



Tertiary Education Commission
Te Amorangi Mātauranga Matua

Performance-Based Research Fund

2006 Quality Evaluation

**Report of the
Sector Reference Group**

June 2005

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This report should be read in association with its companion report, the Response of the Steering Group, which is available in PDF format at www.tec.govt.nz/pbrf or from orders@tec.govt.nz

Preface

In 2003 the Tertiary Education Commission (TEC) implemented the first Quality Evaluation as part of the new Performance Based Research Fund (PBRF) for the New Zealand tertiary education sector.

Following the completion of the Quality Evaluation, the TEC received a number of reports as part of the process of review and quality assessment. These included a report from the Office of the Auditor General, the reports of the various subject panels, the Moderation Panel report, and the independent report commissioned by the TEC from WEB Research Ltd. While all these reports found the assessment process was basically robust and fair, they all indicated areas where changes might be made in future evaluations to further enhance the process.

During 2004, the TEC began a review of all aspects of the PBRF leading up to the 2006 Quality Evaluation. As part of that exercise, the Sector Reference Group (SRG) was established to oversee the review process. The SRG was asked to analyse the PBRF, taking into account the prior reports, to identify problems and to suggest improvements. As part of that process the SRG was required to consult with, and seek feedback from, the tertiary education sector.

Following that process a series of recommendations have been prepared for the PBRF Steering Group. This report presents those recommendations, along with a brief summary of relevant issues. In presenting those issues the report condenses a large number of discussion papers prepared as part of the consultation process.

The SRG comprised a diverse group of individuals, each with considerable experience of tertiary education issues, and, in particular, the processes and impact of the PBRF. In their work the group were supported by key TEC staff from the Research and Capability Funds team. Those TEC staff prepared a series of issues papers for consideration by the SRG, each evolving through the work of the group, into a consultation paper for release to the sector, as part of the feedback process. These consultation papers (see Chapter 2) covered every possible aspect of the PBRF, starting with the critically important matter of the unit of assessment.

Within the SRG, a subcommittee carried out a careful analysis of feedback received from the sector. Through a successive cycle of consultation paper, feedback analysis, and subsequent discussion, the SRG formulated a series of recommendations concerning the redesign. In this report, each issue is summarized in turn, generally through sections labelled “Background, Issues, Options Considered, Sector feedback, Conclusions and Recommendations”.

In carrying out their work, SRG members were acutely aware of the need to balance the conflicting requirements of trying to achieve maximum consistency with the prior 2003 process and our desire to modify aspects of the PBRF where issues were apparent. A key issue, of course, concerned the use of the individual as the unit of assessment, a rather unusual aspect of the New Zealand research quality assessment, and one that has caused some

controversy. As will be seen in the report, we have advocated retaining this unit, not because it is, in our view, necessarily an ideal approach, but because we believed that we would do better to maintain consistency with the first round, and to work to deal with issues that became apparent in that round. We would then recommend the TEC undertake a comprehensive review following the 2006 Quality Evaluation, to explore the medium-term impact of the PBRF. A number of other issues have been viewed in a similar manner. The desire to maintain consistency has been a priority for us but we have made clear where we believe future analysis and review will be required.

In most of our recommendations, a unanimous view prevailed. Where opinions differed, we also report the minority position. On some matters the SRG were clearly divided, most markedly so on the matter of the use of PBRF data by tertiary education institutions (TEOs). While some members of the SRG emphasized the value to TEOs of individual grades and component scores, others felt that the potential (and indeed, demonstrated capacity) for misuse was so great that only aggregate subject and academic unit data should be provided. This issue encapsulated for us the tension that resulted from our desire to maximize benefit to the tertiary sector and at the same time our desire to build the greatest confidence in the Quality Evaluation process on the part of the New Zealand academic community.

The PBRF has, so far, been broadly supported by that academic community, despite the personal and institutional effort required. We believe that this support has been given willingly because of a general desire to improve the quality of research-led education in the tertiary sector. We in New Zealand have been prepared to take on a degree of rigour and personal impact unmatched in any comparable exercise elsewhere in the world.

A critical factor in maintaining this support will be a recognition by the government that any increase in research quality in the tertiary sector be reflected in appropriate increases in overall PBRF funding, in real terms. Without question, this recommendation expressed at the end of Chapter 6 is our most important. If New Zealand can achieve this goal then we will present to the world a model partnership in connecting funding to performance in tertiary education.

I would like to express my thanks to the many individuals, institutions and organisations that have provided feedback during the review process. I am grateful to all members of the Sector Reference Group, and especially to those members of the Group, led by Val Lindsay, who have analysed the sector responses. Finally, I would like to acknowledge the exceptional work of the TEC staff, led by Jonathan Boston, Brenden Mischewski, Shelley Robertson and Margaret Wagstaffe, who have thoroughly briefed the SRG, prepared the issues and consultation papers and written the summary documents, always with clarity and intelligence.

Paul Callaghan
Chair, SRG.

Executive Summary

1. The PBRF is a key initiative of the Government under the Tertiary Education Strategy (TES), and involves funding to Tertiary Education Organisations (TEOs) based on their research performance as determined by three performance measures:
 - Research Quality
 - Research Degree Completions (RDC), and
 - External Research Income (ERI).
2. Under the new policy framework, research quality is measured through periodic Quality Evaluations during which the Evidence Portfolios (EPs) of PBRF-eligible staff are independently assessed by peer review panels, resulting in the assignment of individual quality categories (A, B, C and R). The aggregated results are publicly reported. This includes the provision of quality scores (out of 10) and the distribution of quality categories for TEOs, subject areas and nominated academic units. The results of the periodic Quality Evaluation, together with the results of the RDC and ERI measures, provide the basis for funding allocations to participating TEOs.
3. The first Quality Evaluation was designed and completed during 2003, with the results published in April 2004. A subsequent complaints process was conducted during May-June 2004, with results provided to complainants in early July. An independent evaluation of the 2003 PBRF was commissioned by the TEC and the Ministry of Education to assess the effectiveness of the process and to make recommendations for improvements to subsequent Quality Evaluation rounds. The WEB Research Evaluation Report was released in August 2004.
4. In addition, participants provided informal feedback on the guidelines and process for collection of ERI and RDC information that suggest refinements are required.
5. The Evaluation Report, feedback received from TEOs, and the TEC's own experience of the PBRF process since late 2002 identified a number of issues that needed to be addressed in time for the 2006 Quality Evaluation. The process undertaken to effect the redesign of the assessment process, and other aspects of the PBRF, reflected the high level of sector consultation needed, and considerable preparation required to meet the proposed 2006 timelines.

6. A Sector Reference Group (SRG) was established by the TEC to facilitate the redesign process.¹ The SRG was responsible for overseeing the review process and prioritising the redesign work programme; its work involved proposing and analysing options; consulting with, and seeking feedback from, the tertiary education sector; and making recommendations to the PBRF Steering Group.
7. This report presents the recommendations of the SRG relating to the redesign of the PBRF in preparation for the 2006 Quality Evaluation. It must be emphasised that there has been wide consultation with the tertiary education sector during the redesign phase, and this will continue during the ongoing evaluation of the PBRF.

Key themes

Unit of assessment

8. The SRG has recommended that no change be made to the current unit of assessment, particularly in light of the decision to conduct a 'partial' round in 2006 (discussed below). However, the SRG also recommended that a review of the unit of assessment be undertaken in preparation for the third Quality Evaluation.

Quality Categories

9. The SRG has recommended that the current Quality Categories be retained and that two additional Quality Categories be established to provide for specific recognition of 'new and emerging' researchers, "C(NE)" and "R(NE)".

Moderation issues

10. As previously announced, the SRG has recommended, and the TEC has agreed, that three moderators be appointed to oversee the moderation of the 2006 Quality Evaluation. This change is designed to spread the burden of the role. The SRG has also recommended that the moderators make any changes necessary to enhance the degree of consistency of assessment standards on an intra- and inter-panel basis. Moderators will also be expected to make use of a wider range of moderation techniques and data, and ensure that at least one moderator is present whenever a panel assesses the EPs of any of its members.

¹ The terms of reference and membership of the SRG are set out in Appendix 1.

Panels and subject areas

11. As previously announced, the SRG has recommended, and the TEC has agreed, that there be no change to the panels and subject areas for the 2006 Quality Evaluation. The SRG has recommended that there be an appropriate balance of subject-area expertise, an increase in the number of overseas-based experts to 25% and an appropriate balance of people with knowledge of applied and practice-based research as well as basic, fundamental and strategic research.

'Partial' Round

12. As previously announced, the SRG has recommended, and the TEC has agreed, that the 2006 Quality Evaluation will be conducted on a 'partial' basis. This decision means that, for many PBRF-eligible staff, the preparation and submission of EPs to the TEC will not be necessary. In addition, TEOs will not be required to undertake a full internal assessment of the EPs of their PBRF-eligible staff. These decisions are expected to have considerable benefits for the sector in terms of reducing the compliance costs associated with the PBRF.

'New and emerging' researchers

13. The SRG has recommended that provision be made for specific recognition of 'new and emerging' researchers as part of the 2006 Quality Evaluation. This recommendation reflects sector feedback that strongly favoured such a provision. The SRG has recommended that distinct eligibility criteria be established for both 'new' and 'emerging' researchers to recognise the unique characteristics of both groups. The SRG has also recommended that funding be associated with the new Quality Category "C(NE)". A specific pathway for eligible staff to obtain the relevant funded Quality Category has also been recommended.

TEO Participation

14. The SRG concluded that the participation criteria for TEOs should be clarified. This clarification addresses the partial participation of some TEOs in the PBRF, specifically the proxy measures of research quality (ie RDC and ERI). The SRG has recommended that TEOs that choose to participate in the PBRF must participate in all three measures.

Staff Eligibility

15. The SRG was particularly conscious of the need to ensure that the staff eligibility criteria are simple to understand and apply, and appropriately capture staff making a significant contribution to research and/or degree-level teaching in New Zealand. The SRG has recommended a clarification of the substantiveness test, and specific provision for the inclusion of staff based overseas and those sub-contracted to a TEO by a non-TEO.

Practice-based research

16. The SRG was particularly conscious of concerns about the way in which the definition of research and panel-specific guidelines impacted on the assessment of practice-based research. To that end, a number of recommendations have been made in relation to the definition of research, the assessment framework and panel-specific guidelines that seek to address some of these concerns. The SRG has recommended that changes be made to the definition of research to clarify what constitutes research in the performing arts. In addition, the SRG has recommended that panels be asked to make specific reference in panel-specific guidelines to the characteristics of excellence of applicable and practice-based research and appropriate indicators for assessing the impact of this research.

Special circumstances

17. The SRG has noted several concerns about the application of the provisions for the recognition of special circumstances. To address these concerns, the SRG has recommended that more specific information relating to applications for special circumstances be collected as part of EPs. In addition, it is recommended that panels be asked to apply the special circumstances provision to all three components of the EP. The moderators will also be asked to pay particular attention to the application of this provision.

Assessment Framework

18. The SRG has made several recommendations in relation to the assessment regime for the 2006 Quality Evaluation. The most significant of these is a greater emphasis on the holistic nature of the assessment of EPs. In addition, the SRG has recommended a specific process for dealing with the assessment of EPs that are transferred between panels. These changes are designed to ensure that such EPs are assessed fairly.

Reporting Framework

19. The SRG has sought to balance the tensions between the requirements of confidentiality and privacy and those of accountability, accuracy and transparency. The SRG has recommended that the report of the 2006 Quality Evaluation follow the precedent of the comprehensive information reported in 2003. However, the SRG also desired that the reporting framework be modified to both increase the quality of the information reported and reduce the likelihood that the results of individual staff might be inferred. To this end, the SRG recommended that quality score information only be reported on an

FTE basis and only where 5 FTE or more staff are associated with a nominated academic unit or subject area.

Funding Framework

20. The SRG was strongly of the view that there should be a relationship between the overall size of the PBRF pool and any measured improvements in research quality. The group also considered there should be a review of the PBRF subject-area weightings to ensure that these fairly reflect the costs of undertaking research. To that end, the SRG recommended that improvements in research quality as measured by the periodic Quality Evaluations be reflected in appropriate increases in the PBRF. In addition, the SRG recommended that a review be undertaken of the subject-area weightings that are applied as part of the PBRF.

Auditing Framework

21. The SRG considered that a comprehensive and robust audit of staff eligibility and nominated research outputs is critical to retaining sector confidence in the overall assessment process. To support this, the SRG has made several recommendations in relation to the nature and conduct of these audits.

Recommendations of the Sector Reference Group

General Principles

- One.** That with regard to the submission and assessment of Evidence Portfolios, and appeals relating to Quality Evaluations, all transactions should be conducted directly between the Tertiary Education Commission (TEC) and Tertiary Education Organisations (TEOs) and should not involve the individual staff of participating TEOs.

Unit of Assessment

- Two.** That the 2006 Quality Evaluation be conducted, as in 2003, using individual staff members as the unit of assessment (ie rather than departments/academic units/disciplinary grouping). (Majority view).

Note: The AUS representative opposed this recommendation.

- Three.** That the TEC undertake a comprehensive review of the unit of assessment after the 2006 round in order to ascertain the best approach to be adopted for the third Quality Evaluation, which is currently planned for 2012.

Partial Round

- Four.** That the 2006 Quality Evaluation be conducted on a 'partial' basis.

- Five.** That the 'partial' round be conducted in accordance with the principles and policies enunciated in the Consultation Paper on the Proposal for a Partial Round, but that PBRF-eligible staff members who were assessed in 2003 and who transfer to another TEO prior to the 2006 round not be required to be reassessed.

Labelling and Definitions of Quality Categories

- Six.** That the current alphabetical labelling of Quality Categories be retained for the 2006 round with the additional two new Quality Categories – "C(NE)" and "R(NE)" – but that the labelling of Quality Categories be reviewed before the next round.

Seven. That brief descriptions for the Quality Categories “A”, “B”, “C”, “C(NE)” and “R” (or “R(NE)”) be developed, in consultation with the Moderators.

Eight. That the PBRF Guidelines include the following brief descriptions of the five Quality Categories:

Quality Category “A”: To be assigned an “A” for her/his Evidence Portfolio (EP) it would normally be expected that the staff member has, during the assessment period in question, produced research outputs of a world-class standard, established a high level of peer recognition and esteem within the relevant subject area of his/her research and made a significant contribution to the New Zealand and/or international research environments.

Quality Category “B”: To be assigned a “B” for her/his EP it would normally be expected that the staff member has, during the assessment period in question, produced research outputs of a high quality, acquired recognition by peers for her/his research at least at a national level, and made a contribution to the research environment beyond her/his institution and/or a significant contribution within her/his institution.

Quality Category “C”: To be assigned a “C” for her/his EP it would normally be expected that the staff member has, during the assessment period in question, produced a reasonable quantity of quality-assured research outputs, acquired some peer recognition for her/his research and made a contribution to the research environment within her/his institution.

Quality Category “C(NE)”: To be assigned a “C(NE)” for her/his EP a new or emerging researcher would normally be expected, during the assessment period in question, to have produced a reasonable platform of research, as evidenced by having: a) completed her/his doctorate or equivalent qualification, AND b) produced at least two quality-assured research outputs; OR c) produced research outputs equivalent to a) AND b).

Quality Category “R” or “R(NE)”: An “R” (or “R(NE)”) will be assigned to an Evidence Portfolio that does not demonstrate the quality standard required for a “C” Quality Category or higher or, in the case of a new or emerging researcher, the standard required for a “C(NE)” Quality Category or higher.

Moderation Issues

- Nine.** That the TEC appoint three Moderators to oversee the moderation of the 2006 Quality Evaluation.
- Ten.** That the TEC invite the three Moderators to review the moderation processes adopted for the 2003 Quality Evaluation and make such changes as are deemed appropriate to enhance the consistency of assessment standards on an intra- and inter-panel basis.
- Eleven.** That in addition to the types of data made available to the Moderation Panel in 2003, the Moderators in 2006 be provided by the TEC with:
- a. Standard deviations from the mean for each TEO and subject area (based on preliminary, indicative and final Quality Category results and/or component scores);
 - b. Box and whisker diagrams outlining the spread of results for each TEO and subject area (ie including the median, hinges, and smallest and largest data values) (based on preliminary, indicative and final Quality Category results and/or component scores); and
 - c. Standard errors.

Panels and Subject Areas for 2006

- Twelve.** That there continue to be twelve multidisciplinary Peer Review Panels.
- Thirteen.** That the Pharmacy subject area be retained, and relevant staff be encouraged to nominate this as their subject area.
- Fourteen.** That there be no division of the Education subject area into two or more subject areas.
- Fifteen.** That there be no single subject area for Geography.
- Sixteen.** That there be no new subject area of Environmental Sciences, but that the composition of the relevant panels (especially Biological Sciences, Physical Sciences and Engineering, Technology and Architecture) be reviewed to ensure that the panels, together with identified specialist advisers, have the necessary expertise to assess EPs in the area of Environmental Sciences.

- Seventeen.** That Tourism not be included as a reported subject area
- Eighteen.** That every effort be made to ensure that the panels, overall, have at least 25% of their membership drawn from overseas experts.
- Nineteen.** That every effort be made to ensure that each panel has an adequate range of subject-area expertise including, where relevant, an appropriate balance of people with knowledge of applied and practice-based research as well as basic, fundamental and strategic research.
- Twenty.** That wherever possible panels include at least two members with expertise in each of the reported subject areas for which they are responsible.
- Twenty-one.** That the gaps in disciplinary expertise identified in various panel reports and sector feedback be addressed.

Participation and Eligibility

TEO Participation and Eligibility

- Twenty-two.** That the TEC review whether participation in the PBRF by eligible TEOs should remain voluntary after 2006.
- Twenty-three.** That TEOs choosing to participate in the PBRF be required to participate in all three measures (ie the Quality Evaluation, RDC and ERI), even if their funding entitlement in one or more measure is zero, or likely to be zero.
- Twenty-four.** That a PBRF-eligible TEO that chooses not to participate in the 2006 Quality Evaluation be ineligible to make claims for funding through the ERI and RDC measures until the next Quality Evaluation.
- Twenty-five.** That TEOs cannot claim ERI and RDC unless they have participated in a Quality Evaluation.
- Twenty-six.** That the SRG supports the facilitation of participation in the PBRF by entities undertaking degree-level teaching and/or research (eg subsidiaries and trusts) that are wholly owned and/or fully controlled by two or more PBRF-eligible TEOs. The SRG recommends that the TEO eligibility criteria be reviewed to explore the possibility of participation by such entities.

Staff Participation and Eligibility

Twenty-seven. That TEO staff members employed at less than 0.2 FTE should not be eligible to participate in the PBRF.

Twenty-eight. That the substantiveness test be clarified, with the first clause of the substantiveness test being reworded as follows:

- a. Undertaking teaching at the degree level that includes a major role in the teaching and assessment of at least one degree-level course or equivalent; and
- b. That a 'major role' be defined as a contribution of at least 25% of one degree-level course and/or 10 hours of class contact with degree-level students and/or supervision of the equivalent of one or more full-time research students.

Twenty-nine. That TEO staff members who have their principal* place of research and/or degree-level teaching overseas be eligible to participate in the PBRF only if they meet a strengthened substantiveness test, namely that they are making a substantive contribution to degree-level teaching AND research in the TEO, AND have an FTE of 0.2 during the 12 months preceding the census date AND at least 1 FTE over the 5 years preceding the census date.

Note:

** 'Principal' in this context means over a reasonable period of time (ie more than a year), and 0.5 FTE or more employment overseas.*

Thirty. That staff sub-contracted to a TEO by a non-TEO be eligible to participate in the PBRF only if they meet a strengthened substantiveness test, namely that they are making a substantive contribution to degree-level teaching AND research in the TEO, AND have an FTE of 0.2 during the 12 months preceding the census date AND at least 1 FTE over the 5 years preceding the census date.

PBRF Definition of Research

Thirty-one. That the PBRF definition of research be modified as follows:

The following activities are excluded from the definition of research except where they are used primarily for the support, or as part, of research and experimental development activities...

- Thirty-two.** That first sentence of the PBRF definition of research be amended so that it reads:
- For the purposes of the PBRF, research is original investigation undertaken in order to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement.*
- Thirty-three.** That the second sentence of the PBRF definition of research be amended so that it reads:
- It typically involves enquiry of an experimental or critical nature driven by hypotheses or intellectual positions capable of rigorous assessment by experts in a given discipline.*
- Thirty-four.** That the fifth sentence of the PBRF definition of research be amended so that it reads:
- In some disciplines, the investigation and its results may be embodied in the form of artistic works, designs or performances.*
- Thirty-five.** That the words “that does not comply with the definition” be added to the last statement in the list of exclusions.

If the PBRF definition were to be changed along the lines suggested above, then it would read as follows:

For the purposes of the PBRF, research is original investigation undertaken in order to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement. It typically involves enquiry of an experimental or critical nature driven by hypotheses or intellectual positions capable of rigorous assessment by experts in a given discipline. It is an independent, creative, cumulative and often long-term activity conducted by people with specialist knowledge about the theories, methods and information concerning their field of enquiry. Its findings must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation. In some disciplines, the investigation and its results may be embodied in the form of artistic works, designs or performances. Research includes contribution to the intellectual infrastructure of subjects and disciplines (eg, dictionaries and scholarly editions). It also includes the experimental development of design or construction solutions, as well as investigation that leads to new or substantially improved materials, devices, products or processes.*

The following activities are excluded from the definition of research except where they are used primarily for the support, or as part, of research and experimental development activities:

- *Preparation for teaching*
- *The provision of advice or opinion, except where it is consistent with the definition of research*

- *Scientific and technical information services*
- *General purpose or routine data collection*
- *Standardisation and routine testing (but not including standards development)*
- *Feasibility studies (except into research and experimental development projects)*
- *Specialised routine medical care*
- *The commercial, legal and administrative aspects of patenting, copyrighting or licensing activities*
- *Routine computer programming, systems work or software maintenance (but note that research into and experimental development of, for example, applications software, new programming languages and new operating systems is included)*
- *Any other routine professional practice (eg, in arts, law, architecture or business) that does not comply with the definition.***

Notes:

- * *The term 'independent' here should not be construed so as to exclude collaborative work.*
- ** *Clinical trials, evaluations and similar activities will be included, where they are consistent with the definition of research.*

Assessment Framework

Dual Assessment

Thirty-six. That there be no requirement for TEOs to undertake a full internal assessment and assign Quality Categories to the EPs of their PBRF-eligible staff, but that TEOs nonetheless be required to determine which of the EPs prepared by their staff are submitted to the TEC for assessment.

Special Circumstances

Thirty-seven. That there be no changes to the criteria for claiming special circumstances, as outlined in the 2003 PBRF Guidelines (p.79).

Thirty-eight. That when special circumstances are considered, they be applied to the Peer Esteem (PE) and Contribution to the Research Environment (CRE) components as well as the Research Output (RO) component of EPs.

Thirty-nine. That the special circumstances provision be applied to the assessment of the quantity of research outputs and other aspects of research activity rather than to the assessment of the quality of research outputs and activities.

- Forty.** That the format of EPs be amended to ensure that staff members are encouraged to provide the information relevant to the application of the special circumstances provision (ie where special circumstances are being claimed).
- Forty-one.** That in using the information provided in the special circumstances field of EPs to inform their assessment, panels be requested to take a number of considerations into account, including:
- a. The length of time, and the proportion of the assessment period, over which the special circumstances applied; and
 - b. The magnitude or seriousness of the special circumstances and the likely impact of these on the research activities of the staff member concerned.
- Forty-two.** That the Moderators monitor and review the application of the special circumstances provision by panels.

New and Emerging Researchers

- Forty-three.** That two new Quality Categories be established for new and emerging researchers – “C(NE)” and “R(NE)”.
- Forty-four.** That apart from the addition of new Quality Categories for new and emerging researchers there be no change to the number of Quality Categories for the 2006 Quality Evaluation.
- Forty-five.** That those assigned the new Quality Category “C(NE)” receive the same funding as those assigned a “C”.
- Forty-six.** That eligibility to be considered for the Quality Categories “C(NE)” and “R(NE)” be defined for the purposes of the 2006 Quality Evaluation as:
- a. A person who meets the PBRF staff-eligibility requirements on the date of the PBRF census (staffing return) for the 2006 Quality Evaluation and who was first appointed to a PBRF-eligible or equivalent position (whether in New Zealand or overseas, and whether in a TEO or non-TEO) on or after 1 January 2000. This would include a first appointment as, for example, Assistant Lecturer or Lecturer or as a Postdoctoral Fellow, but would not include a short-term position or positions (ie of less than 12 months) as, for instance, a research assistant or tutor.

AND/OR

- b. A person who meets the PBRF staff-eligibility requirements on the date of the PBRF census (staffing return) for the 2006 Quality Evaluation and who has had his/her conditions of employment changed on or after 1 January 2000 to include a requirement to undertake research or degree-level teaching (ie for the first time in his/her career). (Majority view)

Note: A minority view that clause (b) should not be applied was recorded.

Forty-seven. That TEOs be required to indicate as part of the PBRF Census (Staffing Return) whether a staff member meets the eligibility test for participation in the new Quality Categories “C(NE)” and “R(NE)”.

Forty-eight. That the following data be collected through the PBRF Census (Staffing Return) and presented on EPs for all staff who meet the criteria in Recommendation 46:

- Eligibility to be considered for the new Quality Categories (ie YES/NO);
- date of first academic appointment (ie at any degree-granting and/or research organisation anywhere in the world);
- date of highest degree enrolment and completion; and
- if relevant, the date on which their employment contract changed to include a requirement to undertake research or degree-level teaching (ie for the first time in his/her career).

Forty-nine. That TEOs have the responsibility of determining whether staff members meet the eligibility criteria in Recommendation 46.

Fifty. That in order for an eligible staff member to secure the new Quality Category “C(NE)”, evidence will need to be provided that includes at least the following:

- a. The successful completion of a doctoral degree or equivalent during the assessment period for the Quality Evaluation; AND
- b. Research outputs of an adequate quality and quantity, bearing in mind the time period during which the staff member has been PBRF-eligible. A minimum of two quality assured research outputs would normally be expected.

OR

- c. Research outputs equivalent to (a) AND (b).

- Fifty-one.** That all PBRF-eligible staff members, including those who satisfy the criteria in Recommendation 46, be eligible for consideration under the provisions of the special circumstances criteria.
- Fifty-two.** That in the case of staff who satisfy the criteria in Recommendation 46, panels be able to award the following Quality Categories: “A”, “B”, “C(NE)” and “R(NE)”, and that in the case of staff who do not satisfy the criteria in Recommendation 46, panels be able to award the following Quality Categories: “A”, “B”, “C” and “R”.
- Fifty-three.** That all staff, including those who satisfy the criteria in Recommendation 46, be encouraged to complete the PE and CRE sections of their EPs.
- Fifty-four.** That the new Quality Category “C(NE)” be included in the reporting framework with a weighting of 1, with the new Quality Category “R(NE)” being weighted 0.

Assessment Criteria

- Fifty-five.** That the three components of EPs be retained and that the PE and CRE components not be more sharply delineated.
- Fifty-six.** That the current weightings of the three components (RO = 70%; PE = 15%; and CRE = 15%) be retained.
- Fifty-seven.** That the ‘additional rules’ that apply to the “C” Quality Category be retained.
- Fifty-eight.** That there be no ‘fast-track’ to a “C” Quality Category.
- Fifty-nine.** That the current 8-step (0-7) scoring system be retained for the 2006 Quality Evaluation, but that the scoring system be reviewed prior to the next Quality Evaluation.
- Sixty.** That further guidance be provided to panels in the PBRF Guidelines to ensure the consistent use of key terms such as ‘world class’, ‘quality assured’ and ‘assessment period’.
- Sixty-one.** That the maximum number of ‘other’ research outputs that can be listed in EPs be reduced from 50 to 30.
- Sixty-two.** That staff members be given the opportunity in 2006, as in 2003, to record appropriate details of their citations in their EPs under the PE component.

- Sixty-three.** That staff members be invited to provide an interpretation of any citation data included in their EPs.
- Sixty-four.** That panels be reminded that citation data needs to be interpreted with appropriate care.
- Sixty-five.** That additional emphasis be given in the PBRF Guidelines to the principle that all practice-based research (and the outputs of such research) is to be treated fairly with respect to other types of research (and research outputs).

Holistic Assessment

- Sixty-six.** That the principle of holistic assessment be retained and strengthened.
- Sixty-seven.** That special circumstances must be considered at specific stages during the assessment process, including at the holistic assessment stage.
- Sixty-eight.** That in making a holistic assessment of an EP panels be required to take into account the following considerations:
- a. Whether special circumstances apply and, if so, whether the circumstances in question are sufficient to affect which Quality Category should be assigned to the EP;
 - b. Whether the EP is eligible for the assignment of a “C(NE) or “R(NE)”;
 - c. The fact that the eight-step scoring system does not facilitate the use of fractional scores;
 - d. The potential for the PE and CRE component scores to be influenced by the placement in EPs of particular types of information;
 - e. Whether the evidence in the PE component is congruent with the judgements made about the appropriate score for the RO component; and
 - f. Which of the available Quality Categories is most appropriate taking all relevant factors into consideration.
- Sixty-nine.** That panels be required to confirm all component scores, but that there be no requirement for the component scores and Quality Category to be in agreement if the holistic assessment of an EP produces a different result.

Research Outputs

Seventy. That the list of research outputs in the PBRF Guidelines be amended as follows:

- a. 'Conference contributions' be disaggregated into the following categories: 'abstract', 'full conference paper', 'conference paper in published proceedings', 'poster presentation', 'oral presentation' and 'other'.
- b. Masters or doctoral thesis be disaggregated into: 'awarded doctoral thesis' and 'awarded research masters thesis'.
- c. New research output categories be added for 'monographs', 'working papers', 'discussion papers' and 'technical reports'.

The implications of this recommendation in terms of the revised list of types of research outputs would be as follows:

- Artefact/Object/Craftwork
- Authored book
- Awarded doctoral thesis
- Awarded research masters thesis
- Chapter in book
- Commissioned report for external body
- Composition
- Conference contribution:
 - abstract
 - conference paper
 - paper published in proceedings
 - poster
 - oral presentation
 - other
- Confidential report for external body
- Discussion paper
- Design output
- Edited book
- Exhibition
- Film/Video
- Intellectual property (eg patent, trademark)
- Journal article
- Monograph
- Oral presentation
- Performance
- Scholarly edition
- Software
- Technical report
- Working paper
- Other form of assessable output, including but not limited to new materials, structures, devices, images, products,

buildings, food products and processes, Internet publication, published geological and/or geomorphological maps and explanatory texts.

Nominated Research Outputs

- Seventy-one.** That the guidelines relating to the completion of commentaries on nominated research outputs (NROs) be revised, and that staff members be encouraged to provide more details concerning the nature and significance of each NRO.
- Seventy-two.** That in addition to remarks about the *quality* of each NRO, staff also be invited to indicate (where relevant) *how each NRO embodies research*, as defined by the PBRF.
- Seventy-three.**
That the character limits in EPs relating to the commentaries on NROs be increased.
- Seventy-four.** That the SRG recommends that before the Quality Evaluation planned for 2012 further feedback from the sector be sought on the possibility that provision be made for staff members, in certain circumstances, to provide a brief oral commentary (eg via a taped message or electronically-recorded statement) on the research content and significance of one or more of their NROs.
- Seventy-five.** That the SRG recommends that before the Quality Evaluation planned for 2012 further feedback be sought from the sector on the possibility that provision be made for staff members, in certain circumstances, to provide oral attestations (eg via a taped message or electronically-recorded statement) from others on the research content and significance of one or more of their NROs.
- Seventy-six.** That panels be required to sample a minimum of 15% of NROs (instead of 10%), and that panels be permitted to set higher minima in their Panel-Specific Guidelines if they wish.

Panel Access to 2003 Data

- Seventy-seven.**
That panels be given access to 2003 Quality Evaluation data only in the final stages of the assessment process, and only after they have conducted a holistic assessment of all EPs.

Panel Processes

Seventy-eight. That the Project Manager for the 2006 Quality Evaluation, in consultation with the Moderators and Panel Chairs, review all aspects of panel processes, including logistical matters, by the end of 2005 so that any issues requiring attention are identified and are able to be addressed well before the commencement of the 2006 Quality Evaluation.

Reporting Issues

Seventy-nine. That TEOs be supplied, as in 2003, with the Quality Categories of their staff members who had EPs submitted to the TEC for assessment. (Majority view)

Note: A minority view opposing this recommendation was recorded.

Eighty. That TEOs not be supplied with the component scores of their staff members who had EPs submitted to the TEC for assessment. (Majority view)

Note: A minority view opposing this recommendation was recorded.

Eighty-one. That component scores should not be released to staff. However, if component scores are released, the TEC should only do so on the request of the individual staff member concerned. (Majority view)

Note: A minority view opposing this recommendation was recorded.

Eighty-two. That the report of the 2006 Quality Evaluation follow the precedent of the comprehensive performance information reported in 2003.

Eighty-three. That there should be no composite measure of TEO performance (ie based on Quality Evaluation, RDC and ERI data) developed for the next Quality Evaluation.

Eighty-four. That the results of the 2006 Quality Evaluation be reported only on an FTE basis, with headcount data excluded.

Eighty-five. That there be no reporting of quality scores and other information where the size of a nominated academic unit or subject area at the TEO level is below 5.0 FTE and that the relevant data should be aggregated under a separate category of 'Other'.

Eighty-six. That there should continue to be reporting of results for both subject areas and nominated academic units.

- Eighty-seven.** That TEOs should continue to be free to determine their nominated academic units.
- Eighty-eight.** That quality scores should be calculated using a single denominator based on all PBRF-eligible staff (FTE-weighted).
- Eighty-nine.** That the current funding weightings for the Quality Categories not be changed and that they continue to be used in calculating quality scores.
- Ninety.** That the Moderators be asked to advise the TEC on how best to compare the results of the 2003 and 2006 Quality Evaluations, given the 'partial' nature of the 2006 round and the introduction of a new Quality Category.
- Ninety-one.** That the TEC carefully consider the matter of separate reporting of the Quality Evaluation results of merged TEOs and consider the advantages and disadvantages of separate and/or combined reporting for a limited period following the merger.
- Ninety-two.** That in relation to the transfer of EPs between panels, the PBRF Guidelines should make the following matters clear:
- a. That each participating TEO will be expected to select a panel and subject area of research for each EP submitted to the TEC for assessment;
 - b. That the TEC has the right (on the advice of the relevant panel chairs) to determine which panel will assess a particular EP;
 - c. That the TEC's decisions on such matters are not open to appeal;
 - d. That where an EP is transferred to a different panel for assessment from that requested in an EP, that the EP be cross-referred to the original panel for additional input;
 - e. That in the event that the original panel is unable to provide additional input (eg due to a lack of expertise or a conflict of interest), additional advice (eg a further cross-referral or specialist advice) will be sought;
 - f. That the TEC will notify TEOs in the event that an EP is assessed by a panel other than the one originally requested. This notification will occur at the end of the assessment process (ie when all the results are reported to TEOs);
 - g. That the TEC will provide reasons to TEOs as to why an EP was transferred to another panel; and

- h. That TEOs will be expected to inform staff members in the event of an EP being transferred for assessment to a panel other than that requested, together with information on why the EP was transferred, at the end of the assessment process.

Ninety-three. That the report on the results of the 2006 Quality Evaluation include additional data to that provided in 2003. This should include:

- a. Standard deviations from the mean for each TEO and subject area (based on final Quality Category results and/or component scores);
- b. The provision of box and whisker diagrams outlining the spread of results for each TEO and subject area (ie including the median, hinges, and smallest and largest data values) (based on final Quality Category results and/or component scores); and
- c. Standard errors.

Reporting of 'Special' Entities

Ninety-four. That if 'special' entities (ie non-TEOs) are formed and become PBRF-eligible, that they have their PBRF results reported in a multiple manner, including the results for the entire entity and the results for any staff employed by partner TEOs who are associated with the entity.

Ninety-five. In order to facilitate the reporting of PBRF results for 'special' entities, TEOs be required to identify any staff (via the PBRF census (staffing return)) who are associated with the entity in question.

Auditing Issues

Ninety-six. That an independent audit of nominated research outputs for the 2006 Quality Evaluation be conducted, with the details of this audit to be determined by the TEC after further consultation with the sector.

Ninety-seven. That a comprehensive audit of staff eligibility be conducted covering up to 15% of the staff from each TEO focusing particularly on people to whom the substantiveness test applied and those deemed eligible for the new and emerging researcher Quality Category. That if there is an error rate above an agreed threshold (yet to be defined) that the TEO in question be the subject of an intensive audit of the decisions made on staff eligibility.

Ninety-eight. That the Office of the Controller and Auditor-General be invited to undertake a process assurance audit of the 2006 Quality Evaluation along the lines of that conducted in 2003.

Ninety-nine. That the current policy on sanctions be confirmed, but that the wording of the policy be amended so that the approval of the TEC Board is only required in the event that there is a case for applying *significant* sanctions.

One hundred. That TEO Chief Executives be required to sign a declaration, when EPs are submitted to the TEC, confirming the accuracy of the information contained in the EPs, with wording along the following lines: '...to the best of my knowledge all reasonable steps have been taken to ensure the accuracy of the information contained in EPs...'.

Complaints

One hundred one.

That there be provision for a complaints process following the 2006 Quality Evaluation along the lines of that instituted in 2003/04. (Majority view)

Note: The AUS representative opposed this recommendation.

Research Degree Completions

One hundred two.

That in order to be eligible for inclusion in the RDC measure, research components of eligible courses should be externally assessed.

One hundred three.

That the subject weightings applied as part of the RDC measure should not be changed, unless significant changes arise in the Funding Category Review.

One hundred four.

That it be clarified in the PBRF Guidelines that any course that meets the 0.75 EFTS threshold is eligible for inclusion in the RDC measure (ie not just masters or doctoral programmes).

One hundred five.

That professional doctorates have a volume of research weighting for the purposes of the RDC measure equivalent to the EFTS weighting of the research component.

One hundred six.

That there be no other changes to the RDC measure.

External Research Income

One hundred seven.

That TEOs not be required to supply independent audit opinions where their total PBRF-eligible ERI is less than \$200,000, but in this case, some independent verification of the total be required, such as the TEO's annual report.

One hundred eight.

That there be no other changes to the ERI measure.

Funding Issues

One hundred nine.

That the TEC conduct a review of the PBRF cost weightings to ensure that the funding rates fairly reflect the costs of undertaking research in different subject areas.

One hundred ten.

That the TEC seek to ensure that any net improvement in research quality in the tertiary education sector, as measured by periodic Quality Evaluations, be reflected in appropriate increases in overall PBRF funding in real terms.

Evaluation of the PBRF: Phase 2

One hundred eleven.

That as part of the Phase 2 Evaluation of the PBRF, the TEC be encouraged to monitor the impact and fairness of Quality Evaluations in relation to different categories of staff.

Panel-Specific Guidelines

One hundred twelve.

That each panel be required to review its Panel-Specific Guidelines and address the following questions:

- Whether the panel's description of the panel's coverage is accurate and adequate;
- Whether the panel needs to provide additional information in regard to its general expectations concerning the standard of evidence to be supplied;
- Whether the definition of research requires elaboration and interpretation, including how the panel will distinguish between routine professional practice and professional practice that constitutes research;
- Whether there are any additional types of research output that it would be desirable to identify (ie outputs that are not explicitly listed in the general PBRF Guidelines);
- Whether the descriptors and tie points for the RO component need to be elaborated and interpreted;
- Whether the descriptors and tie points for the PE component need to be elaborated and interpreted;
- Whether the descriptors and tie points for the CRE component need to be elaborated and interpreted;
- Whether the panel wishes to comment on how it will interpret the special circumstances provision;
- Whether the panel wishes to offer additional guidance as to how it will interpret 'world class';
- Whether the panel wishes to offer additional guidance as to how it will assess the impact of research;
- Whether the panel wishes to offer additional guidance on how it will assess the quality of non-standard, non-quality-assured, and jointly produced research outputs, including such items as works of synthesis;
- Whether the panel wishes to commit itself to sampling more than 15% of the nominated research outputs in the EPs for which it is responsible; and
- Whether the panel wishes to elaborate on the circumstances under which it will utilise specialist advisers.

One hundred thirteen.

That each panel be asked to identify and specify in their Panel-Specific Guidelines:

- a. the characteristics of excellence for applicable and practice-based research in the subject areas for which they are responsible, and
- b. the appropriate indicators for assessing the impact of applicable and practice-based research in the subject areas for which they are responsible.

One hundred fourteen.

That each panel be asked, in reviewing its Panel-Specific Guidelines, to consider any relevant feedback received from the sector, the recommendations in the Report of the Moderation Panel to the TEC on the 2003 Quality Evaluation (2004), the material included in the panel's report to the TEC on the 2003 Quality Evaluation, the findings of the WEB Research evaluation of the 2003 Quality Evaluation, and the guidelines and criteria developed by the relevant panels responsible for research assessment in the British RAE.

One hundred fifteen.

That each panel be asked, in reviewing its Panel-Specific Guidelines, to have regard to the points raised in paragraph 87 of the Consultation Paper on the Definition of Research.

PBRF Draft Guidelines

One hundred sixteen.

That the tertiary education sector be given an opportunity to provide feedback on the draft PBRF Guidelines for the 2006 Quality Evaluation, once these have been prepared.

PBRF Advisory Group

One hundred seventeen.

That the TEC establish a PBRF Advisory Group to advise the TEC on issues relating to the design, implementation and evaluation of the PBRF.

One hundred eighteen.

That the PBRF Advisory Group be invited to review the draft PBRF Guidelines for the 2006 Quality Evaluation prior to their confirmation by the TEC.

PBRF Pacific Advisory Group

One hundred nineteen.

That the TEC reconvene the PBRF Pacific Advisory Group and invite this Group to review the guidelines on Pacific Research in the 2003 PBRF Guidelines and to comment on the draft PBRF Guidelines for the 2006 Quality Evaluation, including the Panel-Specific Guidelines.

One hundred twenty.

That there be a provision in EPs for staff to indicate whether their research is 'Pacific' research, as outlined in the PBRF Guidelines on Pacific Research.

Evaluation of 2006 Quality Evaluation

One hundred twenty-one.

That the TEC undertake an evaluation of the design and implementation of the 2006 Quality Evaluation and that consideration be given, as part of this evaluation, to the issue of the frequency of Quality Evaluations.

Note: Under the current policy framework, as agreed by the Cabinet, the timing of the third Quality Evaluation will be determined after the 2006 Quality Evaluation.

Chapter 1

Key Issues, Consultation Process and Feedback

Background

1. The Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, and sector feedback to the TEC during the first half of 2004 identified various areas of potential improvement that should be considered as part of a redesign of the PBRF in preparation for the 2006 Quality Evaluation.
2. The primary focus of the redesign was on the arrangements for the next Quality Evaluation, but attention was also given to the RDC and ERI measures of the PBRF.
3. The first phase of the sector consultation process commenced with the release of an initial Consultation Paper entitled 2006 Quality Evaluation on 6 August 2004. The paper sought feedback from the sector on the range of issues that had been identified, the proposed timeline for the 2006 Quality Evaluation and the outcome of the Phase I Evaluation. It also asked the sector to provide advice on any other issues that had not been identified.
4. The key issues identified in the first Consultation Paper were
 - a. The merits and feasibility of the indicative timeline for the next Quality Evaluation
 - b. The timing of the second Quality Evaluation (ie 2006 or later)
 - c. The need for comments on the evaluation strategy for the PBRF
 - d. The need for clarification of the criteria for TEO participation in the PBRF
 - e. The need for clarification of the criteria for staff participation in Quality Evaluations
 - f. The possible need for changes to the PBRF census (staffing return)
 - g. The possible need for improvements to the format, content and guidelines for EPs
 - h. The possible need for improvements to the software for EP creation
 - i. Concerns about the use of PBRF data by TEOs and the TEC
 - j. The possible need for changes to the number, type and labelling of Quality Categories
 - k. The possible need for changes to the internal assessment process conducted by TEOs

- l. Concerns that the assessment framework might discriminate against certain categories of researchers and subject areas
 - m. Concerns about the application of special circumstances
 - n. The possible need for changes to the use of component scores and weightings
 - o. The possible need for changes to the nature and assessment of the research output component of EPs
 - p. Concerns about the process for assessing panellists
 - q. The need to improve the moderation process to ensure inter-panel consistency
 - r. The need for improvements to the operational processes to support panel processes
 - s. The adequacy and application of the definition of research
 - t. The need to improve the panel specific guidelines
 - u. The possible need to increase the use of specialist advisors
 - v. The process for notifying TEOs and staff of the transfer of EPs between panels
 - w. The contents and length of the reports of the PBRF peer review panels
 - x. The conflict of interest policy and its application
 - y. The systems for audit and verification, including Nominated Research Outputs (NROs), Research Outputs (ROs), Peer Esteem (PE), Contribution to the Research Environment (CRE) and staff eligibility
 - z. The appropriateness of the current reporting framework
 - aa. Arrangements for the treatment of TEOs that merge
 - bb. The concerns associated with the privacy of individuals' results
 - cc. The need to establish systems for the annual reporting of funding, ERI and RDC results for TEOs
 - dd. The need to review the 'fast-track' option
 - ee. The possible need for the review and clarification of the ERI and RDC measures
 - ff. The possible need for changes to the funding formula for the PBRF
5. To support the redesign process, a Sector Reference Group (SRG) was established and met for the first time in September 2004. The SRG consisted of twelve sector representatives drawn from participants in the 2003 Quality Evaluation process including researchers, research managers and senior TEO administrative staff. Please refer to Appendix 1 for the Terms of Reference of the SRG.

Role of the SRG

6. The SRG was responsible for identifying issues to be addressed by the redesign and reviewing the consultation papers prepared by the TEC prior to their release to the sector. The SRG met in Wellington on a total of seven occasions with the first meeting held on 1 September 2004 and the last meeting held on 24 March 2005. Over the term of the SRG's work, a total of twelve detailed consultation papers were prepared exploring the issues raised in the first consultation paper.
7. The SRG agreed that it would be desirable for all consultation papers to be available for at least three weeks to enable interested parties to make submissions.
8. It was agreed at its first meeting that the SRG would establish a sub-committee of six of its members to review all feedback received from the sector. This group would make recommendations to the full SRG based on the feedback. This sub-committee, which was chaired by Professor Val Lindsay, reviewed each submission and met on five occasions.

Sector feedback

9. The TEC received a total of 222 submissions. A total of 51 individuals and groups made submissions (see Appendix 3 for a full list).
10. The number of submissions on the consultation papers varied with the highest number (44) received on the first consultation paper. All of the other consultation papers received between 9 and 17 submissions.

Summary

11. The SRG greatly appreciated the participation of the sector in the redesign process of which feedback on consultation papers is a significant component. Individuals and groups were required to digest and respond to complex documents in quite short timeframes. The quality and constructive nature of the submissions received were of considerable credit to those involved.

Consultation papers released as part of the redesign

PBRF 2006 Quality Evaluation
Assessment Framework
Auditing Framework
Definition of Research
External Research Income measure
Funding Framework
Moderation Process
Panels and Subject Areas
Participation and Eligibility
Proposal for a Partial Round
Reporting Framework
Research Degree Completions
TEO Use of Data

Chapter 2

The 2006 Quality Evaluation: Key Design Issues

Introduction

1. This chapter focuses on the key redesign issues that relate to the 2006 Quality Evaluation. These issues were identified in the Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, the deliberations of the SRG and sector feedback to the TEC during 2004 and 2005.
2. Because of the complexity of the Quality Evaluation, each of the key redesign issues has a subsection devoted to it. It should be noted that in many cases the recommendations are closely interlinked. As a result, the recommendations of the SRG relating to the Quality Evaluation measure of the PBRF should be understood in a holistic sense.

Timing of the second Quality Evaluation

3. The issue of when the second Quality Evaluation should be held was discussed by the SRG early in its deliberations. It became immediately apparent that the timing of the second round was inextricably linked to the nature of the assessment process, and in particular the question of whether the unit of assessment would remain the same as in 2003 (ie individuals) or changed to a group or unit (as in the British Research Assessment Exercise (RAE)). For instance, any change to the unit of assessment would require a major rethink of the whole structure of the PBRF, and any significant changes would be impossible to implement in time for an evaluation in 2006.
4. Quite apart from this, it was recognised that any alteration to the date of the second Quality Evaluation would require the approval of Cabinet, and such approval was unlikely to be forthcoming unless there were very good reasons, together with strong sector support. Bearing such considerations in mind, the SRG concluded that the preferred approach would be to proceed on the basis that the second Quality Evaluation would be in 2006.

2.1 PBRF Key Redesign Issues – Unit of Assessment

Background

1. This section of the report deals with the recommendations of the SRG relating to the unit of assessment for the periodic Quality Evaluations conducted under the PBRF.
2. There is considerable concern in the sector regarding the use of the individual as the unit of assessment in Quality Evaluations. There is a strongly held view that this approach has the potential to impact negatively on staff. These negative impacts include breaches of privacy, inappropriate use of PBRF results and impediments to collaborative academic endeavours. Feedback to the SRG lent weight to some of these concerns.
3. The SRG recognised that the decision on the unit of assessment for the 2006 Quality Evaluation was extremely important. It had significant implications for the overall direction of the redesign process.

Concerns about the current unit of assessment

4. It is argued by many in the sector that the focus on the evaluation of individuals' performance in the Quality Evaluation measure of the PBRF leads to undesirable outcomes. These outcomes include:
 - a. The potential for the Quality Categories of individuals to be inferred by others as a result of the reporting framework;
 - b. The focus on individuals disadvantages certain groups, eg part-time, women or Māori staff;
 - c. The inappropriate use of PBRF results by TEOs, eg for promotion and remuneration purposes;
 - d. The encouragement of undesirable competition between staff and institutions;
 - e. An undesirable focus on individual performance in an environment characterised by collegiality and team work; and
 - f. The use of individuals as the unit of assessment led to poorly implemented policy solutions such as the provision for special circumstances.

Options considered

5. The SRG considered two options in relation to this issue. These were either to retain the individual as the unit of assessment or to consider changing the unit of assessment to a group-based model.

6. There was considerable discussion about the inherent tensions within the PBRF. These related to the possible conflicts between the aim to improve the quality of public information about research output and one of the purposes of the fund (ie to allocate funding).
7. The SRG was conscious of the example of the British RAE with its focus on the group-based assessment of academic units. It was noted in this regard that the RAE, because of the option that institutions have to exclude eligible staff from the assessment process, also has the potential to discriminate against individuals, eg women are less likely to be put forward for assessment. Equally, the new assessment and reporting framework for the 2008 RAE round will make it much easier to infer the results of particular staff.
8. The SRG considered various options intended to address the concerns noted above. These included:
 - a. Changes to the reporting framework intended to reduce the possibility that the Quality Categories assigned to individuals could be inferred;
 - b. Consultation with the sector on the use of PBRF data by TEOs to establish an agreed understanding of the appropriate uses of this data;
 - c. Improvements to aspects of the assessment framework such as the provision for special circumstances; and
 - d. A requirement for the Phase II Evaluation to consider the impacts of the PBRF on staff.

Conclusions

9. The SRG considered that many of the concerns raised were the result of the inherent tensions in the design of the PBRF, eg between the desire to provide comprehensive information and the need to protect the privacy of individuals.
10. The SRG considered that the changes that were being considered to the design of the PBRF were likely to mitigate some of the concerns that had been raised. In addition, a decision to proceed with a 'partial' round would not allow any changes to be made to the unit of assessment.
11. The SRG was also of the view that proceeding with a group-based assessment would not necessarily resolve all of the concerns that had been raised. Indeed, it was possible that a group-based model might contribute to or create new problems.
12. At the same time, the SRG concluded that given the importance of the issue of the unit of assessment that further consideration needed to be

given to it. To this end, the SRG considered that there should be a comprehensive review of the unit of assessment in preparation for the third Quality Evaluation. In addition, the results of the Phase II and, as far as possible, the Phase III Evaluations could inform this review.

13. The SRG asked that a comprehensive review of the use of PBRF data by TEOs be undertaken. It was agreed that the SRG should consult with the sector on this matter and this is discussed in a later section.

Recommendations

- Two.** That the 2006 Quality Evaluation be conducted, as in 2003, using individual staff members as the unit of assessment (ie rather than departments/academic units/disciplinary grouping). (Majority view)

Note: The AUS representative opposed this recommendation.

- Three.** That the TEC undertake a comprehensive review of the unit of assessment after the 2006 round in order to ascertain the best approach to be adopted for the third Quality Evaluation, which is currently planned for 2012.

2.2 PBRF Key Redesign Issues – ‘Partial’ Round

Background

1. This section of the report deals with the recommendations of the SRG relating to the proposal for the 2006 Quality Evaluation to be conducted on a ‘partial’ basis.
2. The proposal for a ‘partial’ round arose out of issues that were identified in the Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, the deliberations of the SRG and sector feedback to the TEC during 2004.
3. The proposal sought to address some of the high compliance costs associated with the 2003 Quality Evaluation. It was also a response to concerns raised about the considerable overlap in the assessment periods for the 2003 and 2006 Quality Evaluations.
4. The recommendations reported below were approved by the PBRF Steering Group in November 2004 for implementation as part of the 2006 Quality Evaluation.

The Proposal for a ‘Partial’ Round

5. A detailed Consultation Paper on the PBRF Proposal for a ‘Partial’ Round was prepared and made available to the tertiary education sector for feedback. Amongst other things, the paper noted that:
 - a. The timing of the second Quality Evaluation, scheduled for 2006, was the subject of vigorous debate;
 - b. There was considerable overlap in the assessment periods of the 2003 and 2006 Quality Evaluations;
 - c. There was limited time to undertake a thorough evaluation and redesign in preparation for the 2006 Quality Evaluation;
 - d. There was considerable debate over the appropriate unit of assessment for Quality Evaluations;
 - e. The administrative and compliance costs associated with the 2003 Quality Evaluation were much higher than anticipated; and
 - f. There was reluctance on the part of some PBRF-eligible staff to co-operate fully with a second Quality Evaluation.
6. The Consultation Paper set out an integrated proposal for addressing the concerns identified with regard to the matters noted above. Key aspects of the proposal included:

- a. Participating TEOs should not be required to nominate Quality Categories for all their PBRF-eligible staff but should only be required to determine which EPs are to be submitted to the TEC for assessment by a peer review panel;
- b. PBRF-eligible staff in 2006 who participated in the 2003 round will have the option of completing revised/updated EPs and having these considered by their TEO for submission to the TEC for assessment by a peer review panel (ie the preparation and submission of revised/updated EPs will be voluntary);
- c. The completion of a revised/updated EP will not be optional where a PBRF-eligible staff member in 2006 was assessed in 2003 and has since moved to another participating TEO (or is now in a different TEO due to a merger or amalgamation);
- d. The completion of a revised/updated EP will not be optional where a PBRF-eligible staff member in 2006 was assessed in 2003 and where the staff member (and/or TEO) wishes to have his/her EP reported under a different subject area that carries a higher cost weighting than the subject area under which his/her EP was assessed and reported in 2003; and
- e. The results of the 2006 round will be reported at the conclusion of the assessment exercise (ie for TEOs, subject areas and nominated academic units). While the nature of the reporting framework may differ from that employed in 2003, the results will be based on:
 - the final Quality Categories assigned by peer review panels to the EPs submitted in 2006;
 - the final Quality Categories assigned by peer review panels in 2003 for those staff who remain PBRF-eligible in 2006 and who did not have their EPs submitted for reassessment in 2006; and
 - the Quality Categories nominated by TEOs for new PBRF-eligible staff who did not have their EPs submitted to the TEC for assessment in 2006 (because they were not expected to secure a funded Quality Category).
- f. The preparation and submission of an EP will not be optional for staff who are PBRF-eligible in 2006 but who were not assessed in 2003.

Sector Feedback

7. There were 13 submissions received by the TEC on the Consultation Paper on the Proposal for a 'Partial' Round.
8. On the specific issues raised in the Consultation Paper:
 - a. There was general support for the proposal that participation by new staff should be compulsory;

- b. There was little support for the proposal that staff that transfer between TEOs should be required to submit revised/updated EPs;
- c. There was general support for the proposal that participation should be voluntary for all those staff who were assigned a Quality Category in 2003;
- d. There was general support for the removal of the requirement that TEOs conduct a comprehensive internal assessment of the EPs of every PBRF-eligible staff member;
- e. There was support for the planned transfer of degree 'top-up' funding by 2007; and
- f. There was support for the combined reporting of results from the 2003 and 2006 Quality Evaluations.

Conclusions

- 9. The SRG determined that any 'partial' round arrangements should apply for the 2006 Quality Evaluation only. This was because there would be no overlap in assessment periods between future Quality Evaluations.
- 10. The SRG considered that the pursuit of a 'partial' round would, on balance, be desirable particularly in relation to compliance costs and the commitment of staff to the process.
- 11. The SRG decided, in the light of sector feedback, that staff who moved to a different TEO between 2003 and 2006 should not be required to submit a new EP.

Recommendations

Four. That the 2006 Quality Evaluation be conducted on a 'partial' basis.

Five. That the 'partial' round be conducted in accordance with the principles and policies enunciated in the Consultation Paper on the Proposal for a Partial Round, but that PBRF-eligible staff members who were assessed in 2003 and who transfer to another TEO prior to the 2006 round not be required to be reassessed.

The key features of the 'partial' round in 2006 are as follows:

- a. TEOs participating in the 2006 Quality Evaluation will be required to complete the 2006 PBRF census (staffing return) for all eligible staff.
- b. TEOs participating in the 2006 Quality Evaluation will not be required to conduct a comprehensive internal assessment of the EPs of every PBRF-eligible staff member. Nor will they be required to nominate a Quality Category for the EPs that they choose to

submit to the TEC for assessment by a peer review panel. They will, however, need to decide which EPs not to submit and nominate these for a “R” (or “R(NE)”) Quality Category.

- c. TEOs participating in the 2006 Quality Evaluation will be required to assess the EPs of all those PBRF-eligible staff who were not assessed (internally or externally) in 2003 and thus did not receive a Quality Category (eg because they were not PBRF-eligible at the time of the 2003 PBRF census (staffing return) or were employed by a TEO or other organisation that did not participate in the 2003 Quality Evaluation).
- d. PBRF-eligible staff in 2006 who participated in the 2003 round will have the option of completing revised/updated EPs and having these considered by their TEO for submission to the TEC for assessment by a peer review panel (ie the preparation and submission of revised/updated EPs will be voluntary).
- e. The completion of a revised/updated EP will not be optional where a PBRF-eligible staff member in 2006 was assessed in 2003 and where the staff member (and/or TEO) wishes to have his/her EP reported under a different subject area that carries a higher cost weighting than the subject area under which his/her EP was assessed and reported in 2003.²
- f. As in 2003, TEOs will only need to submit completed EPs that are expected to meet the standards required for the assignment of a funded Quality Category ie “A”, “B”, “C” and “C(NE)”. In the case of EPs assigned a non-funded Quality Category (“R” or “R(NE)”) by a TEO, TEOs will be required to provide this information to the TEC.
- g. EPs will be assessed by peer review panels on the basis of revised guidelines for the 2006 Quality Evaluation. The panels will have the right to assign whatever Quality Category they deem to be appropriate. Hence, in the case of those staff assessed in 2003 who choose to prepare a revised EP for submission to the TEC in 2006, it is possible that the Quality Category assigned will be higher, lower or the same as in 2003.
- h. The results of the 2006 round will be reported at the conclusion of the assessment exercise (ie for TEOs, subject areas and nominated academic units). While the nature of the reporting framework may differ from that employed in 2003, the results will be based on:
 - the final Quality Categories assigned by peer review panels to the EPs submitted in 2006
 - the final Quality Categories assigned by peer review panels in 2003 for those staff who remain PBRF-eligible in 2006 and

² Note that in 2003 EPs submitted to the TEC for assessment were not necessarily assessed and reported within the subject area (or by the panel) requested by the staff member or TEO concerned. Altogether, 238 EPs were transferred between panels (and hence transferred from one subject area to another for reporting and funding purposes).

who did not have their EPs submitted for reassessment in 2006 and

- the Quality Categories nominated by TEOs for new PBRF-eligible staff who did not have their EPs submitted to the TEC for assessment in 2006 (because they were not expected to secure a funded Quality Category).
- i. In the event of any changes to the nature of subject areas (or subject-area boundaries) between 2003 and 2006, TEOs will need to supply the TEC with an updated subject-area designation for all those PBRF-eligible staff who do not have EPs submitted to a peer review panel for assessment in 2006.
- j. In the event of any changes to the nature of nominated academic units (or the distribution of staff across such units) between 2003 and 2006, TEOs will need to supply the TEC with an updated nominated academic unit designation for all those PBRF-eligible staff who do not have EPs submitted to a peer review panel for assessment in 2006.
- k. Funding allocations to TEOs for the Quality Evaluation component of the PBRF for 2007 (and subsequent years) will be based on the results of the assessment as outlined in paragraph (h).
- l. The PBRF will be fully implemented in 2007 as originally planned (ie all research top-up funding will be allocated via the PBRF funding formula).

Examples

The following examples illustrate how the proposed partial round would operate:

- Staff member 'G' in TEO 'Y' completed an EP in 2003 and was nominated an "R" Quality Category by 'Y'. In 2006 'G' will have the option of preparing a revised EP for an initial assessment by 'Y' (eg if 'G' has good grounds for expecting a better Quality Category). If the EP appears to meet the requirements of a funded Quality Category (as rated by the TEO), it will be submitted by 'Y' to the TEC for assessment by a peer review panel. If the EP does not appear to meet the requirements of a funded Quality Category (ie an "R" or "R(NE)"), 'Y' will supply this information to the TEC. If 'G' decides not to complete a revised EP, the "R" Quality Category assigned in 2003 will be confirmed and incorporated into the results of the 2006 Quality Evaluation.
- Staff member 'H' in TEO 'Z' completed an EP in 2003 and was nominated a "B" Quality Category by 'Z'. The EP was submitted to the TEC and received a final Quality Category of "C". In 2006 'H' will have the option of preparing a revised EP (eg if 'H' has good grounds for expecting a better Quality Category) for submission by 'Z' to the TEC or retaining the "C" assigned in 2003.

- Staff member 'K' in TEO 'P' was not assessed in 2003 but is PBRF-eligible in 2006. 'K' will be required to prepare an EP for assessment purposes in 2006. This will be assessed by 'P' and submitted to the TEC if it appears to meet the requirements for a funded Quality Category.
- Staff member 'O' was assessed by the Business and Economics panel in 2003 in the subject area 'Economics' and received a final Quality Category of "B". In 2006 'O' wants to be reported under 'Public Health' (which is funded at 2.5 times the rate of 'Economics'). 'O' will be required to revise/update his/her EP and have it submitted by his/her TEO for assessment by a peer review panel. Note that the TEC will have the right in 2006 (as in 2003) to decide which panel assesses each EP, so 'O' may end up having his/her revised/updated EP assessed by the Business and Economics panel.

2.3 PBRF Key Redesign Issues – Participation and Eligibility

Background

1. This section of the report deals with the recommendations of the SRG relating to the participation of TEOs in the PBRF, and the criteria for staff participation.
2. These recommendations arose out of issues that were identified in the Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, the deliberations of the SRG and sector feedback to the TEC during 2004.

Issues

3. A detailed Consultation Paper on PBRF Participation and Eligibility was prepared and made available to the tertiary education sector for feedback. Amongst other things, the paper noted that:
 - a. Less than half of eligible TEOs participated in the PBRF;
 - b. Several TEOs participated in only one measure of the PBRF;
 - c. The minimum level of employment (0.2 FTE) set in the Staff Participation Criteria may not have captured all the staff making a significant contribution to research and/or degree-level teaching, eg semi-retired or volunteer staff;
 - d. Staff such as those sub-contracted by Crown Research Institutes (CRIs) to TEO were excluded by the Staff Participation Criteria irrespective of their contribution to research and/or degree-level teaching;
 - e. Staff primarily based overseas were excluded by the Staff Participation Criteria irrespective of their contribution to research and/or degree-level teaching; and
 - f. The Substantiveness Test was possibly unclear and difficult to apply in practice.

Options Considered

4. The SRG was concerned that the level of participation seen since 2003 undermined the comprehensiveness of the information being collected on research quality. On the other hand, the SRG did note the need to give due regard to the principle of institutional autonomy.

5. The SRG was concerned, however, that participation by a TEO in only one or two measures of the PBRF might give a misleading picture of its research quality.
6. The SRG was concerned that the Staff Participation Criteria was difficult to interpret. It was also concerned that it might be unintentionally excluding some staff who were making a significant contribution to research and/or degree-level teaching, and possibly requiring TEOs to include some staff who were not.
7. The Consultation Paper on Participation and Eligibility set out a number of options for addressing the concerns identified with regard to the matters noted above. These included:
 - a. The setting of some standards for participation in the PBRF, eg requiring TEOs to participate in all three measures if they participated in one;
 - b. Reviewing the minimum level of employment (currently 0.2 FTE);
 - c. Providing some appropriate recognition for non-TEO and overseas staff; and
 - d. Making changes to the Substantiveness Test.

Sector Feedback

8. There were 15 submissions received by the TEC on the Consultation Paper on Participation and Eligibility. Overall, the submissions indicated a need to clarify the participation criteria for both TEOs and staff.
9. On the specific issues raised in the Consultation Paper:
 - a. There was majority support for the principle of compulsory participation in all three measures;
 - b. There was support for retaining the current 0.2 FTE minimum level of employment;
 - c. There was majority support for the status quo in relation to non-TEO staff and overseas-based staff; and
 - d. There were mixed views on the best approach for dealing with the Substantiveness Test with a balance between the status quo and the need for some clarification.

Conclusions

10. The SRG considered the sector feedback and deliberated on the matters raised. The SRG was concerned to give due regard to institutional autonomy without reducing the quality of information obtainable through the PBRF.

11. Subsequent to the release of the Consultation Paper, the TEC was made aware of the possibility that TEOs might establish jointly-owned entities that while engaged primarily in degree-level teaching and/or research were not degree-granting TEOs themselves. The SRG considered it desirable for these entities to be able to participate in the PBRF.
12. The SRG was concerned to ensure that the Staff Participation Criteria and in particular, the Substantiveness Test, were simple to understand and apply. The SRG also wished to ensure that provided staff were making a substantial contribution to research and/or degree-level teaching, they should be able to be PBRF-eligible irrespective of their normal physical location (ie staff based overseas) or whether their employment arrangements took an unusual form (ie a staff member of a non-TEO sub-contracted to a TEO).
13. The SRG concluded that the substantiveness test should be revised as follows:
 - a. In applying the criteria for staff eligibility in Quality Evaluations, there is a need to be clear about whether or not certain staff are making a sufficiently substantive contribution to teaching degree-level programmes and/or research to warrant their inclusion. This is particularly the case with respect to administrative staff, teaching-support staff and research-support staff. The substantiveness test, as set out below, is designed to clarify which staff are PBRF-eligible.
 - b. As indicated under the general staff participation criteria, a staff member is eligible for inclusion in the PBRF and should be included in the Quality Evaluation process if:
 - i) they are employed by the TEO on the PBRF census date on a continuous contract (or for at least one year under one or more employment agreements) for at least 0.2 FTE, and
 - ii) their employment functions include research and/or teaching degree-level programmes.
 - c. In relation to teaching, the substantiveness test means a major role in the teaching and assessment of at least one degree-level course or equivalent. A 'major role' means a contribution of at least 25% of one degree-level course and/or 10 hours of class contact with degree-level students and/or supervision (or co-supervision) of one or more research students.
 - d. In relation to research, the substantiveness test means the design or conduct of research activity and/or the preparation of research outputs (eg as a co-author/co-producer), and could legitimately be named as an author (or co-author) of research outputs. Any research considered under this test must conform to the PBRF definition of research.

- e. Staff members are not PBRF-eligible if they are working under the strict supervision of another staff member while teaching (eg working only with small groups of students in tutorial sessions or marking papers to strict criteria), unless they meet the substantiveness test for research. Such staff may include tutors, teaching fellows, assistant lecturers, technicians, laboratory demonstrators, research assistants, and assistant research fellows.

Recommendations

TEO Participation and Eligibility

- Twenty-two.** That the TEC review whether participation in the PBRF by eligible TEOs should remain voluntary after 2006.
- Twenty-three.** That TEOs choosing to participate in the PBRF be required to participate in all three measures (ie the Quality Evaluation, RDC and ERI), even if their funding entitlement in one or more measure is zero, or likely to be zero.
- Twenty-four.** That a PBRF-eligible TEO that chooses not to participate in the 2006 Quality Evaluation be ineligible to make claims for funding through the ERI and RDC measures until the next Quality Evaluation.
- Twenty-five.** That TEOs cannot claim ERI and RDC unless they have participated in a Quality Evaluation.
- Twenty-six.** That the SRG supports the facilitation of participation in the PBRF by entities undertaking degree-level teaching and/or research (eg subsidiaries and trusts) that are wholly owned and/or fully controlled by two or more PBRF-eligible TEOs. The SRG recommends that the TEO eligibility criteria be reviewed to explore the possibility of participation by such entities.

Staff Participation and Eligibility

Twenty-seven. That TEO staff members employed at less than 0.2 FTE should not be eligible to participate in the PBRF.

Twenty-eight. That the substantiveness test be clarified, with the first clause of the substantiveness test being reworded as follows:

- a. Undertaking teaching at the degree level that includes a major role in the teaching and assessment of at least one degree-level course or equivalent; and
- b. That a 'major role' be defined as a contribution of at least 25% of one degree-level course and/or 10 hours of class contact with degree-level students and/or supervision (or co-supervision) of one or more research students.

Twenty-nine. That TEO staff members who have their principal* place of research and/or degree-level teaching overseas be eligible to participate in the PBRF only if they meet a strengthened substantiveness test, namely that they are making a substantive contribution to degree-level teaching AND research in the TEO, AND have an FTE of 0.2 during the 12 months preceding the census date AND at least 1 FTE over the 5 years preceding the census date.

Note: the meaning of 'principal' in this context means over a reasonable period of time (ie more than a year), and 0.5 FTE or more employment overseas.

Thirty. That staff sub-contracted to a TEO by a non-TEO be eligible to participate in the PBRF only if they meet a strengthened substantiveness test, namely that they are making a substantive contribution to degree-level teaching AND research in the TEO, AND have an FTE of 0.2 during the 12 months preceding the census date AND at least 1 FTE over the 5 years preceding the census date.

2.4 PBRF Key Redesign Issues – Panel Structure and Composition, and Subject Areas

Background

1. This section of the report deals with the recommendations of the SRG relating to the panel structure and composition and subject areas for the periodic Quality Evaluations conducted under the PBRF.
2. These recommendations arose out of issues that were identified in the Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, the deliberations of the SRG and sector feedback to the TEC during 2004.

Issues

3. A detailed Consultation Paper on the PBRF Panels and Subject Areas was prepared and made available to the tertiary education sector for feedback. Amongst other things, the paper noted that:
 - a. The number and subject area coverage of the panels was broadly appropriate;
 - b. There could be a case for splitting some of the larger panels, such as separating Law from the other subject areas covered by the HAL panel;
 - c. There could be a case for adding new subject areas where there is a growing and sufficient critical mass of research activity. In particular, the following options were considered:
 - The division of the Education subject area into 2 or more discrete subject areas
 - The references to the subject of 'surveying' in both the ETA and PHYS panels
 - The informal disaggregation of the Architecture, Design, Planning and Surveying subject area by the ETA panel
 - The late decision to include Pharmacy that was not reflected in EP software
 - The absence of a clearly defined home for 'property studies'
 - The view that there might be sufficient distinction between 'marketing and tourism' to warrant these being separate subjects
 - The multi- and interdisciplinary nature of environmental science and the absence of a clearly defined home for this either at a subject or panel level
 - d. There was a need for a clearer definition of subject area boundaries;
 - e. There was a need to ensure better representation of researchers from applied research and 'emerging' disciplines, and that adequate account is taken of possible conflicts of interest;

- f. There might be benefits in ensuring that rather than relying on specialist advice, that such expertise be reflected in panel membership; and
- g. There would be benefits in maintaining the inclusion of at least 25% membership by overseas-based experts.

Options Considered

- 4. The Consultation Paper on PBRF Panels and Subject Areas set out a number of options for addressing the concerns identified with regard to the matters noted above. These included:
 - a. The sub-division or regrouping of some of the peer review panels;
 - b. The disaggregation of several subject areas;
 - c. The establishment of new subject areas where appropriate;
 - d. The clarification of panel/subject area boundaries; and
 - e. An increase in overseas representation, the identification of gaps in subject-area expertise and equitable representation of basic and applied research.

Sector Feedback

- 5. There were 9 submissions received by the TEC on the Consultation Paper on Panels and Subject Areas. Broadly speaking, most submissions indicated that the number and scope of the 12 peer review panels was appropriate.
- 6. On the specific issues raised in the Consultation Paper:
 - a. There were mixed views for the division of the Education subject area;
 - b. There were mixed views on the establishment of a single 'home' for Geography;
 - c. There was support for improvements in the assessment of 'Pacific' research;
 - d. There was support for fuller information to guide staff in the selection of subject areas;
 - e. There were mixed views on the establishment of the new subject areas mentioned in the consultation paper;
 - f. There was support for an improved process for panel selection and the handling of EP transfers; and
 - g. There were mixed views on the various proposals for altering the composition of panels, eg overseas experts, applied researchers, etc.

Conclusions

7. The SRG considered that the number of Peer Review Panels (12) is appropriate, particularly in light of the implications of the 'partial' round for panel workloads. The SRG considered it important to enable the comparability of results between 2003 and 2006.
8. The SRG also agreed that no changes be made to the subject areas under which staff may be assessed. The SRG was concerned that any further disaggregation of subject areas would add to the risks that the results of individuals could be inferred. An analysis of the distribution of researchers in 'tourism' in the tertiary sector was conducted. This analysis indicated that for many TEOs, the number of researchers in this area were likely to fall below the recommended reporting threshold of 5 FTE staff (refer to the Key Redesign Issue: Reporting Framework).
9. The SRG was conscious of the need to maintain an appropriate balance of panellists with knowledge of applied and basic/fundamental research. The SRG was also concerned to ensure that there would be appropriate representation for subject areas. As a result, several recommendations have been made in relation to changes to the composition of panels.
10. The SRG took particular note of concerns about the transfer of EPs between Peer Review Panels. It was agreed that where this occurs, further advice should be sought. While the final allocation of EPs would remain the decision of the TEC, it was felt that this provision would enhance confidence in the assessment process.
11. The SRG considered that it would be desirable to ensure that the number of overseas panellists be raised to 25% (from 22% in 2003). This is intended to reduce conflicts of interest and to reflect the international standing of NZ research.
12. The SRG considered that it would be desirable to define better the role of the Pacific Advisory Group. This was particularly relevant to their role as specialist advisors on 'Pacific' research. It was agreed that establishing an option for researchers to indicate whether their research was 'Pacific' would be desirable.

Recommendations

- Twelve.** That there continue to be 12 multidisciplinary Peer Review Panels.
- Thirteen.** That the Pharmacy subject area be retained, and relevant staff be encouraged to nominate this as their subject area.
- Fourteen.** That there be no division of the Education subject area into two or more subject areas.
- Fifteen.** That there be no single subject area for Geography.
- Sixteen.** That there be no new subject area of Environmental Sciences, but that the composition of the relevant panels (especially Biological Sciences, Physical Sciences and Engineering, Technology and Architecture) be reviewed to ensure that the panels, together with identified specialist advisers, have the necessary expertise to assess Evidence Portfolios (EPs) in the area of Environmental Sciences.
- Seventeen.** That Tourism not be included as a reported subject area
- Eighteen.** That every effort be made to ensure that the panels, overall, have at least 25% of their membership drawn from overseas experts.
- Nineteen.** That every effort be made to ensure that each panel has an adequate range of subject-area expertise including, where relevant, an appropriate balance of people with knowledge of applied and practice-based research as well as basic, fundamental and strategic research.
- Twenty.** That wherever possible panels include at least two members with expertise in each of the reported subject areas for which they are responsible.
- Twenty-one.** That the gaps in disciplinary expertise identified in various panel reports and sector feedback be addressed.

PBRF Pacific Advisory Group

One hundred nineteen.

That the TEC reconvene the PBRF Pacific Advisory Group and invite this Group to review the guidelines on Pacific Research in the 2003 PBRF Guidelines and to comment on the draft PBRF Guidelines for the 2006 Quality Evaluation, including the Panel-Specific Guidelines.

One hundred twenty.

That there be a provision in EPs for staff to indicate whether their research is 'Pacific' research, as outlined in the PBRF Guidelines on Pacific Research.

2.5 PBRF Key Redesign Issues – Definition of Research

Background

1. This section of the report deals with the recommendations of the SRG relating to the PBRF definition of research.
2. Both the PBRF definition of research and its application by the peer review panels have prompted a variety of issues and concerns within the tertiary education sector (see, for instance, WEB Research, 2004, pp.24-5 pp.138-142). Some of these, not surprisingly, are similar in nature to the issues that have arisen in Britain in relation to the RAE (see HEFCE, 2003, p.33, p.63-4). For instance, in both countries there has been concern over the nature and application of the definition with respect to the creative and performing arts, practice-based and applicable (or applied) research, and the distinction between professional practice and research.
3. In relation to the PBRF definition of research, and its interpretation and application by the peer review panels, the following claims and criticisms have been made:
 - a. The PBRF definition inadvertently excluded a number of key words from the Australian commentary on the OECD definition of research (upon which the PBRF definition was partly based);
 - b. The PBRF definition departs from the NZQA definition in a number of respects, and in a manner that some believe disadvantages non-university TEOs;
 - c. The PBRF definition on its own does not give adequate recognition to Māori research and Pacific research;
 - d. The PBRF definition requires clarification and refinement in order to ensure that research can be more readily distinguished from activities that do not constitute research. For instance, the Creative and Performing Arts Panel encountered difficulties applying the PBRF definition to outputs of a creative or artistic nature;
 - e. The peer review panels applied the definition in a manner inconsistent with the PBRF Guidelines and, in particular, tended to give insufficient weight to applied research, 'non-traditional' (or non-mainstream) research outputs (such as performance), contributions to the intellectual infrastructure of subjects and disciplines (eg, dictionaries, translations and scholarly editions), New Zealand-oriented research, and research in the area of teacher education; and
 - f. The list of research outputs in the PBRF Guidelines is not sufficiently inclusive, and in some cases fails to distinguish adequately between quite distinct types of output.

Issues

4. A detailed Consultation Paper on the PBRF Definition of Research was prepared and made available to the tertiary education sector for feedback. Amongst other things, the paper noted that:
 - a. Certain words had indeed been inadvertently excluded from the PBRF definition when it was agreed by the PBRF Working Group in 2002;
 - b. The differences between the PBRF and NZQA definitions of research are relatively modest, and that there is little evidence to sustain the proposition that the PBRF definition discriminates against non-university TEOs;
 - c. There appears to be no specific issue with the PBRF definition of research in relation to Māori or Pacific Research. Nevertheless, it can be argued that certain types of research (and research outputs) may be more difficult to assess than other types of research (and research outputs) and may tend – perhaps partly for this reason – to be valued less highly by peer review panels. To the extent that Māori and Pacific researchers produce a higher proportion of these types of research (and research outputs) than other researchers then, other things being equal, they are likely to fare less well in a research assessment exercise like the Quality Evaluation;
 - d. In certain subject areas, such as those embraced within the creative and performing arts, there is no clear or agreed distinction between ‘practice’ (routine, exemplary or otherwise) and ‘research’. Indeed, in some disciplinary areas, it might be contended that practice (such as painting, composing, designing or creative writing) serves as the very medium for research (and the production of research outputs) rather than being a distinct activity from research. Viewed from this perspective, the question is not whether an activity (or output) is ‘practice’ or ‘research’, for the two may well be indistinguishable, but whether the practice is excellent or mundane, exemplary or mediocre;
 - e. A case can be made for changing the PBRF definition of research to ensure that appropriate recognition is given to the kind of “original investigation” undertaken by researchers in the creative and performing arts. At the same time, there appears to be no compelling case for major definitional changes; and
 - f. The concerns raised about the possible inequitable treatment of applicable (or applied) and practice-based research, non-traditional research outputs (such as performance) and contributions to the intellectual infrastructure of disciplines are very similar to the concerns that have been raised in Britain with respect to the RAE. An added concern in regard to the PBRF is the perception that New Zealand-oriented research received less favourable treatment than other types of research. It is very difficult to ascertain whether, and to what extent, research of this nature was undervalued by the Peer Review Panels in 2003. Nevertheless, to the extent that such research was valued less highly, a possible reason may have to do with the fact that the quality of

some types of research (and research output) is more difficult to assess than other types of research (and research outputs). For instance, certain types of research outputs are subject to non-standard (and possibly less stringent forms of quality assurance), and their impact (including relevance, utility, etc.) can be much harder to assess. The SRG was mindful that any possible undervaluing of applicable, practice-based, and New Zealand-oriented research could have damaging consequences for these types of research, with potentially deleterious economic, social and cultural consequences.

Options Considered

5. The Consultation Paper on the PBRF Definition of Research set out a number of options for addressing the concerns identified with regard to the matters noted above. These included:
 - a. A number of specific, essentially minor changes to the PBRF definition of research (see below);
 - b. The inclusion of more detailed guidance in the PBRF Guidelines concerning the application of the definition of research in areas like the creative and performing arts;
 - c. A requirement for all panels to specify in their panel-specific guidelines the characteristics of excellence for applicable and practice-based research (including the appropriate indicators for assessing the impact of such research) in the subject areas for which they are responsible;
 - d. Greater emphasis in the PBRF Guidelines on the principle that all practice-based research (and the outputs of such research) is to be treated equitably with other types of research (and research outputs);
 - e. Provision for more information in the 'commentary' fields of EPs with respect to the quality of the (up to) four NROs;
 - f. Provision for staff members to indicate, where appropriate, in the relevant 'commentary' field how each NRO embodies research, as defined by the PBRF;
 - g. Provision for staff members, in certain circumstances, to provide a brief oral commentary (eg via a taped message or electronically-recorded statement) on the research content and significance of one or more of their NROs;
 - h. Provision for staff members to provide oral attestations from others on the research content and significance of one or more of their NROs;
 - i. Changes to the list of research outputs; and
 - j. A requirement for panels to address certain specific concerns, as well as more detailed guidance on the criteria they will use for assessing research quality.

Sector Feedback

6. There were 14 submissions received by the TEC on the Consultation Paper on the Definition of Research. Broadly speaking, most submissions indicated that the definition in the 2003 PBRF Guidelines is generally acceptable, but concerns were raised about how the definition has been interpreted and applied by panels, particularly in relation to practice-based research (eg in the creative and performing arts). Submissions noted the desirability of having a definition that is broadly consistent with international definitions and of avoiding changes that might create additional difficulties. The problems of distinguishing between 'professional practice' and 'research' in some disciplines were noted, and there was support for the proposition that the PBRF Guidelines (including the panel-specific guidelines) seek to clarify such matters (to the extent that this is possible).
7. On the specific issues raised in the Consultation Paper:
 - a. There was general support for the proposal to amend the definition to include the words inadvertently excluded (from the proposed definition in the Report of the PBRF Working Group), but with the removal of the word "including" (since its inclusion would imply that other activities might also be excluded);
 - b. There were objections to the inclusion of the words "cultural development" in the definition because of concerns over the multiple meanings of the word "development";
 - c. There was support for the need to clarify the exclusion relating to "routine professional practice";
 - d. There was support for more detailed guidance on the meaning and application of the definition in panel-specific guidelines, particularly the guidelines relation to the creative and performing arts;
 - e. There was support for the panels being required to provide more detailed guidance on the characteristics of excellence for applicable and practice-based research and the indicators for assessing impact;
 - f. There was a mixed response to the idea of enabling researchers to provide oral commentaries and oral attestations;
 - g. There was support for EPs providing greater scope for researchers to comment on the quality of their NROs; and
 - h. There was support for researchers being encouraged, where relevant, to comment on how each NRO embodies research, on the condition that such comments be optional.
8. In addition to the feedback on the proposals canvassed in the Consultation Paper on the Definition of Research, various other issues and concerns were raised by submitters. These included:
 - a. A request for more precise guidance on the types of research outputs and activities that can be included (and not included);

- b. A request that there be a separate panel to address research in the area of Teacher Education (refer to the section of this report dealing with panels); and
- c. A request for specific guidance on translation as a research activity.

Conclusions

- 9. The SRG considered the sector feedback and deliberated on the matters raised. The lack of support for the addition of the words “cultural development” to the definition prompted members of the SRG to consider other possible wording changes. As a result of this process, which included further consultations with researchers both in New Zealand and overseas, the SRG decided against the inclusion of the words “cultural development”. As an alternative, the words “cultural innovation and aesthetic refinement” were considered and agreed.

Recommendations

Thirty-one. That the PBRF definition of research be modified as follows:

The following activities are excluded from the definition of research except where they are used primarily for the support, or as part, of research and experimental development activities...

Note: That the word “including” after “activities” (which appears in the Australian commentary on the OECD definition) was excluded because its inclusion would imply that other activities might also be excluded.

Thirty-two. That first sentence of the PBRF definition of research be amended so that it reads:

For the purposes of the PBRF, research is original investigation undertaken in order to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement.

Thirty-three. That the second sentence of the PBRF definition of research be amended so that it reads:

It typically involves enquiry of an experimental or critical nature driven by hypotheses or intellectual positions capable of rigorous assessment by experts in a given discipline.

Thirty-four. That the fifth sentence of the PBRF definition of research be amended so that it reads:

In some disciplines, the investigation and its results may be embodied in the form of artistic works, designs or performances.

Thirty-five. That the words “that does not comply with the definition” be added to the last statement in the list of exclusions.

The revised PBRF definition of research now reads as follows:

For the purposes of the PBRF, research is original investigation undertaken in order to contribute to knowledge and understanding and, in the case of some disciplines, cultural innovation or aesthetic refinement. It typically involves enquiry of an experimental or critical nature driven by hypotheses or intellectual positions capable of rigorous assessment by experts in a given discipline. It is an independent, creative, cumulative and often long-term activity conducted by people with specialist knowledge about the theories, methods and information concerning their field of enquiry. Its findings must be open to scrutiny and formal evaluation by others in the field, and this may be achieved through publication or public presentation. In some disciplines, the investigation and its results may be embodied in the form of artistic works, designs or performances. Research includes contribution to the intellectual infrastructure of subjects and disciplines (eg, dictionaries and scholarly editions). It also includes the experimental development of design or construction solutions, as well as investigation that leads to new or substantially improved materials, devices, products or processes.*

The following activities are excluded from the definition of research except where they are used primarily for the support, or as part, of research and experimental development activities:

- *Preparation for teaching*
- *The provision of advice or opinion, except where it is consistent with the definition of research*
- *Scientific and technical information services*
- *General purpose or routine data collection*
- *Standardisation and routine testing (but not including standards development)*
- *Feasibility studies (except into research and experimental development projects)*
- *Specialised routine medical care*
- *The commercial, legal and administrative aspects of patenting, copyrighting or licensing activities*
- *Routine computer programming, systems work or software maintenance (but note that research into and experimental*

development of, for example, applications software, new programming languages and new operating systems is included)

- *Any other routine professional practice (eg, in arts, law, architecture or business) that does not comply with the definition.***

Notes:

- * *The term 'independent' here should not be construed so as to exclude collaborative work.*
- ** *Clinical trials, evaluations and similar activities will be included, where they are consistent with the definition of research.*

2.6 PBRF Key Redesign Issues – Assessment Framework

Background

1. This section of the report deals with the recommendations of the SRG relating to the assessment framework for the 2006 Quality Evaluation. As noted in Chapter 2, the Phase I Evaluation of the PBRF, together with sector feedback, indicated that there were some significant concerns about aspects of the assessment framework used in 2003.

Issues

2. A detailed Consultation Paper on the PBRF Assessment Framework was prepared and made available to the tertiary education sector for feedback. Amongst other things, the paper noted that:
 - a. There were significant compliance costs associated with the dual assessment regime used as part of the 2003 Quality Evaluation;
 - b. There were concerns that the assessment framework discriminated against particular categories of researcher, such as women, Māori, Pacific and new researchers, and academic staff with major clinical commitments;
 - c. There were questions about the appropriateness of the number and labelling of the Quality Categories;
 - d. There were concerns about the methods used to by panels to determine Quality Categories, such as the number and weighting of the components, the tie points and descriptors and the criteria for guiding the holistic assessment stage of the process;
 - e. There were concerns about fairness and consistency in the application of the special circumstances provision;
 - f. There were concerns about the length of the assessment period, the relative weight given to Nominated Research Outputs (NROs), the assessment of joint research and the maximum number of outputs permitted under the Research Output (RO) component;
 - g. There were concerns that the Peer Esteem (PE) and Contribution to the Research Environment (CRE) components may not have been adequately distinguished;
 - h. There were concerns that the panel specific guidelines were insufficiently detailed in some cases;
 - i. There was a question over whether the Quality Categories assigned to staff in 2003 should be made available to panels in 2006;
 - j. There were concerns over the process for assessing the EPs of panel members;

- k. There were concerns over whether the moderation process sufficiently ensured intra- and inter-panel consistency and whether additional moderators should be appointed; and
- l. There were concerns over the merits of introducing a 'fast-track' option for the assignment of a "C" Quality Category.

Options Considered

3. The SRG considered a wide range of options for addressing the issues raised with respect to the assessment framework. Particular attention was given to the following matters:
 - a. The desirability of reducing the compliance costs associated with Quality Evaluations;
 - b. The desirability of enhancing the fairness of the assessment framework, especially in relation to the assessment of new and emerging researchers and those for whom special circumstances apply (eg part-time staff);
 - c. The desirability of ensuring that all types of research outputs (including applied and practice-based outputs) were assessed in a consistent and equitable manner;
 - d. The desirability of enabling inter-temporal comparisons, and thus avoiding changes that would make it difficult, if not impossible, to compare the results of the 2003 and 2006 Quality Evaluations;
 - e. The desirability of enhancing the holistic aspect of the assessment process;
 - f. The desirability of clarifying the meaning of key terms and assessment criteria; and
 - g. The desirability of emphasising the quality, rather than the quantity, of research outputs.
4. In relation to the issue of reducing compliance costs, the SRG noted the high costs associated with the dual nature of the assessment framework adopted in 2003, under which there were separate evaluations of EPs by each participating TEO and the TEC's peer review panels. While acknowledging that the dual assessment process had certain advantages, especially given the fact that the 2003 Quality Evaluation was the first of its kind in New Zealand, the SRG considered that there should be no requirement in 2006 for participating TEOs to assess the EPs of all their PBRF-eligible staff and assign each EP a Quality Category, all the more so given the intention to conduct the round on a 'partial' basis. At the same time, under the proposed partial round, participating TEOs would be required, as in 2003, to determine which EPs were likely to receive a funded Quality Category and thus needed to be forwarded to the TEC for external assessment. In effect, therefore, an element of the dual

assessment regime would be retained for the 2006 round, but the compliance costs would be much lower than in 2003.

5. On the issue of special circumstances, the SRG noted that the application of the relevant provisions in the PBRF guidelines in 2003 had been hampered by the fact that many EPs lacked some or all of the information needed by the panels to enable them to make fair and consistent assessments. This was partly due to weaknesses in the relevant guidelines. An additional problem was the fact that the special circumstances provision applied only to the assessment of the RO component of EPs, and not to the PE and CRE components. Matters were compounded by the fact that close to 75% of all the EPs submitted to the TEC claimed that the volume of research output had been affected by special circumstances. The SRG considered a number of options for addressing these issues, including various changes to the PBRF guidelines, additional guidance to the panels on the application of the special circumstances provision and a more active role for the Moderation panel.
6. The need to devise an improved approach for assessing new and emerging researchers was recognized by all those involved in the redesign process as a pivotal issue. The SRG devoted a good deal of attention to this matter. Key considerations included: the need for clear definitions of 'new' and 'emerging'; the desirability of assessing the performance of new and emerging researchers primarily on the basis of their research output, with little if any weight being given to the PE and CRE components; the need for clear guidance to the panels on the quality and quantity of research output that would be expected for a new or emerging researcher to receive a funded Quality Category; and the need for new and emerging researchers who satisfied these criteria to receive funding comparable to that associated with a "C" Quality Category.
7. On the issue of the fast-track option (to a "C" Quality Category) recommended by the PBRF Working Group in 2002: the SRG noted that this proposal had been put on hold in 2003 because of the limited potential of the fast-track to secure cost savings, coupled with the potential for unfair treatment of staff. In reviewing whether this option should be activated for the 2006 Quality Evaluation, the SRG noted a variety of possible drawbacks, including: the fact that the proposed fast-track option was not consistent with the holistic assessment framework; the problematic nature of the threshold criteria; the likelihood that any threshold criteria would favour certain disciplines and types of research activity; and the need for any fast-tracking to be properly monitored and audited (which would increase compliance and administrative costs). Given the risks associated with the fast-track option, the limited potential for significant savings and the proposals for assessing new and emerging researchers in a different way, the SRG saw little value in proceeding with the fast-track option for the 2006 round.

8. The Consultation Paper on the Assessment Framework set out a variety of options and proposals for addressing the concerns identified above. These included:
- a. The simplification of the dual assessment regime, with no requirement for TEOs to assign a nominated Quality Category to all their PBRF-eligible staff;
 - b. Changes to enhance the application and interpretation of the special circumstances provision;
 - c. Provision for the specific recognition of new and emerging researchers, with a different (and possibly optional) assessment route;
 - d. Possible changes to the number of and labelling applied to Quality Categories;
 - e. A sharper distinction between the content of the PE and CRE components or, alternatively, the combining of these two components;
 - f. Strengthening of the principle of assigning Quality Categories on the basis of holistic judgements;
 - g. The removal of the 'additional' rules in relation to Quality Category "C";
 - h. The replacement of the eight-step scoring system used in 2003 with an eleven-step scoring system;
 - i. The reduction of the number of research outputs that can be listed in EPs from 54 to 34;
 - j. An increase in the proportion of NROs that panel members are required to examine;
 - k. A requirement for panels to develop more explicit and detailed panel-specific guidelines;
 - l. The automatic release of component scores to individual staff;
 - m. The provision of information to the 2006 panels concerning the Quality Categories assigned in 2003, but only at the very end of the panel meetings; and
 - n. The possible introduction of a fast-track option for new and emerging researchers only.

Sector Feedback

9. There were 10 submissions received by the TEC on the Consultation Paper on the Assessment Framework. Broadly speaking, the sector was concerned that there was insufficient information regarding the impact of the assessment regime on women, Māori and Pacific researchers. The sector was hopeful that the Phase II evaluation of the PBRF would investigate these impacts more thoroughly.

10. On the specific issues raised in the Consultation Paper:

- a. There was support for a simplification of the dual assessment regime;
- b. There was general support for the proposals to improve the application of the special circumstances provision;
- c. There was general support for the establishment of a separate Quality Category for new and emerging researchers with funding attached, with staff having the option to select their assessment route;
- d. There was little support for changes to the number of, and labelling applied to, Quality Categories, except for the introduction of a separate Quality Category for new and emerging researchers;
- e. There were mixed views on the proposal to combine the PE and CRE components;
- f. There was little support for changing the weightings of the three components of an EP;
- g. There was support for the development of criteria and definitions for the Quality Categories;
- h. There was support for the strengthening of the principle of assigning Quality Categories on the basis of holistic judgements;
- i. There was some support for the modification of the 'additional' rules in relation to Quality Category "C"
- j. There were mixed views on the introduction of an eleven-step scoring system;
- k. There were mixed views on the proposal to clarify the meaning of the various terms used as part of the Quality Evaluation such as 'world class', 'quality assured', etc;
- l. There was support for the reduction of the number of research outputs from 54 to 34;
- m. There was support for the proposal to require peer review panel members to read more NROs (ie more than the previous 10% minima);
- n. There was support for the requirement for peer review panels to develop more explicit and detailed panel-specific guidelines;
- o. There were mixed views on the automatic release of component scores to individual staff with some submissions indicating that this information should not be made available to TEOs;
- p. There were mixed views on the proposal to require peer review panels to confirm all component scores although it was noted that this was dependent on the holistic judgement of Quality Categories;
- q. There were mixed views on the release of Quality Categories assigned as part of the 2003 Quality Evaluation being made available to peer review panels at the very end of the 2006 panel meetings; and
- r. There was support for the introduction of a 'fast-track' option for new and emerging researchers only.

Conclusions

11. The SRG's recommendations with respect to the 'partial' round in 2006, and their subsequent acceptance by the PBRF Steering Group, mean that the dual assessment process that applied in 2003 will not be repeated in 2006. In short, TEOs will not be required to nominate Quality Categories for the EPs submitted to the TEC for assessment by peer review panels. Instead, they will only be required to determine which EPs (of those prepared by their staff) are likely to achieve a funded Quality Category and thus need to be submitted to the TEC. The revised process should significantly reduce the compliance costs associated with the 2006 Quality Evaluation relative to those incurred in 2003.
12. The SRG strongly favoured the introduction of a separate Quality Category for new and emerging researchers ("C(NE)"). However, there was considerable discussion regarding the criteria that should apply to determine which staff members should be eligible to be considered for the separate Quality Category. In the event, the SRG was unable to reach unanimity on this matter. The majority of the SRG are of the view that the appropriate criteria should include those appointed to their first PBRF-eligible position on or after 1 January 2000 and those who have had their conditions of employment changed on or after 1 January 2000 to include a requirement to undertake research or degree-level teaching (ie for the first time in their career). A minority of the SRG are of the view that the criteria should exclude those whose conditions of employment changed on or after 1 January 2000 to include a requirement to undertake research or degree-level teaching (ie for the first time in their career). Under either approach, TEOs would need to provide additional information as part of the PBRF census (staffing return).
13. Under the SRG's proposals, staff members who meet the criteria for being 'new' or 'emerging' will need to complete their EPs in the normal way. This will include completing all three components – RO, PE and CRE. However, new and emerging researchers will be able to achieve a "C(NE)" Quality Category solely on the basis of the evidence in their RO component. The SRG is of the view that the criteria for securing a "C(NE)" (ie for those who are eligible) should be as follows:
 - a. The successful completion of a doctoral degree or equivalent during the assessment period for the Quality Evaluation AND
 - b. Research outputs of an adequate quality and quantity, bearing in mind the time period during which the staff member has been PBRF-eligible. A minimum of two quality assured research outputs would normally be expected.OR
 - c. Research outputs equivalent to (a) AND (b).

New and emerging researchers will, if they meet the quality standards in question, be eligible to achieve a higher Quality Category (ie “A” or “B”).

14. While there were mixed views in the sector on the funding that should be associated with the “C(NE)” Quality Category, the SRG concluded that, on balance, it would be desirable to attach a funding weight of 1 (ie the same for a “C” Quality Category).
15. The SRG considered that there were not sufficient reasons for considering a change to the labels applied to the Quality Categories. It was considered that the undesirable associations of the “R” Quality Category would not necessarily be lessened by any other labelling convention.
16. With regard to the special circumstances provision, the SRG concluded that there was no case for changing the eligibility criteria. However, in order to ensure that the provision can be administered fairly and consistently by the peer review panels, the SRG is recommending certain changes to the PBRF guidelines, including those relating to the nature of the information collected in the special circumstances field of EPs. Additionally, the SRG is recommending that panels be requested to take a number of considerations into account when applying the special circumstances provision, including:
 - a. The length of time, and the proportion of the assessment period, over which the special circumstances applied and
 - b. The magnitude or seriousness of the special circumstances and the likely impact of these on the research activities of the staff member concerned.
17. While the SRG is proposing that many of the key features of the assessment framework remain unchanged for the 2006 round (including the scoring system, the weighting of the three components and the absence of a fast-track option), it is recommending that the maximum number of research outputs that can be listed be reduced from 54 to 34 and that the guidelines give greater emphasis to the principle that all practice-based research (and the outputs of such research) should be treated fairly with respect to other types of research (and research outputs).
18. Strengthening the principle of holistic assessment is viewed by the SRG as central to improving the assessment framework. Accordingly, the SRG is proposing that additional guidance be given to the peer review panels on the criteria to consider in applying the principle of holistic assessment. The proposed criteria will require panels to consider special circumstances at the holistic stage, as well as earlier in the assessment process.
19. In light of difficulties experienced by some peer review panels in assessing particular types of research outputs, the SRG considered that it would be useful to disaggregate certain categories of research output.

20. The SRG considered it important that the guidelines on the completion of commentaries on NROs should be strengthened. This would enable staff to provide more useful and detailed information to peer review panels on the quality of NROs.

Recommendations

Labelling and Definitions of Quality Categories

- Six.** That the current alphabetical labelling of Quality Categories be retained for the 2006 round with the additional two new Quality Categories – “C(NE)” and “R(NE)” – but that the labelling of Quality Categories be reviewed before the next round.
- Seven.** That brief descriptions for the Quality Categories “A”, “B”, “C”, “C(NE)” and “R” (or “R(NE)”) be developed, in consultation with the Moderators
- Eight.** That the PBRF Guidelines include the following brief descriptions of the six Quality Categories:

Quality Category “A”: To be assigned an “A” for her/his Evidence Portfolio (EP) it would normally be expected that the staff member has, during the assessment period in question, produced research outputs of a world-class standard, established a high level of peer recognition and esteem within the relevant subject area of his/her research and made a significant contribution to the New Zealand and/or international research environments.

Quality Category “B”: To be assigned a “B” for her/his EP it would normally be expected that the staff member has, during the assessment period in question, produced research outputs of a high quality, acquired recognition by peers for her/his research at least at a national level, and made a contribution to the research environment beyond her/his institution and/or a significant contribution within her/his institution.

Quality Category “C”: To be assigned a “C” for her/his EP it would normally be expected that the staff member has, during the assessment period in question, produced a reasonable quantity of quality-assured research outputs, acquired some peer recognition for her/his research and made a contribution to the research environment within her/his institution.

Quality Category “C(NE)”: To be assigned a “C(NE)” for her/his EP a new or emerging researcher would normally be expected, during the assessment period in question, to have produced a reasonable platform of research, as evidenced by having: a) completed her/his doctorate or equivalent qualification, AND b) produced at least two

quality-assured research outputs; OR c) produced research outputs equivalent to a) AND b).

Quality Category “R” or “R(NE)”: An “R” (or “R(NE)”) will be assigned to an Evidence Portfolio that does not demonstrate the quality standard required for a “C” Quality Category or higher or, in the case of a new or emerging researcher, the standard required for a “C(NE)” Quality Category or higher.

Dual Assessment

- Thirty-six.** That there be no requirement for TEOs to undertake a full internal assessment and assign Quality Categories to the EPs of their PBRF-eligible staff, but that TEOs nonetheless be required to determine which of the EPs prepared by their staff are submitted to the TEC for assessment.

Special Circumstances

- Thirty-seven.** That there be no changes to the criteria for claiming special circumstances, as outlined in the 2003 PBRF Guidelines (p.79)
- Thirty-eight.** That when special circumstances are considered, they be applied to the Peer Esteem (PE) and Contribution to the Research Environment (CRE) components as well as the Research Output (RO) component of EPs.
- Thirty-nine.** That the special circumstances provision be applied to the assessment of the quantity of research outputs and other aspects of research activity rather than to the assessment of the quality of research outputs and activities.
- Forty.** That the format of EPs be amended to ensure that staff members are encouraged to provide the information relevant to the application of the special circumstances provision (ie where special circumstances are being claimed).
- Forty-one.** That in using the information provided in the special circumstances field of EPs to inform their assessment, panels be requested to take a number of considerations into account, including:
- a. The length of time, and the proportion of the assessment period, over which the special circumstances applied; and
 - b. The magnitude or seriousness of the special circumstances and the likely impact of these on the research activities of the staff member concerned.
- Forty-two.** That the Moderators monitor and review the application of the special circumstances provision by panels.

New and Emerging Researchers

- Forty-three.** That two new Quality Categories be established for new and emerging researchers – “C(NE)” and “R(NE)”.
- Forty-four.** That apart from the addition of new Quality Categories for new and emerging researchers there be no change to the number of Quality Categories for the 2006 Quality Evaluation.
- Forty-five.** That those assigned the new Quality Category “C(NE)” receive the same funding as those assigned a “C.”
- Forty-six.** That eligibility to be considered for the Quality Categories “C(NE)” and “R(NE)” be defined for the purposes of the 2006 Quality Evaluation as:
- A person who meets the PBRF staff-eligibility requirements on the date of the PBRF census (staffing return) for the 2006 Quality Evaluation and who was first appointed to a PBRF-eligible or equivalent position (whether in New Zealand or overseas, and whether in a TEO or non-TEO) on or after 1 January 2000. This would include a first appointment as, for example, Assistant Lecturer or Lecturer or as a Postdoctoral Fellow, but would not include a short-term position or positions (ie of less than 12 months) as, for instance, a research assistant or tutor.

AND/OR

- A person who meets the PBRF staff-eligibility requirements on the date of the PBRF census (staffing return) for the 2006 Quality Evaluation and who has had his/her conditions of employment changed on or after 1 January 2000 to include a requirement to undertake research or degree-level teaching (ie for the first time in his/her career). (Majority view)

Note: A minority view that clause (b) should not be applied was recorded.

- Forty-seven.** That TEOs be required to indicate as part of the PBRF census (staffing return) whether a staff member meets the eligibility test for participation in the new Quality Categories “C(NE)” and “R(NE)”.
- Forty-eight.** That the following data be collected through the PBRF census (staffing return) and presented on EPs for all staff who meet the criteria in Recommendation 46:
- Eligibility to be considered for the new Quality Categories (ie YES/NO);
 - Date of first academic appointment (ie at any degree-granting and/or research organisation anywhere in the world);

- Date of highest degree enrolment and completion; and
- If relevant, the date on which their employment contract changed to include a requirement to undertake research or degree-level teaching (ie for the first time in his/her career).

Forty-nine. That TEOs have the responsibility of determining whether staff members meet the eligibility criteria in Recommendation 46.

Fifty. That in order for an eligible staff member to secure the new Quality Category “C(NE)”, evidence will need to be provided that includes at least the following:

- a. The successful completion of a doctoral degree or equivalent during the assessment period for the Quality Evaluation; AND
- b. Research outputs of an adequate quality and quantity, bearing in mind the time period during which the staff member has been PBRF-eligible. A minimum of two quality assured research outputs would normally be expected;

OR

- c. Research outputs equivalent to (a) AND (b).

Fifty-one. That all PBRF-eligible staff members, including those who satisfy the criteria in Recommendation 46, be eligible for consideration under the provisions of the special circumstances criteria.

Fifty-two. That in the case of staff who satisfy the criteria in Recommendation 46, panels be able to award the following Quality Categories: “A”, “B”, “C(NE)” and “R(NE)”, and that in the case of staff who do not satisfy the criteria in Recommendation 46, panels be able to award the following Quality Categories: “A”, “B”, “C” and “R.”

Fifty-three. That all staff, including those who satisfy the criteria in Recommendation 46, be encouraged to complete the PE and CRE sections of their EPs.

Fifty-four. That the new Quality Category “C(NE)” be included in the reporting framework with a weighting of 1, with the new Quality Category “R(NE)” being weighted 0.

Assessment Criteria

Fifty-five. That the three components of EPs be retained and that the PE and CRE components not be more sharply delineated.

Fifty-six. That the current weightings of the three components (RO = 70%; PE = 15%; and CRE = 15%) be retained.

- Fifty-seven.** That the ‘additional rules’ that apply to the “C” Quality Category be retained.
- Fifty-eight.** That there be no ‘fast-track’ to a “C” Quality Category.
- Fifty-nine.** That the current 8-step (0-7) scoring system be retained for the 2006 Quality Evaluation, but that the scoring system be reviewed prior to the next Quality Evaluation.
- Sixty.** That further guidance be provided to panels in the PBRF Guidelines to ensure the consistent use of key terms such as ‘world class’, ‘quality assured’ and ‘assessment period’.
- Sixty-one.** That the maximum number of ‘other’ research outputs that can be listed in EPs be reduced from 50 to 30.
- Sixty-two.** That staff members be given the opportunity in 2006, as in 2003, to record appropriate details of their citations in their EPs under the PE component
- Sixty-three.** That staff members be invited to provide an interpretation of any citation data included in their EPs.
- Sixty-four.** That panels be reminded that citation data needs to be interpreted with appropriate care.
- Sixty-five.** That additional emphasis be given in the PBRF Guidelines to the principle that all practice-based research (and the outputs of such research) is to be treated fairly with respect to other types of research (and research outputs.).)

Holistic Assessment

- Sixty-six.** That the principle of holistic assessment be retained and strengthened.
- Sixty-seven.** That special circumstances must be considered at specific stages during the assessment process, including at the holistic assessment stage.
- Sixty-eight.** That in making a holistic assessment of an EP panels be required to take into account the following considerations:
- a. Whether special circumstances apply and, if so, whether the circumstances in question are sufficient to affect which Quality Category should be assigned to the EP;
 - b. Whether the EP is eligible for the assignment of a “C(NE) or “R(NE)”;

- c. The fact that the eight-step scoring system does not facilitate the use of fractional scores;
- d. The potential for the PE and CRE component scores to be influenced by the placement in EPs of particular types of information;
- e. Whether the evidence in the PE component is congruent with the judgements made about the appropriate score for the RO component; and
- f. Which of the available Quality Categories is most appropriate taking all relevant factors into consideration.

Sixty-nine. That panels be required to confirm all component scores, but that there be no requirement for the component scores and Quality Category to be in agreement if the holistic assessment of an EP produces a different result.

Research Outputs

Seventy. That the list of research outputs in the PBRF Guidelines be amended as follows:

- a. 'Conference contributions' be disaggregated into the following categories: 'abstract', 'full conference paper', 'conference paper in published proceedings', 'poster presentation', 'oral presentation' and 'other'.
- b. Masters or doctoral thesis be disaggregated into: 'awarded doctoral thesis' and 'awarded research masters thesis'.
- c. New research output categories be added for 'monographs', 'working papers', 'discussion papers' and 'technical reports'.

The implications of this recommendation in terms of the revised list of types of research outputs would be as follows:

- Artefact/Object/Craftwork
- Authored book
- Awarded doctoral thesis
- Awarded research masters thesis
- Chapter in book
- Commissioned report for external body
- Composition
- Conference contribution:
 - abstract
 - conference paper
 - paper published on proceedings
 - poster
 - oral presentation
 - other

- Confidential report for external body
- Discussion paper
- Design output
- Edited book
- Exhibition
- Film/Video
- Intellectual property (eg patent, trademark)
- Journal article
- Monograph
- Oral presentation
- Performance
- Scholarly edition
- Software
- Technical report
- Working paper
- Other form of assessable output, including but not limited to new materials, structures, devices, images, products, buildings, food products and processes, internet publication, published geological and/or geomorphological maps and explanatory texts.

Nominated Research Outputs

- Seventy-one.** That the guidelines relating to the completion of commentaries on nominated research outputs (NROs) be revised, and that staff members be encouraged to provide more details concerning the nature and significance of each NRO.
- Seventy-two.** That in addition to remarks about the *quality* of each NRO, staff also be invited to indicate (where relevant) *how each NRO embodies research*, as defined by the PBRF.
- Seventy-three.** That the character limits in EPs relating to the commentaries on NROs be increased.
- Seventy-four.** That the SRG recommends that before the Quality Evaluation planned for 2012 further feedback from the sector be sought on the possibility that provision be made for staff members, in certain circumstances, to provide a brief oral commentary (eg via a taped message or electronically-recorded statement) on the research content and significance of one or more of their NROs.
- Seventy-five.** That the SRG recommends that before the Quality Evaluation planned for 2012 further feedback be sought from the sector on the possibility that provision be made for staff members, in certain circumstances, to provide oral attestations (eg via a taped message or electronically-recorded statement) from

others on the research content and significance of one or more of their NROs.

- Seventy-six.** That panels be required to sample a minimum of 15% of NROs (instead of 10%), and that panels be permitted to set higher minima in their Panel-Specific Guidelines if they wish.

Panel Access to 2003 Data

- Seventy-seven.** That panels be given access to 2003 Quality Evaluation data only in the final stages of the assessment process, and only after they have conducted a holistic assessment of all EPs.

Panel Processes

- Seventy-eight.** That the Project Manager for the 2006 Quality Evaluation, in consultation with the Moderators and Panel Chairs, review all aspects of panel processes, including logistical matters, by the end of 2005 so that any issues requiring attention are identified and are able to be addressed well before the commencement of the 2006 Quality Evaluation.

Panel-Specific Guidelines

One hundred twelve.

That each panel be required to review its Panel-Specific Guidelines and address the following questions:

- Whether the panel's description of the panel's coverage is accurate and adequate;
- Whether the panel needs to provide additional information in regard to its general expectations concerning the standard of evidence to be supplied;
- Whether the definition of research requires elaboration and interpretation, including how the panel will distinguish between routine professional practice and professional practice that constitutes research;
- Whether there are any additional types of research output that it would be desirable to identify (ie outputs that are not explicitly listed in the general PBRF Guidelines);
- Whether the descriptors and tie points for the RO component need to be elaborated and interpreted;
- Whether the descriptors and tie points for the PE component need to be elaborated and interpreted;
- Whether the descriptors and tie points for the CRE component need to be elaborated and interpreted;

- Whether the panel wishes to comment on how it will interpret the special circumstances provision;
- Whether the panel wishes to offer additional guidance as to how it will interpret 'world class';
- Whether the panel wishes to offer additional guidance as to how it will assess the impact of research;
- Whether the panel wishes to offer additional guidance on how it will assess the quality of non-standard, non-quality-assured, and jointly produced research outputs, including such items as works of synthesis;
- Whether the panel wishes to commit itself to sampling more than 15% of the nominated research outputs in the EPs for which it is responsible; and
- Whether the panel wishes to elaborate on the circumstances under which it will utilise specialist advisers.

One hundred thirteen.

That each panel be asked to identify and specify in their Panel-Specific Guidelines:

- a. The characteristics of excellence for applicable and practice-based research in the subject areas for which they are responsible, and
- b. The appropriate indicators for assessing the impact of applicable and practice-based research in the subject areas for which they are responsible.

One hundred fourteen.

That each panel be asked, in reviewing its Panel-Specific Guidelines, to consider any relevant feedback received from the sector, the recommendations in the Report of the Moderation Panel to the TEC on the 2003 Quality Evaluation (2004), the material included in the panel's report to the TEC on the 2003 Quality Evaluation, the findings of the WEB Research evaluation of the 2003 Quality Evaluation, and the guidelines and criteria developed by the relevant panels responsible for research assessment in the British RAE.

One hundred fifteen.

That each panel be asked, in reviewing its Panel-Specific Guidelines, to have regard to the points raised in paragraph 87 of the Consultation Paper on the Definition of Research.

2.7 PBRF Key Redesign Issues – Moderation Process

Background

1. This section of the report deals with the recommendations of the SRG relating to the moderation process for the 2006 Quality Evaluation.
2. It was recognised early in the development of the PBRF that sector confidence in the results of Quality Evaluations would depend on there being a credible and robust process for assessing EPs and a consistent application of the assessment criteria and quality standards by the peer review panels. In order to ensure that the panels operated appropriately and applied the assessment framework in a consistent fashion, it was decided to establish various moderation procedures. Of particular importance in this regard was the establishment of a Moderation Panel. This panel comprised the twelve peer review panel chairs, and was chaired by an independent person of high standing in the academic community, Professor Paul Callaghan.
3. The nature of the moderation process during the 2003 Quality Evaluation is outlined in the Report of the Moderation Panel to the TEC (26 January 2004). In brief, the process entailed:
 - a. The establishment of a Moderation Secretariat to assist the Chair of the Moderation Panel and to provide relevant statistical information, analysis and issues papers during the course of the assessment process;
 - b. Three meetings of the full Moderation Panel: the first in March 2003 to review the proposed assessment framework, the second, in mid-November (just prior to the commencement of panel meetings) to consider the results of the preliminary assignment of component scores by panel assessors, together with the preliminary Quality Categories (based on these scores), and the third, in mid-December to review the results of the panel meetings and consider whether there were any intra- or inter-panel inconsistencies that might warrant further action;
 - c. The use of a variety of techniques to ensure a high level of intra- and inter-panel consistency. These included:
 - Examination (at the November meeting) of about 20 Evidence Portfolios (EPs) selected by panel chairs with the aim of establishing broad agreement on such issues as the application of the special circumstances provision and the determination of tie-points between the four Quality Categories (ie the appropriate A/B, B/C and C/R boundaries);
 - Consideration of data provided by the TEC Secretariat based on the Quality Categories nominated by Tertiary Education Organisations (TEOs) and the results of the peer review panels

(eg comparisons of TEO, panel and subject area results, comparisons of the internal TEO and external peer review panel results, comparisons of the changes to quality scores between the initial evaluations by pairs of panel assessors and the subsequent decisions of the peer review panels, etc);

- The identification of issues on the basis of the initial analysis of results in early November that needed to be considered during the meetings of the peer review panels;
- The attendance by the Moderation Panel Chair and Secretariat of parts of the meetings of many of the twelve peer review panels;
- The identification at the December meeting of possible issues in relation to grading consistency on the basis of an analysis of the results of the peer review panel meetings;
- A detailed analysis, by a sub-committee of the Moderation Panel, of the Quality Categories assigned by two peer review panels (the Education Panel and the Engineering, Technology and Architecture Panel [ETA]), and, in particular, cases where the three component scores placed the relevant EPs at Quality Category boundaries;
- A request by the Chair of the Moderation Panel for the ETA Panel to reconvene in January 2004 to undertake a re-appraisal of about 100 EPs;
- The reconvening of the ETA Panel on 15-16 January 2004; and
- An examination by the Chair and Secretariat of the Moderation Panel of more than 50 EPs at the A/B and B/C boundaries for the ten peer review panels other than Education and ETA.

Issues

4. Although the moderation process for the 2003 Quality Evaluation operated reasonably well, at least five issues were identified:
 - a. The burden placed on the sole independent moderator, and the desirability of having additional independent moderators;
 - b. The need for longer timeframes for the preparation, analysis and consideration of data of relevance to the moderation process;
 - c. The need to improve the techniques of moderation, including the provision of additional data;
 - d. The need to review the process for assessing the EPs of panel members and chairs; and
 - e. The need to review the guidelines in relation to the nature of the information that is made available to panel members during the assessment process.

5. An analysis of these, and related, issues was provided in a Consultation Paper on the Moderation which was released for sector feedback in November 2004.
6. It should be noted that prior to the preparation of this paper the Chair of the Moderation Panel for the 2003 Quality Evaluation, Professor Paul Callaghan, indicated that he did not wish to continue in this role for the 2006 round.

Options Considered

7. The relevant Consultation Paper considered a number of possible changes to the moderation process. These included:
 - a. The appointment of three independent moderators to oversee the assessment process (including intra- and inter-panel moderation) during the 2006 Quality Evaluation;
 - b. The provision of sufficient time at key stages of the assessment process to ensure that those responsible for intra- and inter-panel moderation have access to, and time to analyse, the relevant data, to review the Quality Categories assigned to particular EPs and to take remedial action, should this be required;
 - c. The provision of a wider range of data to the moderators (such as the analysis of cross-referral data, and the provision of standard deviations and standard errors);
 - d. A revised system for the assessment of the EPs of panel chairs and members – either the independent moderators would assess these relevant EPs or the responsibility would continue to reside with the appropriate panel but at least one independent moderator would be present during the assessment of such EPs; and
 - e. The clarification of the guidelines concerning the provision of information to panel members during panel meetings, especially in relation to data generated for moderation purposes.

Sector Feedback

8. In response to the Consultation Paper on the Moderation Process, a total of nine submissions were received by the TEC. Overall, the feedback supported the proposals outlined in the Consultation Paper. With respect to some of the specific issues raised:
 - a. There was universal support for the idea of having three independent moderators (although some submissions emphasised the need for appropriate expertise, including knowledge of equity issues);
 - b. There was strong support for the use of a wider range of moderation techniques and data; and

- c. There was almost universal support for the idea that at least one independent Moderator should be present whenever a panel assesses the EPs of any of its members.

Conclusions

- 9. The SRG considered the feedback from the sector and determined that immediate action was required in relation to the appointment of three independent moderators. Accordingly, a recommendation to this effect was made to the PBRF Steering Group. It was also proposed that, if possible, the Moderators should be drawn from the ranks of those who served as panel chairs during the 2003 round. This approach was approved by the PBRF Steering Group. Subsequently, three of the panel chairs were invited by the TEC to serve as moderators for the 2006 Quality Evaluation. The individuals in question agreed and a public announcement was made in early March 2005.
- 10. The Moderators for the 2006 round are: Professor John Hattie (Principal Moderator), Professor Carolyn Burns (Moderator) and Professor Mason Durie (Moderator).

Recommendations

- Nine.** That the TEC appoint three Moderators to oversee the moderation of the 2006 Quality Evaluation.
- Ten.** That the TEC invite the three Moderators to review the moderation processes adopted for the 2003 Quality Evaluation and make such changes as are deemed appropriate to enhance the consistency of assessment standards on an intra- and inter-panel basis.
- Eleven.** That in addition to the types of data made available to the Moderation Panel in 2003, the Moderators in 2006 be provided by the TEC with:
 - a. Standard deviations from the mean for each TEO and subject area (based on preliminary, indicative and final Quality Category results and/or component scores);
 - b. Box and whisker diagrams outlining the spread of results for each TEO and subject area (ie including the median, hinges, and smallest and largest data values) (based on preliminary, indicative and final Quality Category results and/or component scores); and
 - c. Standard errors.

2.8 PBRF Key Redesign Issues – Reporting Framework

Background

1. This section of the report deals with the recommendations of the SRG relating to the reporting arrangements for the 2006 Quality Evaluation.
2. These recommendations arose out of issues that were identified in the Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, the deliberations of the SRG and sector feedback to the TEC during 2004.

Issues

3. A detailed Consultation Paper on the PBRF Reporting Framework was prepared and made available to the tertiary education sector for feedback. Amongst other things, the paper noted that:
 - a. There were tensions between the requirements of confidentiality and privacy, on the one hand, and those of accountability, accuracy and transparency on the other;
 - b. These tensions were exacerbated by the low quality scores secured by many nominated academic units (NAUs) and some TEOs;
 - c. The small size of some NAUs and subject areas increased the possibility that the Quality Categories of some staff could be inferred;
 - d. The arrangements in 2003 for reporting EP transfers to TEOs were not adequate;
 - e. The reporting of Quality Category information to TEOs resulted, in some cases, in a wider release of this information within TEOs than was originally anticipated, ie to managers; and
 - f. There was a failure to anticipate the perceived importance of component scores.

Options Considered

4. The SRG was aware that there was potential in the reporting framework for the privacy of individuals to be undermined. This was particularly the case with some smaller subject areas (at the TEO level) and nominated academic units. Several options were canvassed including full public reporting, the setting of numerical thresholds for reporting and changes to the type of information reported.
5. The SRG was also concerned the quality scores of TEOs, subjects and units might be misleading. This could be a particular issue for groupings with large numbers of new and emerging researchers, or those with very few researchers.

6. The Consultation Paper on the PBRF Reporting Framework set out a number of options for addressing the concerns identified with regard to the matters noted above. These included:
 - a. The appropriateness of the current reporting framework particularly in relation to reporting of subject areas and nominated academic units;
 - b. The setting of some minimum size (expressed in FTE staff terms) for reporting;
 - c. The possibility of not reporting NAUs or subject areas or possibly both;
 - d. The creation of a Quality Category for new and emerging researchers to reduce the possibility that quality scores might be misleading;
 - e. Changes to the weightings applied to Quality Categories for the purpose of calculating quality scores;
 - f. The development of a composite measure of TEO performance;
 - g. Improved mechanisms for the handling and reporting of EP transfers;
 - h. The treatment for reporting purposes of merged TEOs; and
 - i. The provision of Quality Category and component score information to TEOs and staff.

Sector Feedback

7. There were 14 submissions received by the TEC on the Consultation Paper on the Reporting Framework. Broadly speaking, the submissions indicated that the reporting framework employed in 2003 is acceptable, but that action needed to be taken in relation to the small size of some reported subject areas and nominated academic units, the reporting of staff headcounts, and the misleading nature of some quality score information (in light of the lack of arrangements for recognition of new and emerging researchers). Submissions also noted the desirability of setting a minimum level of 5 FTE under which subject areas and nominated academic units would not be reported. There was also some opposition to the prospect of establishing some kind of composite measure of TEO performance.
8. On the specific issues raised in the Consultation Paper:
 - a. There was support for the principle of comprehensive reporting;
 - b. There was support for the proposal that data be reported only on an FTE basis (and thus exclude headcount data) and that there be no reporting of quality scores and other information where the size of the unit is below a certain threshold (eg 5 staff FTE);
 - c. There was support for the proposal that there should continue to be reporting of results for both subject areas and nominated academic units;
 - d. There was support for the proposal that TEOs should continue to be free to determine their nominated academic units;

- e. There were mixed views on the proposal that quality scores should be calculated using two different denominators: all PBRF-eligible staff (FTE weighted) and all PBRF-eligible staff excluding new and emerging researchers (FTE weighted);
- f. There was support for the proposal that the current weightings for Quality Categories should continue to be used in calculating quality scores;
- g. There was a mixed view on the proposal that a composite TEO performance measure should be introduced;
- h. There was support for the proposal that the PBRF guidelines should be clarified in relation to the transfer of EPs between panels, with the provision for EPs to be cross-referred to the panel selected by the staff member or a specialist advisor for independent assessment, and for TEOs to be notified of this;
- i. There was majority support for the proposal that TEOs should continue to receive from the TEC information concerning the Quality Categories assigned to their PBRF-eligible staff;
- j. There was majority support for the proposal that component scores should be made available automatically to staff and TEOs; and
- k. There were mixed views on the principle of separate reporting of TEO results for one round after a merger.

Conclusions

- 9. The SRG considered the sector feedback and deliberated on the matters raised. The issues around the reporting of Quality Category and component score information contributed to discussions on the shape of the TEO Use of Data Consultation Paper. In addition, there was considerable discussion around the arrangements in the event of the transfer of EPs between panels.

Recommendations

Seventy-nine. That TEOs be supplied, as in 2003, with the Quality Categories of their staff members who had EPs submitted to the TEC for assessment. (Majority view)

Note: A minority view opposing this recommendation was recorded.

Eighty. That TEOs not be supplied with the component scores of their staff members who had EPs submitted to the TEC for assessment. (Majority view)

Note: A minority view opposing this recommendation was recorded.

- Eighty-one.** That component scores should not be released to staff. However, if component scores are released, the TEC should only do so on the request of the individual staff member concerned. (Majority view)
- Note: A minority view opposing this recommendation was recorded.*
- Eighty-two.** That the report of the 2006 Quality Evaluation follow the precedent of the comprehensive performance information reported in 2003.
- Eighty-three.** That there should be no composite measure of TEO performance (ie based on Quality Evaluation, RDC and ERI data) developed for the next Quality Evaluation.
- Eighty-four.** That the results of the 2006 Quality Evaluation be reported only on an FTE basis, with headcount data excluded.
- Eighty-five.** That there be no reporting of quality scores and other information where the size of a nominated academic unit or subject area at the TEO level is below 5.0 FTE and that the relevant data should be aggregated under a separate category of 'Other'.
- Eighty-six.** That there should continue to be reporting of results for both subject areas and nominated academic units.
- Eighty-seven.** That TEOs should continue to be free to determine their nominated academic units.
- Eighty-eight.** That quality scores should be calculated using a single denominator based on all PBRF-eligible staff (FTE-weighted).
- Eighty-nine.** That the current funding weightings for the Quality Categories not be changed and that they continue to be used in calculating quality scores.
- Ninety.** That the Moderators be asked to advise the TEC on how best to compare the results of the 2003 and 2006 Quality Evaluations, given the 'partial' nature of the 2006 round and the introduction of a new Quality Category.
- Ninety-one.** That the TEC carefully consider the matter of separate reporting of the Quality Evaluation results of merged TEOs and consider the advantages and disadvantages of separate and/or combined reporting for a limited period following the merger.

Ninety-two. That in relation to the transfer of EPs between panels, the PBRF Guidelines should make the following matters clear:

- a. That each participating TEO will be expected to select a panel and subject area of research for each EP submitted to the TEC for assessment;
- b. That the TEC has the right (on the advice of the relevant panel chairs) to determine which panel will assess a particular EP;
- c. That the TEC's decisions on such matters are not open to appeal;
- d. That where an EP is transferred to a different panel for assessment from that requested in an EP, that the EP be cross-referred to the original panel for additional input;
- e. That in the event that the original panel is unable to provide additional input (eg due to a lack of expertise or a conflict of interest), additional advice (eg a further cross-referral or specialist advice) will be sought;
- f. That the TEC will notify TEOs in the event that an EP is assessed by a panel other than the one originally requested. This notification will occur at the end of the assessment process (ie when all the results are reported to TEOs);
- g. That the TEC will provide reasons to TEOs as to why an EP was transferred to another panel; and
- h. That TEOs will be expected to inform staff members in the event of an EP being transferred for assessment to a panel other than that requested, together with information on why the EP was transferred, at the end of the assessment process.

Ninety-three.

That the report on the results of the 2006 Quality Evaluation include additional data to that provided in 2003. This should include:

- a. Standard deviations from the mean for each TEO and subject area (based on final Quality Category results and/or component scores);
- b. The provision of box and whisker diagrams outlining the spread of results for each TEO and subject area (ie including the median, hinges, and smallest and largest data values) (based on final Quality Category results and/or component scores); and
- c. Standard errors.

Reporting of 'Special' Entities

- Ninety-four.** That if 'special' entities (ie non-TEOs) are formed and become PBRF-eligible, that they have their PBRF results reported in a multiple manner, including the results for the entire entity and the results for any staff employed by partner TEOs who are associated with the entity.
- Ninety-five.** In order to facilitate the reporting of PBRF results for 'special' entities, TEOs be required to identify any staff (via the PBRF census (staffing return)) who are associated with the entity in question.

2.9 PBRF Key Redesign Issues – Auditing Framework

Background

1. This section of the report deals with the recommendations of the SRG relating to the auditing arrangements for the 2006 Quality Evaluation.
2. The recommendations arose out of issues that were identified in the Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, the deliberations of the SRG and sector feedback to the TEC during 2004.

Issues

3. The auditing framework for the 2003 Quality Evaluation, as developed by the TEC and the Ministry of Education in May 2003, involved the conduct of four separate audits:
 - a. An audit of nominated research outputs (NROs) undertaken by the National Library of New Zealand;
 - b. An audit of data in the PE and CRE components of EPs undertaken by the TEC;
 - c. An audit of staff eligibility undertaken by the Ministry of Education; and
 - d. An audit of the Quality Evaluation process undertaken by the Office of the Controller and Auditor-General (OAG).
4. The first three of these audits prompted a number of issues and concerns. First, the NRO audit – which entailed a comprehensive manual check of the eligibility of nearly 22,000 NROs – was widely regarded as unsatisfactory in a number of important respects. It imposed significant compliance costs on participating TEOs. It focussed exclusively on so-called ‘fundamental’ errors (ie errors affecting the eligibility of NROs) and gave little, if any, attention to other kinds of (potentially serious) errors (such as pagination, location details etc). It was conducted within an extremely tight timeframe, which contributed to a host of implementation difficulties. Furthermore, because the focus of the audit was on NROs, there were no checks conducted on the other (over 100,000) research outputs listed in the EPs submitted to the TEC.
5. Second, the idea of conducting an audit of the data in the PE and CRE components was not implemented due partly to resource constraints and partly to a realisation, once EPs were received by the TEC, that a high proportion of the entries would be difficult, if not impossible to audit. Instead, it was decided to conduct an evaluation to determine the extent to which the entries in the PE and CRE components were, in fact, auditable. The evaluation entailed the checking of 49 EPs (from over 5,700 submitted to the TEC), randomly selected from a range of TEOs and subject areas.

The overwhelming majority of the almost 1,000 entries in the EPs checked could not be validated via database searches. Against this, of the 147 entries where relevant data could be located, only four were found to contain, or likely to contain, incorrect data, while only six entries were found to be ineligible or likely to be ineligible (ie because the relevant data was outside the assessment period for the 2003 Quality Evaluation).

6. Third, the relatively light-handed audit of staff eligibility was criticized by many stakeholders because it did not entail detailed manual checks of staff employment records and related data. Instead, the audit focussed on: a) cross-checking the PBRF census data against the data generated via the Ministry of Education's Single-Data Return (SDR), together with EFTS data and recent staff calendars; b) requests for participating TEOs to outline how they had interpreted and applied the "substantiveness" test (with examples); and c) follow-up correspondence in the event of discrepancies being identified. In the event, the SDR data were found to be unreliable for cross-checking purposes. It should be noted that the decision not to conduct a more intrusive audit of staff eligibility (including site visits and record checking) was based partly on the fact that it had been decided to conduct a relatively intrusive NRO audit.
7. A detailed Consultation Paper on the PBRF Auditing Framework was prepared and made available to the tertiary education sector for feedback. Amongst other things, the paper noted that:
 - a. A robust audit framework is essential if independent assurance is to be provided, firstly, on the integrity of the data supplied by TEOs in relation to the PBRF; and second, on the rigour, consistency and integrity of the assessments conducted by the peer review panels;
 - b. An independent audit of NROs should be conducted in 2006, especially given the volume of 'fundamental' errors detected during the 2003 Quality Evaluation. However, it would be important to learn from the experiences of the audit conducted in 2003;
 - c. Any audit (or evaluation) of the data in the PE and CRE components of EPs was likely to remain problematic given that a high proportion of the data in these components would be hard to verify using readily available databases;
 - d. It would be desirable to conduct a more intensive audit of staff eligibility in 2006 than that undertaken in 2003. Any such audit would benefit from measures to enhance the clarity of the PBRF staff eligibility guidelines, and especially the criteria for the 'substantiveness' test, as well as possible changes to the SDR;
 - e. It would be desirable to repeat the process assurance audit conducted in 2003 by the Office of the Controller and Auditor-General in 2006;
 - f. The policy on sanctions for significant non-compliance should be retained for the 2006 Quality Evaluation, but with minor modifications; and

- g. There were question marks over the efficacy of requiring TEO chief executives to sign declarations stating that their institution had complied with the PBRF guidelines.

Options Considered

- 8. The Consultation Paper on the PBRF Auditing Framework outlined a series of options for the conduct of the audits of NROs, the PE and CRE components and staff eligibility. With regard to the audit of NROs, the main options included:
 - a. A comprehensive audit of all NROs conducted by the TEC (or an independent agency, such as the National Library);
 - b. A comprehensive audit of all NROs, with random checks of a small proportion of other research outputs;
 - c. A requirement for participating TEOs to conduct internal checks and independent audits prior to the submission of EPs to the TEC; and
 - d. A more limited audit of NROs (via random checks in some participating TEOs).
- 9. On the auditing of the data contained in the PE and CRE components of EPs, the Consultation Paper raised a number of options:
 - a. A comprehensive audit of PE and CRE entries via database searches conducted by the TEC (or an independent agent);
 - b. A comprehensive audit of PE and CRE entries via manual checks conducted by the TEC (or an independent agent);
 - c. A requirement for participating TEOs to conduct internal checks and independent audits prior to the submission of EPs to the TEC; and
 - d. The conduct of an evaluation of the PE and CRE components similar to that conducted in 2003.
- 10. On the auditing of staff eligibility, the Consultation Paper outlined three options:
 - a. A light-handed audit similar to that conducted in 2003;
 - b. A light-handed audit coupled with a more detailed audit of a small number of TEOs (randomly selected); and
 - c. A detailed and more intensive audit of all participating TEOs.

Sector Feedback

- 11. There were 9 submissions received by the TEC on the Consultation Paper on the Auditing Framework. There were mixed views on the best approach to auditing NROs (and other research outputs). The option securing the most support was that under which the TEC (or an independent agent) would conduct a comprehensive check of all NROs with a random audit of the other research outputs. However, in a detailed submission, the Council of New Zealand University Librarians (CONZUL) proposed an alternative

option under which NROs (wherever possible) would be expected to include a URL, with TEOs being required (wherever possible) to make an electronic copy of NROs without a URL and deposit it in an institutional e-repository. NROs for which electronic copies could not be made would need to be stored in the TEO's library. Further, CONZUL suggested that the auditing of NROs should take the form of a random audit focussing on fundamental errors. If an error rate in excess of a certain threshold was detected, a more intensive audit would be conducted of the TEO in question.

12. With regard to the other issues raised in the Consultation Paper:

- a. On the issue of auditing the PE and CRE components of EPs, the clear majority of respondents favoured an approach similar to that conducted in 2003;
- b. On the issue of the staff eligibility audit, there was majority support for a light-handed audit. Against this, three submissions favoured a more extensive approach;
- c. On the auditing of the assessment process, a clear majority favoured the conduct of a process assurance audit (although not necessarily by the Office of the Controller and Auditor-General);
- d. On the issue of sanctions, there was majority support for retaining the 2003 policy framework (albeit with minor changes); and
- e. There was majority support for requiring TEO chief executives to sign declarations concerning the integrity of the data in EPs and the institution's compliance with the PBRF guidelines.

Conclusions

13. Subsequent to the finalisation of these recommendations, the SRG received advice from the TEC and expert groups (such as the National Library) on the feasibility of the proposed audit regime. The following recommendations reflect the SRG's view on the broad thrust that the audit regime for the 2006 Quality Evaluation should take.
14. Further feedback from the sector was sought on a proposed audit regime through the Audit of Research Outputs and Staff Eligibility consultation paper that was released by the TEC in April 2005. The SRG expects that the TEC will make any decision on the final audit framework with due regard to the recommendations set out below and sector feedback to that paper.

Recommendations

- Ninety-six.** That an independent audit of nominated research outputs for the 2006 Quality Evaluation be conducted, with the details of this audit to be determined by the TEC after further consultation with the sector.
- Ninety-seven.** That a comprehensive audit of staff eligibility be conducted covering up to 15% of the staff from each TEO focusing particularly on people to whom the substantiveness test applied and those deemed eligible for the new and emerging researcher Quality Category. That if there is an error rate above an agreed threshold (yet to be defined) that the TEO in question be the subject of an intensive audit of the decisions made on staff eligibility
- Ninety-eight.** That the Office of the Controller and Auditor-General be invited to undertake a process assurance audit of the 2006 Quality Evaluation along the lines of that conducted in 2003.
- Ninety-nine.** That the current policy on sanctions be confirmed, but that the wording of the policy be amended so that the approval of the TEC Board is only required in the event that there is a case for applying *significant* sanctions.
- One hundred.** That TEO Chief Executives be required to sign a declaration, when EPs are submitted to the TEC, confirming the accuracy of the information contained in the EPs, with wording along the following lines: ‘...to the best of my knowledge all reasonable steps have been taken to ensure the accuracy of the information contained in EPs...’.

2.10 PBRF Key Redesign Issues – Use of PBRF Data by Tertiary Education Organisations

Background

1. This section of the report deals with the recommendations of the SRG relating to the use of data collected as part of the PBRF by TEOs.
2. The recommendations arose out of issues that were identified in the Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, the deliberations of the SRG and sector feedback to the TEC during 2004 and 2005.

Analysis of the Issues

3. A detailed Consultation Paper on the Use of PBRF Data by TEOs was prepared and made available to the tertiary education sector for feedback. Amongst other things, the paper noted that:
 - a. The release of individual Quality Categories to TEOs has remained contentious;
 - b. Information on the Quality Categories assigned to staff had significant value for TEOs in terms of the development of research capability and quality and for funding purposes;
 - c. The ability of staff to access their component scores was not anticipated when the assessment framework for the 2003 round was developed;
 - d. The provision of final Quality Categories to TEOs may have led to their use for purposes other than those originally intended;
 - e. There is reason to believe that TEOs are using PBRF data to inform appointment or performance management processes with potentially detrimental effects for some groups of staff, such as new and emerging researchers; and
 - f. There is some evidence of the inaccurate use of PBRF data for marketing and advertising purposes.

Options considered

4. The SRG considered that there were a number of options for dealing with the issues raised above:
 - a. The possibility of only providing aggregate data (eg quality scores for subject areas and nominated academic units) to TEOs;

- b. The possibility of providing to TEOs the Quality Categories assigned to individual staff members by the peer review panels in 2006 (as was the case in 2003);
 - c. The provision of component scores to both TEOs and staff;
 - d. If component scores from 2006 are available to TEOs, the possibility of also providing component scores from the 2003 Quality Evaluation to TEOs;
 - e. The possibility of providing component scores directly to staff on request, to individuals on-line via a personal access code or to TEOs with the expectation that they will be provided automatically to the relevant staff members;
 - f. The possibility of establishing a nationally-agreed set of guidelines (ie a code of practice) relating to the use of PBRF Quality Evaluation data by TEOs; and
 - g. The development of a sanctions regime for non-compliance with these guidelines.
5. The SRG was concerned to ensure that any recommendation would not impinge on the important task of developing research performance and research quality in New Zealand. Balanced against that was the concern to minimise the potential for any detrimental impacts on individual staff.

Sector feedback

6. There were 10 submissions received by the TEC on the Consultation Paper on TEO Use of PBRF data. There were mixed views on the best approach with regard to the release of Quality Category and component score information. The sector was strongly in favour of the preparation of a nationally-agreed set of guidelines governing the use of PBRF data.
7. With regard to the issues raised in the Consultation Paper:
- a. A majority of respondents were opposed to the proposal that only aggregate data be provided to TEOs;
 - b. There was majority support for the provision to TEOs of Quality Categories assigned to individual staff members as part of the 2006 Quality Evaluation;
 - c. There was majority support for the possibility of providing component scores to TEOs where they are made available to individual staff;
 - d. There were mixed views on the proposition that if component scores from 2006 are available to TEOs, component scores from the 2003 Quality Evaluation to TEOs should also be provided;
 - e. There was a mixed view on the proposed methods for releasing component scores to staff;

- f. There was support for the proposal to develop, through extensive consultation, nationally-agreed guidelines on the TEO Use of PBRF data;
- g. There were mixed views on the possibility of appointing an advisory committee to assist with the application of the staff eligibility criteria; and
- h. There were mixed views on the possibility of applying sanctions for non-compliance with these guidelines.

Conclusions

- 8. Sector feedback on this paper contributed to the SRG's deliberations on this issue. The issues around the reporting of Quality Category and component score information contributed to discussions on the recommendations mentioned in the preceding section dealing with the reporting framework.
- 9. In relation to the development of guidelines for the use of data, it was agreed that it would not be appropriate for the TEC to impinge on the institutional autonomy of TEOs in this regard. The SRG was concerned that TEOs should continue to take responsibility for the appropriate use of this information.

Recommendation

- One hundred one.** That with regard to the submission and assessment of Evidence Portfolios, and appeals relating to Quality Evaluations, all transactions should be conducted directly between the Tertiary Education Commission (TEC) and Tertiary Education Organisations (TEOs) and should not involve the individual staff of participating TEOs.

2.11 PBRF Key Redesign Issues – The Complaints Process

Background

1. This section of the report deals with the recommendations of the SRG relating to the complaints process for the 2006 Quality Evaluation.
2. This recommendation arose out of issues that were identified in the Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, the deliberations of the SRG and sector feedback to the TEC during 2004.
3. A total of 41 complaints were lodged following the 2003 Quality Evaluation. The nature of the 41 complaints can generally be categorised as follows:
 - a. Consideration of nominated research outputs (NROs) by the panels (9)
 - b. Transfers of EPs between panels (11)
 - c. Panel expertise and specialist advice (4)
 - d. Data entry errors (3)
 - e. Errors in the assessment process (9)
 - f. Application of special circumstances (5)
4. Of these, four were upheld, two on the basis of data entry errors and a further two on the basis of incorrect handling of NROs.

Analysis of the Issues

5. There were two key concerns identified in relation to the complaints process. These concerns were:
 - a. The limited grounds for complaint, ie on the basis of administrative or procedural errors; and
 - b. The reporting of panel transfers at the end of the assessment process.

Options considered

6. The SRG noted the complaints process established as part of the 2003 Quality Evaluation sought to ensure the need for a robust system for dealing with serious concerns over the Quality Categories assigned to particular individuals. Balanced against this were the practicalities associated with allowing complaints relating to the merits or substance of a panel's decision.

7. The SRG was concerned to ensure that the complaints process appropriately balanced these two considerations. This was particularly salient given the strong likelihood that a complaints process that encompassed the decisions of panels would likely lead to a large number of complaints and either the re-convening of panels or the appointment of an independent group of experts to reconsider a panel's decision.

Conclusions

8. The SRG noted that the concerns raised in relation to the transfer of EPs between panels were largely a function of the way in which this process was communicated through the PBRF Guidelines. This matter is discussed in section 2.8 of this report dealing with the Reporting Framework.
9. The SRG also considered that the complaints process was appropriate and required no significant revision.

Recommendations

- One hundred one.** That there be provision for a complaints process following the 2006 Quality Evaluation along the lines of that instituted in 2003/04. (Majority view)

Note: The AUS representative opposed this recommendation.

2.12 PBRF Key Redesign Issues – Evaluation of the Quality Evaluation

Background

1. This section of the report deals with the recommendations of the SRG relating to the evaluation strategy for the PBRF.
2. This recommendation arose out of issues that were identified in the Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, the deliberations of the SRG and sector feedback to the TEC during 2004.
3. It was agreed in August 2004 by the Tertiary Education Commission (TEC), in consultation with the Ministry of Education, that there would be a thorough, independent evaluation of the PBRF. The purpose of this evaluation is to:
 - a. Determine the extent to which the aims of the PBRF are being achieved;
 - b. Analyse the results of the Quality Evaluations (in 2003 and 2006) and assess what they reveal concerning the quality and pattern of research activity across New Zealand's tertiary sector;
 - c. Identify the impacts, both positive and negative and both intended and unintended, of the PBRF on the nature, quality and quantity of research conducted in the tertiary education sector, and assess the significance of these impacts; and
 - d. Provide evidence to inform policy decisions concerning the design, implementation and funding of the PBRF, including the transitional funding arrangements during 2004-07, the conduct of the proposed Quality Evaluations in 2006 and 2012, and the PBRF funding formula.
4. It was agreed that the evaluation of the PBRF would be conducted in three separate phases.
5. The short-term phase (or Phase 1): This phase focuses upon an evaluation of the implementation process (especially in relation to the 2003 Quality Evaluation) and the short-term impacts of the PBRF on the tertiary education sector, including modelling the likely financial implications of the PBRF for TEOs during 2004-2007.
6. The medium-term phase (Phase 2): This phase is intended to provide a detailed review and evaluation of the wider impacts of the PBRF on the

tertiary education sector. Phase 2 is scheduled to commence in July 2005 and be conducted over three years.

7. The longer-term phase (Phase 3): This phase is intended to focus upon whether the PBRF has fulfilled its stated objectives and whether the overall benefits exceeded the costs. It is envisaged that such an evaluation will be undertaken sometime after the second Quality Evaluation has been completed.

Analysis of the Issues

8. The SRG noted that the concerns that the Quality Evaluation component had the potential to disadvantage certain groups of staff, as discussed in section 2.1 of this report dealing with the Unit of Assessment and section 2.6 dealing with the Assessment Framework.

Conclusions

9. The SRG considered that an evaluation of the wider impacts of the PBRF should also include the impacts on different categories of staff. There would be considerable value in utilising this information in preparation for the 2012 Quality Evaluation.
10. The SRG considered that in light of the information gained from the evaluation of the implementation of the 2003 Quality Evaluation, it would be desirable to capture as far as possible similar information on the 2006 Quality Evaluation.

Recommendations

- One hundred eleven.** That as part of the Phase 2 Evaluation of the PBRF, the TEC be encouraged to monitor the impact and fairness of Quality Evaluations in relation to different categories of staff.

Evaluation of 2006 Quality Evaluation

One hundred twenty-one.

That the TEC undertake an evaluation of the design and implementation of the 2006 Quality Evaluation and that consideration be given, as part of this evaluation, to the issue of the frequency of Quality Evaluations.

Note: Under the current policy framework, as agreed by the Cabinet, the timing of the third Quality Evaluation will be determined after the 2006 Quality Evaluation.

2.13 PBRF Key Redesign Issues – PBRF Advisory Group

Background

1. This section of the report deals with the recommendations of the SRG relating to the ongoing engagement with the sector at a policy level as part of the implementation of the 2006 Quality Evaluation.
2. The SRG considered that some ongoing policy support and advisory group would be useful to assist the TEC in the design, implementation and evaluation of the PBRF.
3. This group would also play a key role in assisting with the development of the guidelines for the PBRF and considering feedback from the sector on these guidelines.

Recommendations

PBRF Draft Guidelines

- One hundred sixteen.** That the tertiary education sector be given an opportunity to provide feedback on the draft PBRF Guidelines for the 2006 Quality Evaluation, once these have been prepared.

PBRF Advisory Group

- One hundred seventeen.** That the TEC establish a PBRF Advisory Group to advise the TEC on issues relating to the design, implementation and evaluation of the PBRF.
- One hundred eighteen.** That the PBRF Advisory Group be invited to review the draft PBRF Guidelines for the 2006 Quality Evaluation prior to their confirmation by the TEC.

Chapter 3

The Research Degree Completions measure

Background

1. This section of the report deals with the recommendations of the SRG relating to the Research Degree Completions (RDC) measure for the PBRF.
2. These recommendations arose out of issues that were identified in the Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, the deliberations of the SRG and sector feedback to the TEC during 2004.

Analysis of the Issues

3. A detailed Consultation Paper on the PBRF RDC measure was prepared and made available to the tertiary education sector for feedback. Amongst other things, the paper noted that:
 - a. The current method of collecting completions records the completion of research courses rather than degrees;
 - b. The definition and application of external assessment as set out in the PBRF guidelines may not be well-defined;
 - c. The exclusion of taught postgraduate programmes from the measure may not be desirable;
 - d. The implicit exclusion of graduate programmes other than Masters or Doctorates may not be desirable;
 - e. It might be appropriate to change the requirement that courses, in order to be counted, must have a research component of 0.75 EFTS or more;
 - f. The appropriateness of the current subject weightings;
 - g. The appropriateness of the current ethnicity weightings; and
 - h. The appropriateness of the current Volume of Research Factor (VRF) weightings.

Options considered

4. The Consultation Paper on the RDC measure set out a number of options for addressing the concerns identified with regard to the matters noted above. These included:
 - a. Changes to the systems used to collect RDC information;
 - b. The clarification of the meaning of external assessment with specific requirements placed on participating TEOs;

- c. The inclusion of taught postgraduate courses in the measure;
- d. Permitting any course that has a research component greater than 0.75 EFTS;
- e. Changes to the subject weightings applied to courses captured in the RDC measure possibly based on the outcome of the Funding Category Review;
- f. Changes to the ethnicity weightings applied to student completions captured in the RDC measure; and
- g. Changes to the VRF weightings and the establishment of a separate category for Professional Doctorates.

Sector feedback

- 5. There were 10 submissions received by the TEC on the Consultation Paper on the RDC measure.
- 6. On the specific issues raised in the Consultation Paper:
 - a. There was support for retaining the status quo in relation to the source of completions information;
 - b. There was support for the principle that to be eligible for the RDC measure, the courses in question need to be externally assessed;
 - c. There were mixed views on the inclusion of taught postgraduate courses;
 - d. There were mixed views on the inclusion of courses other than Masters and Doctorates that meet the EFTS threshold;
 - e. There were mixed views on the EFTS threshold (currently 0.75 EFTS);
 - f. There were mixed views on the current subject weightings and the contribution the Funding Category Review could make;
 - g. There were mixed views on the current ethnicity weightings; and
 - h. There were mixed views on the current VRF weightings.

Conclusions

- 7. The SRG was concerned about possible impositions on institutional autonomy but agreed that the external assessment of courses was a critical component of the RDC measure. The SRG also noted that while the weightings applied to subject areas might not be ideal, the Funding Category Review might make a useful contribution to the debate.
- 8. The SRG noted that the exclusion of taught postgraduate courses from this measure might disadvantage some providers. However, it was

considered on balance that the link between these programmes and research was less direct.

9. It was considered desirable to clarify the eligibility of honours and postgraduate courses that do meet the 0.75 EFTS threshold. It was also considered desirable to recognise professional doctorates.
10. The SRG also considered that there should be no substantive changes to the RDC measure besides those noted above.

Recommendations

- | | |
|---------------------------|---|
| One hundred two. | That in order to be eligible for inclusion in the RDC measure, research components of eligible courses should be externally assessed. |
| One hundred three. | That the subject weightings applied as part of the RDC measure should not be changed, unless significant changes arise in the Funding Category Review. |
| One hundred four. | That it be clarified in the PBRF Guidelines that any course that meets the 0.75 EFTS threshold is eligible for inclusion in the RDC measure (ie not just masters or doctoral programmes). |
| One hundred five. | That professional doctorates have a volume of research weighting for the purposes of the RDC measure equivalent to the EFTS weighting of the research component. |
| One hundred six. | That there be no other changes to the RDC measure. |

Chapter 4

The External Research Income measure

Background

1. This section of the report deals with the recommendations of the SRG relating to the External Research Income (ERI) measure for the PBRF.
2. These recommendations arose out of issues that were identified in the Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, the deliberations of the SRG and sector feedback to the TEC during 2004.

Analysis of the Issues

3. A detailed Consultation Paper on the PBRF ERI measure was prepared and made available to the tertiary education sector for feedback. Amongst other things, the paper noted that:
 - a. There might be a need for the clarification of the inclusions and exclusions that apply to the ERI measure;
 - b. The definition of ERI for the PBRF was not consistent with that used for TEO annual reporting or that used by other government agencies;
 - c. The current ERI collection processes might not be appropriate;
 - d. The compliance costs associated with small ERI returns could be prohibitive; and
 - e. There might be a role for a reference group to provide advice on the eligibility of ERI.

Options considered

4. The Consultation Paper on the PBRF ERI measure set out a number of options for addressing the concerns identified with regard to the matters noted above. These included:
 - a. The possibility of bringing the ERI guidelines in line with Generally Accepted Accounting Principles (GAAP);
 - b. The revision of the ERI guidelines to match the kind of information reported in TEO annual reports;
 - c. Changes to the ERI collection process to formalise the current arrangements;
 - d. The introduction of a threshold for independent audit opinions; and
 - e. The establishment of an ERI reference group to minimize variable treatment of ERI by TEOs.

Sector feedback

5. There were 11 submissions received by the TEC on the Consultation Paper on the Reporting Framework. In general, the sector expressed satisfaction with the current ERI measures. It should be noted however that some submissions considered the measure disadvantaged certain types of research and represented a double-reward for established providers. There was also a significant minority opposed to a threshold under which an independent audit opinion would not be required.
6. On the specific issues raised in the Consultation Paper:
 - a. There was no clear consensus on the suggestion to link the ERI guidelines more closely to GAAP;
 - b. There was majority support for the retention of the current definition of PBRF-eligible ERI;
 - c. There was support for formalising the current processes for ERI collection;
 - d. There was majority support for the introduction of a threshold for independent audit opinions of \$200,000; and
 - e. There was no clear consensus on the establishment of an ERI reference group.

Conclusions

7. The SRG acknowledged some inconsistencies between Generally Accepted Accounting Principles (GAAP) and the PBRF definitions. However, it was felt that the current guidelines were appropriate to the goals of the PBRF.
8. The SRG noted that the costs of auditing small ERI returns could outweigh the benefits of making such returns. As a result, it was recommended that some consideration be given to the setting of a threshold. The SRG also noted the value of some reference group given the complexity of the treatment of ERI, however it was noted that the Tertiary Advisory and Monitoring Unit (TAMU) maintained a close liaison with TEIs.
9. The SRG also considered that there should be no substantive changes to the ERI measure besides those noted above.

Recommendations

- One hundred seven.** That TEOs not be required to supply independent audit opinions where their total PBRF-eligible ERI is less than \$200,000, but in this case, some independent verification of the total be required, such as the TEO's annual report.
- One hundred eight.** That there be no other changes to the ERI measure.

Chapter 5

The Funding Framework

Background

1. This section of the report deals with the recommendations of the SRG relating to the funding framework for the PBRF.
2. These recommendations arose out of issues that were identified in the Phase 1 Evaluation of the PBRF, the Reports of the Peer Review Panels, the deliberations of the SRG and sector feedback to the TEC during 2004 and 2005.

Analysis of the Issues

3. A detailed Consultation Paper on the PBRF Funding Framework was prepared and made available to the tertiary education sector for feedback. Amongst other things, the paper noted that:
 - a. The funding weightings applied to the 4 Quality Categories had significant impact on funding allocations;
 - b. The introduction of a Quality Category for new and emerging researchers, if funded, would affect the allocation of the PBRF pool;
 - c. The subject weightings were based on incomplete information about the cost of research in New Zealand;
 - d. It was intended that the weightings of the three PBRF components be reviewed after the 2003 Quality Evaluation;
 - e. The lack of clarity around the current mechanism for setting the PBRF pool size; and
 - f. The implications of the funding formula for the support of taught postgraduate programmes.

Options considered

4. The Consultation Paper on the PBRF Funding Framework set out a number of options for addressing the concerns identified with regard to the matters noted above. These included:
 - a. Changes to the funding differentials applied to the Quality Categories;
 - b. The attachment of funding to any Quality Category for new and emerging researchers;
 - c. Taking into account the outcome of the Funding Category Review in setting the subject weightings;

- d. Altering the component weightings placing greater emphasis on the RDC measure or the Quality Evaluation measure;
- e. Making changes in the PBRF pool on the basis of one or more of the following:
 - Net improvements in research quality
 - Changes in the number of staff who receive a funded Quality Category
 - Provide additional funding on top of the 'top-ups' from student enrolments based on measured improvements in research quality
 - Funding on the basis of measured research quality without reference to the number of student enrolments; and
- f. Taking into account the outcome of the Funding Category Review in setting the funding available to taught postgraduate courses.

Sector feedback

- 5. There were 10 submissions received by the TEC on the Consultation Paper on the Funding Framework.
- 6. On the specific issues raised in the Consultation Paper:
 - a. There was no support for altering the funding weightings applied to the Quality Categories;
 - b. There was majority support for attaching a funding weight of 0.7 to the Quality Category for new and emerging researchers. There was a significant minority in favour of attaching a weighting of 1;
 - c. There was majority support for retaining the current component weightings;
 - d. There was support for taking the outcomes of the Funding Category Review into account in setting subject weightings;
 - e. There was some support for an analysis of the cost of research in New Zealand;
 - f. There was majority support for linking the size of the PBRF pool to the numbers of staff who receive a funded Quality Category; and
 - g. There was majority support for taking the outcomes of the Funding Category Review into account in providing appropriate funding for taught postgraduate programmes.

Conclusions

7. In relation to the funding of a Quality Category for new and emerging researchers, the SRG concluded that a funding weight of 1 be applied (refer to the Key Redesign Issue: New and Emerging Researchers).
8. The SRG was particularly concerned that the current subject weightings may not be an accurate reflection of the costs of conducting research in New Zealand. The SRG was strongly of the view that a comprehensive analysis of these costs should be undertaken. In the absence of such analysis, the SRG considered that the subject weightings applied in the funding formula should remain as they were subject to the outcome of the Funding Category Review. Note that the issue of subject weightings is also discussed in Chapter 5: RDC measure.
9. The SRG also considered that there would be no particular value in altering the weightings of the three measures of the PBRF.
10. In relation to the overall PBRF pool size, the SRG considered that there should be some link between net changes in research quality as measured through the Quality Evaluation and the size of the PBRF pool. It was considered undesirable for the size of the fund to diminish in real terms.

Recommendations

One hundred nine. That the TEC conduct a proper review of the PBRF cost weightings to ensure that the funding rates fairly reflect the costs of undertaking research in different subject areas.

One hundred ten. That the TEC seek to ensure that any improvement in research quality in the tertiary education sector as measured by periodic Quality Evaluations be reflected in appropriate increases in overall PBRF funding in real terms.

Chapter 6

Conclusions: The Way Forward

Conclusion

The PBRF Working Group anticipated that the implementation of the PBRF through the 2003 Quality Evaluation might highlight areas where improvements might be made. This was signalled in the report of the 2003 Quality Evaluation, which noted the importance of reviewing and enhancing the design of the PBRF. The Working Group also recommended that there be a review of the Quality Evaluation and that the second Quality Evaluation be conducted three years after the first reflecting ‘... the need for a managed transition’.

As it transpires, the independent evaluation by WEB Research of the implementation of the PBRF identified many areas of potential improvement. Direct feedback from participants in the 2003 exercise and other interested stakeholders provided additional input concerning the appropriate nature and scope of the redesign process. The process also benefited immensely from a high level of engagement by the sector. This engagement was evidenced not only by the more than 200 submissions received on the consultation papers, but also by the many groups and individuals who continue to engage so constructively in dialogue about the PBRF.

Major themes

Of the 121 recommendations in this report, some are obviously of greater significance than others. Most important are those that relate to the decision for a ‘partial’ round, the decision to retain the current unit of assessment, provision for recognition of new and emerging researchers, changes to the reporting regime to further protect the privacy of individuals and the need to increase the PBRF as measured research quality increases.

The SRG strongly welcomed the early decision of the TEC to implement its recommendation to conduct the 2006 Quality Evaluation as a ‘partial’ round. Without doubt, this recommendation will have the most significant impact on individual staff. It is expected that this decision will considerably reduce the overall compliance costs for TEOs and the burdens placed on individuals.

The SRG has made numerous recommendations dealing with aspects of reporting and the assessment framework designed to

mitigate what are perceived to be negative consequences of the current unit of assessment. These include the establishment of minimum reporting levels, improvements to the assessment framework particularly in relation to the application of special circumstances and the assessment of new and emerging researchers, and clearer guidance to panels on the issues they need to consider. Nevertheless, the SRG is of the view that the unit of assessment for the next Quality Evaluation needs to be carefully considered. As a result, it is important that any review of the unit of assessment be undertaken as expeditiously as possible after the 2006 round.

The appropriate recognition of new and emerging researchers was an issue that vexed the 2003 Quality Evaluation. The SRG is confident that the proposed changes will enable an appropriate assessment of the contribution of these researchers. The introduction of new Quality Categories for these researchers should make a significant difference for large numbers of individuals.

The SRG considers one of its most significant recommendations to be the need to link the size of the fund to net changes in research quality as measured via the PBRF (recommendation 110). The appropriate resourcing of research-led education is critical in maintaining and improving the quality of education in New Zealand, and maintaining support for the PBRF in the tertiary sector.

The SRG welcomes the TEC's critical appraisal of these recommendations and encourages their careful consideration.

Looking ahead

The SRG believes that the redesign of the PBRF represents a excellent model of the use of sector consultation to improve a relatively new policy initiative and secure greater stakeholder ownership of this policy. The energetic contributions of the SRG members and the high level of sector engagement reflect both the importance of the PBRF to the tertiary sector and the confidence that individuals and groups have in their ability to influence its shape. To help sustain this engagement, the SRG has recommended an ongoing role for sector representatives as part of the implementation of the TEC's redesign decisions through a PBRF Advisory Group.

Ultimately, the test of the redesign decisions will be in their impact on the 2006 Quality Evaluation, and the sector as a whole. It is therefore strongly hoped that an evaluation of the implementation of the 2006 Quality Evaluation will be conducted, and will contribute to an evolving process of continuous improvement

Selected References

Centre for Research on Work, Education and Business Ltd (2004) *Phase 1 Evaluation of the Implementation of the Performance-Based Research Fund and the conduct of the 2003 Quality Evaluation* (Wellington, July).

Ministry of Education and Transition Tertiary Education Commission (2002) *Investing in Excellence: The Report of the Performance-Based Research Fund Working Group* (Wellington, December).

Ministry of Research, Science and Technology, et al (2004) *National Bibliometric Report, 1997 to 2001: International Benchmarking of New Zealand Research 2003* (Wellington).

Office of the Associate Minister of Education (Tertiary Education) (2002) *Tertiary Education Strategy 2002/07* (Wellington, May).

Office of the Associate Minister of Education (Tertiary Education) (2003) *Statement of Tertiary Education Priorities 2003/04* (Wellington, August).

Tertiary Education Advisory Commission (2001) *Shaping the Funding Framework* (Wellington, November).

Tertiary Education Commission (2003) *Performance-Based Research Fund: A Guide for 2003* (Wellington, 25 July).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Biological Sciences Panel – The 2003 Assessment* (Wellington, April).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Business and Economics Panel – The 2003 Assessment* (Wellington, April).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Creative and Performing Arts Panel – The 2003 Assessment* (Wellington, April).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Education Panel – The 2003 Assessment* (Wellington, April).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Engineering, Technology and Architecture Panel – The 2003 Assessment* (Wellington, April).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Health Panel – The 2003 Assessment* (Wellington, April).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Humanities and Law Panel – The 2003 Assessment* (Wellington, April).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Māori Knowledge and Development Panel – The 2003 Assessment* (Wellington, April).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Mathematical and Information Sciences and Technology Panel – The 2003 Assessment* (Wellington, April).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Mathematical and Information Sciences and Technology Panel – The 2—3 Assessment* (Wellington, April).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Medicine and Public Health Panel – The 2003 Assessment* (Wellington, April).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Physical Sciences Panel – The 2003 Assessment* (Wellington, April).

Tertiary Education Commission (2004) *Performance-Based Research Fund Quality Evaluation: Social Sciences and Other Cultural/Social Studies Panel – The 2003 Assessment* (Wellington, April).

Appendices

Appendix 1 – Terms of Reference of the Sector Reference Group

Role

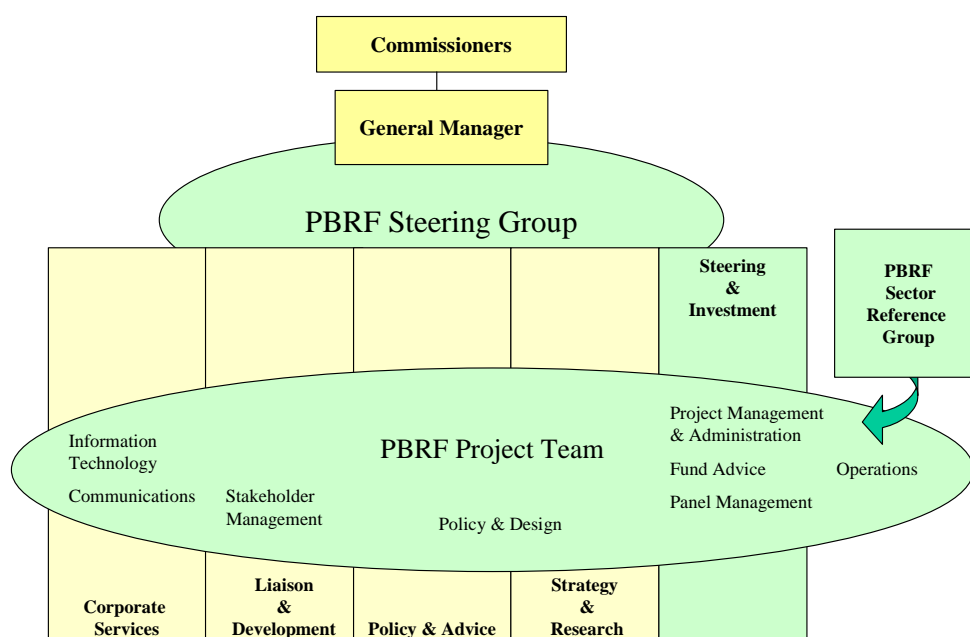
The PBRF Sector Reference Group (SRG) will provide advice to the TEC on what changes, if any, should be made to the design and implementation of the PBRF. This will include advice on the timing, nature and conduct of the second Quality Evaluation (currently planned for 2006) and on the other elements of the PBRF, namely the research degree completions measure and the external research income measure.

The role of SRG members is to:

- Contribute to discussions on the basis of their expertise and experience
- Contribute to the development of advice through peer review and, by agreement, produce working papers within their field of expertise
- Canvas proposals widely within their network of contacts in the sector and
- Make recommendations regarding redesign issues to the PBRF Steering Group (note that decision-making remains with the TEC)

Location in the Project Structure

The project structure is as set out below:



Process

The SRG will:

- Meet monthly (via teleconference where necessary)
- Review Issues Papers prepared by the PBRF team, undertaking further analysis as required
- Identify options for resolving issues, and communicate these options in the form of Discussion Papers for sector feedback
- Consider sector feedback and agree upon recommendations for PBRF Steering Group approval.

The SRG will complete its activities by providing detailed recommendations to the Steering Group no later than 1 March 2005.

Membership

The SRG will consist of:

Member Name	Organisation	PBRF Experience	Subject Area
Professor Paul Callaghan, Chair	VUW	Moderation Panel Chair	Physics
Professor Tom Barnes	UoA	Deputy Vice-Chancellor Research	Physics
Stuart Broughton	UoC	TEO research Manager	
Dr Pip Bruce-Ferguson	TWOA	TEO research Manager	Education
Professor Marston Conder	UoA	Chair of PBRF Working Group	Mathematics
Professor John Hattie	UoA	Education Panel Chair	Education
Associate Professor Val Lindsay	VUW	PBRF Design team and Stakeholder Manager, Secretariat for BEC Panel	Marketing and International Business
Rebecca Matthews	AUS	Association of University Staff representative	
Professor Sally Morgan	Massey	Knowledge of UK RAE & internal PBRF assessment processes, esp. regarding the creative & performing arts	Art History
Dr Ailsa Smith	Lincoln	Member of Māori Knowledge and Development Panel	Māori Knowledge and Development
Dr Margaret Southwick	Whitireia	Pacific Advisory Group and member of Health Panel	Nursing
Professor Geoffrey White	UoO	Deputy Vice-Chancellor Research	Psychology

Members of the TEC's PBRF team will attend SRG meetings and support the SRG in its activities.

Reimbursement of Costs

Members will arrange their own travel to/from meetings. The TEC will reimburse members for reasonable costs associated with attendance at meetings, on presentation of appropriate receipts.

In the event that specific activities require additional work from any of the SRG members, the TEC will agree a contract with the member concerned to cover payment for the agreed services.

Confidentiality

Members of the SRG will be receiving papers covering issues, background, and suggested changes to the PBRF, for their consideration. These papers may at times include potentially contentious issues and analysis as the SRG must have all relevant data for them to effectively consider and communicate issues freely and frankly.

It is essential that the papers provided to the SRG, and any subsequent SRG discussions, remain confidential to the Group, at least until such time as revised papers are circulated for wider sector consultation.

Agreement

These SRG Terms of Reference were agreed at the initial SRG meeting on 1 September 2004 held in Wellington and attended by all members of the SRG.

Appendix 2 – Timeline for the 2006 Quality Evaluation

Phase	Time	Activity
Phase I Panels, Redesign, and System support development	September 2004	Review feedback and finalise framework for redesign
	September 2004 to June 2005	Redesign work, including consultation with sector and overseen by a Sector Reference Group
	4 March 2005	Panel nominations close
	24 March 2005	Initial decisions on panel composition by panel chairs
	24 March 2005	Final SRG meeting
	4 April 2005	Steering Group considers SRG recommendations
	May/June 2005	Panels prepare draft panel specific guidelines
	June/July 2005	Consultation on draft PBRF Guidelines for 2006
	29 July 2005	Final PBRF Guidelines and EP Format available to TEOs
Phase II TEOs internal assessment	August 2005 to July 2006	Build information systems and operational processes Staff prepare EPs TEO internal assessment process
	14 June 2006	Census Date
Phase III Quality Categories assigned to EPs and Audit processes	June 2006	Workshop for Panel Chairs and Panel Members
	21 July 2006	EPs submitted to TEC
	28 August 2006	Panels receive EPs for assessment
	27 November – 8 December 2006	Panels meet to assign QCs
	December 2006/ January 2007	Panel Results moderated
	February 2007	TEC Board approves results

Phase IV Reporting, Complaints and Funding	April 2007	2006 Public Report published
	April 2007	Funding delivered to TEOs
	April/May 2007	Complaints process
Phase V	April/June 2007	Completion and review

Appendix 3 – List of submitters

The following individuals, groups and TEOs supplied feedback to the TEC on consultation papers prepared by the SRG.

Tertiary Education Organisations

Auckland University of Technology
Bethlehem Institute of Education
Christchurch College of Education
Eastern Institute of Technology
Good Shepherd College – Te Heparā Pai
Lincoln University
Massey University
Te Wānanga O Aotearoa
The Open Polytechnic of New Zealand
University of Auckland
University of Canterbury
University of Waikato
University of Otago
Victoria University of Wellington
Unitec New Zealand

Individuals

Dr M Jean Anderson, Victoria University of Wellington
Professor Phillipa Black, University of Auckland
Duncan Campbell, Victoria University of Wellington
Professor Peter Davis, University of Auckland
Associate Professor Chris de Freitas, University of Auckland
Dr Stephen Epstein, Victoria University of Wellington
Professor Mark Henaghan, Dean, Faculty of Law, University of Otago
Dr Marilyn Hibma, Otago University
Associate Professor Janet Hoek, Massey University
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