p>refer EPs to the Māori Knowledge and Development Panel should not be a substitute for representation of such researchers on Peer Review Panels.</p> <p>See below for guidance for specific panels.</p>
<p>Panel members who have the ability to represent the interests of Pasifika researchers</p>	<p>The proportion of EPs that were referred to the Pacific Research Expert Advisory Group has been used as a proxy for the need on each Peer Review Panel for researchers with a familiarity with and understanding of Pacific research methodologies and research relevant to Pacific peoples.</p> <p>The proportion of EPs referred to the Pacific Research Expert Advisory Group for the 2012 Quality Evaluation was 2%, with a range between 0% and 5% across the Peer Review Panels.</p>	<p>General Guidance for Panel Chairs: Panel Chairs should seek as far as practicable to include Panel Members who have a familiarity with and understanding of Pasifika research methodologies and Pacific Peoples. The potential to refer EPs to the Pacific Research Panel should not be a substitute for representation of such researchers on Peer Review Panels.</p> <p>See below for guidance for specific panels.</p>

Additional factors considered in the methodology

Other factors	Methodology	Target
<p>Number of EPs expected to be submitted</p>	<p>The model assumes that there will be:</p> <ul style="list-style-type: none"> • 8,000 EPs submitted by participating TEOs as part of the 2018 Quality Evaluation. • A similar distribution of EPs by subject area as applied in the 2012 Quality Evaluation; • 120 EPs submitted to the Pacific Research Panel; • At least two Panel Members in any given subject area; and • Approximately 35 EPs submitted per Panel Member is a reasonable 'load'. <p>The number of Panel Members for each panel was then calculated by dividing the number of EPs per panel by the maximum reasonable 'load'. Exceptions were applied to the Māori Knowledge and Development Panel, and the Pacific Research Panel. For these panels, a minimum number of 11 Panel Members was applied.</p>	<p><i>Targets have been developed for the overall number of Panel Members per Panel, and guidance developed in relation to the number of Panel Members per subject area.</i></p> <p>General Guidance for Panel Chairs: Panel Chairs should consider the overall profile of Panel Members by subject area taking into account the other targets and guidance provided by the TEC.</p> <p><i>TEOs will provide estimates of EPs to be submitted by panel and subject area in February 2018. The total number of EPs expected to be submitted and the distribution of these EPs to panels will be updated based on this information. Panel sizes will also be confirmed at this stage.</i></p>

Panel guidance

The General Guidance for Panel Chairs provided in the preceding table should inform the selection of Panel Members. Additional advice specific to particular Panels is presented below.

Biological Sciences

Representing the interests of applied/practice-based researchers: A significant number of EPs were referred to the Professional and Applied Research Expert Advisory Groups, particularly in Agriculture and other Applied Biological Sciences. Consideration should be given to the appointment of one or more Panel Members with expertise relevant to environmental and commercial applications and impact of research in the subject areas covered by the Panel.

Creative and Performing Arts

Representing the interests of Māori researchers: A small number of EPs in the subject area of visual arts and crafts were cross-referred to the Māori Knowledge and Development Panel. Consideration should be given to the appointment of one or more Panel Members with Kaupapa Māori expertise.

Representing the interests of inter-disciplinary researchers: A small number of EPs in the subject areas of music, literary arts and other arts, and theatre and dance, film, television and multimedia were referred to specialist advisors in 2012. Consideration should be given when appointing Panel Members to ensure that the widest range of expertise is available to the Panel.

Education

Representing the interests of Māori researchers: A modest number of EPs were cross-referred to the Māori Knowledge and Development Panel. Consideration should be given to the appointment of one or more Panel Members with Kaupapa Māori expertise.

Representing the interests of Pacific researchers: A modest number of EPs were referred to the Pacific Research Expert Advisory Group. Consideration should be given to the appointment of one or more Panel Members to the Education Panel with Pasifika research expertise.

Representing the interests of inter-disciplinary researchers: The Panel Report for the 2012 Quality Evaluation noted the value of specialist advisor input in the area of foreign languages and linguistics, particularly in relation to the teaching of English as a Second Language. See related advice for the Humanities and Law Panel.

Engineering Technology and Architecture

Representing the interests of applied/practice-based researchers: A significant number of EPs were referred to the Professional and Applied Research Expert Advisory Groups, in both subject areas covered by the panel. Consideration should be given to the appointment of one or more Panel Members with expertise relevant to environmental, commercial and professional practice applications and impact of research in the subject areas covered by the Panel.

Humanities and Law

Representing the interests of Māori researchers: A small number of EPs in the subject area of law were cross-referred to the Māori Knowledge and Development Panel. Consideration

should be given to the appointment of one or more Panel Members with Kaupapa Māori expertise.

Representing the interests of Pacific researchers: A small number of EPs in the subject areas of foreign language and linguistics and history, history of art, classics and curatorial studies were referred to the Pacific Research Expert Advisory Group. Consideration should be given to the appointment of one or more Panel Members to the Humanities and Law panel with Pasifika research expertise.

Representing the interests of inter-disciplinary researchers: The Panel Report for the 2012 Quality Evaluation noted an overlap with the Education Panel in relation to the need for expertise in foreign language and linguistics, particularly in relation to the teaching of English as a Second Language. The Panel Chairs for Education and Humanities and Law should discuss how best to optimise the composition of panels to meet this need.

The subject area of foreign language and linguistics required the assessment of EPs with research outputs in a wide range of languages including Korean, Italian, Japanese, Russian and Spanish. Care will need to be taken to ensure that the panel has access to a suitably wide range of expertise in foreign languages and linguistics.

Medicine and Public Health:

Representing the interests of Māori researchers: A small number of EPs in the subject area of public health were cross-referred to the Māori Knowledge and Development Panel. Consideration should be given to the appointment of one or more Panel Members with Kaupapa Māori expertise.

Representing the interests of Pacific researchers: A modest number of EPs in the subject area of public health were referred to the Pacific Research Expert Advisory Group. Consideration should be given to the appointment of one or more Panel Members to the Medicine and Public Health panel with Pasifika research expertise.

Pacific Research Panel

Panel composition: The largest number of referrals to the Pacific Research Expert Advisory Group as part of the 2012 Quality Evaluation were from the subject areas of: Education; Public Health; and Anthropology and Archaeology. There is likely to be a need for expertise in the subject areas covered by the Peer Review Panels of: Medicine and Public Health; Humanities and Law; and Business and Economics.

Social Sciences and Other Cultural/Social Sciences:

Representing the interests of Māori researchers: A small number of EPs in the subject area of psychology were cross-referred to the Māori Knowledge and Development Panel. Consideration should be given to the appointment of one or more Panel Members with Kaupapa Māori expertise.

Representing the interests of Pacific researchers: A modest number of EPs in the subject area of anthropology and archaeology, and a small number in each of human geography and sociology, social policy, social work, criminology and gender studies were referred to the Pacific Research Expert Advisory Group. Consideration should be given to the appointment of one or more Panel Members to the Social Sciences and Other Cultural/Social Sciences panel with Pasifika research expertise.

Potential number of Panel members by subject area

Panel	Subject Area	Recommended number of Panel Members
Biological Sciences	Agriculture and other applied biological sciences	5
	Ecology, evolution and behaviour	8
	Molecular, cellular and whole organism biology	11
Business and Economics	Accounting and finance	6
	Economics	5
	Management, human resources, industrial relations, international business and other business	8
	Marketing and tourism	5
Creative and Performing Arts	Design	3
	Music, literary arts and other arts	4
	Theatre and dance, film and television and multimedia	2
	Visual arts and crafts	6
Education	Education	21
Engineering, Technology and Architecture	Architecture, design, planning, surveying	5
	Engineering and technology	14
Health	Dentistry	2
	Nursing	3
	Other health studies (including rehabilitation therapies)	4

Panel	Subject Area	Recommended number of Panel Members
	Pharmacy	2
	Sport and exercise science	2
	Veterinary studies and large animal science	2
Humanities and Law	English language and literature	2
	Foreign languages and linguistics	5
	History, history of art, classics and curatorial studies	5
	Law	6
	Philosophy	2
	Religious studies and theology	2
Māori Knowledge and Development	Māori knowledge and development	11
Mathematical and Information Sciences and Technology	Computer science, information technology, information sciences	10
	Pure and applied mathematics	4
	Statistics	2
Medicine and Public Health	Biomedical	10
	Clinical medicine	8
	Public health	9
Pacific Research	Pacific research	11
Physical Sciences	Chemistry	6

Panel	Subject Area	Recommended number of Panel Members
	Earth sciences	5
	Physics	3
Social Sciences and Other Cultural/ Social Studies	Anthropology and archaeology	3
	Communications, journalism and media studies	3
	Human geography	2
	Political science, international relations and public policy	3
	Psychology	7
	Sociology, social policy, social work, criminology and gender studies	6

Targets for panel composition

Dimension	Target	BIOS	BEC	CPA	EDU	ETA	HEALTH	HAL	MEDPH	MIST	MKD	PAC	PHYS	SSOCSS
Estimated number of EPs (2018) ²	8000	838	850	520	730	655	534	761	939	558	156	120	490	849
Number of Panel Members		24	24	15	21	19	15	22	27	16	11	11	14	24
New Panel Members														
Target:	60%	14	15	9	13	11	9	13	16	10	7	7	8	15
Female Panel Members														
Target (each panel):	40%	33%	35%	42%	68%	19%	59%	41%	44%	20%	55%	54%	22%	51%
Target (Panel Members)		8	9	6	14	4	9	9	12	3	6	6	3	12
International Panel Members														
Target:	25%	6	6	4	5	5	4	5	7	4	3	3	3	6
New and emerging researchers														
Information for Chairs	18%	23%	16%	19%	10%	21%	24%	13%	23%	15%	18%	15%	20%	19%
Māori research methodologies and topics														
Advice to Chairs			Y	Y			Y	Y					Y	

² TEOs will provide estimates of EPs to be submitted by panel and subject area in February 2018. The total number of EPs expected to be submitted and the distribution of these EPs to panels will be updated based on this information. Panel sizes will also be confirmed at this stage.

Dimension	Target	BIOS	BEC	CPA	EDU	ETA	HEALTH	HAL	MEDPH	MIST	MKD	PAC	PHYS	SSOCSS
Pacific research methodologies and topics														
Advice to Chairs				Y			Y	Y					Y	
Non-University TEOs														
Target (each panel):	9%	3%	7%	38%	16%	9%	14%	6%	1%	9%	17%	11%	1%	6%
Target (Panel Members)		1	2	6	3	2	2	1	0	1	2	1	0	1
Requirement for expertise in professional and applied research														
Advice to Chairs		Y					Y							
Implications of the use of specialist advisors														
Advice to Chairs			Y	Y			Y							
Implications of the use of cross-referrals														
Advice to Chairs		Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

Appendix 7: Appointment of Panel Chairs and Deputy Chairs

How are Panel Chairs appointed?

All nominations for Panel Chairs will be considered against the relevant selection criteria (see Appendix 2) by the three Moderators for the 2018 Quality Evaluation.³ Additional advice may also be sought from appropriate external experts, including but not limited to previous Principal Moderators, Deputy Moderators, and the Sector Reference Group Chair and/or members.

The Moderators will make appointment recommendations to the TEC based on the nominations; however the TEC retains the right to supplement nominations through identifying individuals directly, particularly where gaps are identified or specific skills are needed.

Panel Chairs will be appointed by the TEC, with nominees advised by 16 October 2015 and appointments announced by 6 November 2015.

Selection criteria for Panel Chairs

The following criteria will be applied when considering suitable candidates for the role of a panel Chair.

The preferred attributes and qualities of a panel Chair are that they will:

- have proven chairing skills, especially previous experience in chairing assessment panels⁴;
- be considered a highly esteemed researcher;
- have limited conflicts of interest; and
- be from a different subject area and/or TEO to the previous Chair (where feasible).

It will also be desirable for them to have been a previous New Zealand-based panel member.

Attention will be paid to ensuring an appropriate balance in terms of institutional affiliation, gender and ethnicity.

Suitable candidates for the role of Deputy Chair will also be considered against the criteria above.

³ Professor Paula Jameson (Principal Moderator), Distinguished Professor Marston Conder and Professor Helen May (Deputy Moderators).

⁴ This refers to any form of relevant assessment panel, not only the PBRF Quality Evaluation panels.

Responsibilities of a Panel Chair

The responsibilities of a peer review panel Chair, when acting as Chair, are to:

- identify an appropriate panel using the guidelines and procedures established by the TEC giving due regard to the advice of the TEC and the moderators;
- assist with revising and updating panel-specific guidelines;
- ensure the panel operates within the policies, guidelines and procedures established by the TEC;
- assign each EP to two panel members for pre-meeting assessment and determine which of these panel members will be the lead for that EP;
- if necessary, decide whether an EP requires additional input from another peer review panel;
- advise and mentor panel members, as required, on the assessment criteria and processes;
- chair meetings of the panel to review and calibrate the scores and to assign EPs to Quality Categories;
- ensure panel decisions are documented and that critical issues necessary for a fair review are appropriately addressed;
- ensure that the panel completes its preparation and evaluation work to agreed timeframes;
- ensure that all panel members have an opportunity to contribute to the process and participate fully in the panel's activities;
- take due regard of the decisions of the moderators and the Moderation Panel; and
- report to the TEC Board at the end of the Quality Evaluation.

Responsibilities of a Deputy Chair

The responsibilities of a peer review panel Deputy Chair are to:

- support the Chair in their duties as required; including but not limited to chairing the meeting of the panel in instances where the chair may have a conflict of interest;
- revise and update panel-specific guidelines;
- understand the principles, guidelines and procedures of the PBRF Quality Evaluation;

- assess EPs assigned to them by the panel Chair, primarily by assigning preparatory and preliminary scores as required;
- understand the broad criteria under which the evaluations are to be made, and apply these objectively to the work of the panel;
- be diligent in their preparation for meetings and in completing tasks allocated to them by the panel Chair (e.g. undertaking initial assessment of EPs allocated to them in a timely manner);
- contribute fully, constructively and dispassionately to all panel processes and take collective ownership for the panel decisions;
- maintain confidentiality of both the deliberations and decisions of the panel;
- exercise due skill and care in the performance of their responsibilities; and
- identify instances where they may have a conflict of interest and raise this with the panel Chair prior to the conflict affecting the assessment process.