



19 September 2007

## PBRF Sector Update

This note provides an update on the Performance-Based Research Fund (PBRF). It includes information on:

- The complaints process for the 2006 Quality Evaluation

### The complaints process for the 2006 Quality Evaluation

A total of 115 formal complaints were received from 12 TEOs, under the PBRF Complaints process. The complaints generally came into the following categories:

- Transfers of EPs between panels (4)
- Panel expertise and specialist advice (23)
- Data entry errors (20)
- Errors in the assessment process (41)
- Application of special circumstances (5)
- Treatment of conflicts of interest (2)
- Application of the new and emerging researcher assessment criteria (20).

The process for resolving the complaints involved:

- Initial investigation from the PBRF team, including reviewing panel reports, EPs, and preparing an initial report and findings
- Review by external reviewers – Sue Richards and Peter McKenzie QC
- Formal response to the TEOs concerned.

Two of the complaints were upheld.

Some of the complaints included issues with the judgements made by the peer review panels, which was a specific exclusion of the PBRF Complaints process.

The complaints process has highlighted areas that require clarification in the review of panel and assessment processes, including:

- the application of the conflicts of interest policy; and

- the process for determining and reporting the eligibility of staff to be considered new and emerging.

Because of the upheld complaints and data corrections, there will be minor adjustments to the funding allocation ratios; however, the adjustments have such a minimal impact on funding that we do not intend to reproduce the related parts of the public report to show the adjustments. Any changes in funding will take effect in the wash-up process, scheduled for April 2008.

## Contact Us

If you are not familiar with it, or already signed up, please visit the TEC website at [www.tec.govt.nz](http://www.tec.govt.nz) and sign up to **TEC Now** for all PBRF related information - this will ensure you are automatically notified of any changes or additions related to PBRF.

If you have any questions on this note or other implementation matters please contact the team at [pbrfinfo@tec.govt.nz](mailto:pbrfinfo@tec.govt.nz) or phone the PBRF Help line on (04) 462 5338. Faxes can be sent to the main TEC fax on (04) 462 5400.