

## Summary of changes to the PBRF Quality Evaluation for 2012 and associated updates to the IT System scheduled for 11 Nov 2011

A number of changes have been made to the PBRF QE Guidelines. Some of these have resulted in changes to the TEO submission of EPs and census data.

The PBRF IT System will be offline on Friday 11 November while these changes are implemented. This document summarises the key changes that have been made.

### Canterbury Earthquake Special Circumstances (CEC)

The Canterbury Earthquakes Special Circumstances relate to the impact a staff member may have experienced as a result of the earthquakes in relation to the development of research outputs AND the staff member's Peer Esteem (PE) or Contribution to Research Environment (CRE) components.

The changes include:

- A new (optional) section in the EP
- Appointment of a Special Adviser –Canterbury Earthquakes
- Choice of assessment period for RO, PE and CRE:  
Either **1 Jan 2005 - 31 Dec 2010**, or **1 Jan 2006 – 31 Dec 2011**  
**Note:** if 2005-2010 selected, then Canterbury Earthquakes Special Circumstances will only be considered in relation to 6 September 2010 to 31 December 2010.  
**Note:** NRO dates are checked they lie within the selected assessment period
- The addition of 6 impact codes participants can select from to describe the impact of the earthquakes (see below).
- Optional commentary

### Special Advisor – Canterbury Earthquakes

The role of the *Special Advisor – Canterbury Earthquakes* is to advise panellists regarding their consideration of Canterbury Earthquakes Circumstances and to review the results of the QE process, providing assurance that these special circumstances have been appropriately considered.

### Impact Codes

A staff member who has been impacted by the Canterbury Earthquakes can use one or more of the six impact codes provided to identify impacts.

The six new code values and descriptions are:

1. Personal trauma
2. Loss or damage to home and/or contents
3. Inability to access university facilities and resources
4. Increased responsibilities (family-related or work-related)
5. Impediments to undertaking research activity that equates to PE and/or CRE activities
6. Other impact

Fuller details of each of the actions that were agreed in response to managing the impacts of the Canterbury earthquakes are available on the [Quality Evaluation pages](#).

### Referral to the Expert Advisory Groups

- If requesting referral to an EAG, a TEO must indicate at least one NRO which meets the criteria for consideration by that EAG.
- Referral to the Professional and Applied Research (PAR) Expert Advisory Group (EAG) can be to only 1 of 4 sub-groups.

- The EAG will check that the criteria for referral have been met before proceeding with assessment of the EP.
- Even if a TEO does not request cross-referral to an EAG, a Panel Chair can decide cross-referral is necessary.

### **Changes to the EP Schema**

As part of the update, several changes have been made to the EP Schema. The key changes are:

- The addition of a new Canterbury Earthquakes Circumstances section (CEC), including an option to choose an alternate assessment period for RO, PE and CRE components.
- Removal of the CE Canterbury Earthquakes Special CircumstanceType code from the previous set of Special Circumstances codes.
- Business rules for the PanelsType element allow cross referral to only one subgroup of the PAR EAG
- At least one NRO must be flagged for the attention of an EAG. (This rule is enforced in the PBRF IT system, not in the XSD)
- Other minor changes to the EP schema include:
  - Update on how to request an FTP username and login
  - Update on file content types
  - “Other Form of Assessable Output” type 99 includes book reviews & magazine articles

### **Printing and viewing an EP**

Some minor changes regarding the way EPs are viewed and printed from within the IT System have been made, based on feedback:

- EPs printed or viewed by panelists will not include date of birth or gender
- The font size of system EP prints has been increased.

### **Changes to Census Rules in the Guidelines**

The TEC has addressed some confusion related to the terms *PBRF-eligible* and *Participation in the QE*.

Because the census data for 2012 includes ALL staff, then some of the census file specification Notes needed to be clarified to remove any confusion for TEOs.

#### Major Changes to the Census File Specification:

- *Confirmed:* A staff member cannot be employed for more than 1.0 FTE.
- *Clarified:* The Date Of Employment Contract Change is required only for PBRF eligible new and emerging researchers.
- *Check:* If End Date is entered for a PBRF eligible researcher, it must be within 12 months prior to the Census Date. i.e between 15 June 2011 and 14 June 2012.
- *Changed:* If a PBRF eligible researcher has left a TEO within 12 months of the Census Date (i.e. between 15 June 2011 and 14 June 2012), the following fields are not mandatory:
  - Nominated Academic Unit
  - New or Emerging Researcher
  - Date of First Academic Appointment
  - Date of Employment Contract Change
  - Subject Area of Research

#### Other changes to the Census File Specification:

- Changed reference to Provider Code to Provider Number
- Various minor wording changes in Notes column for census file fields
- Corrected field description for Gender
- Clarified that Ethnicity and Position Title data are mandatory for all staff members.