2015 PBRF Preparation Round Researcher Guidelines

Contents

The purpose of this document is to provide an overview of the content to include in the Preparation Portfolio. The document titled '2015 Preparation Round ROMS Instructions' covers how to create a portfolio in ROMS – click here for a copy.

Further information is available here or contact Georgina Morgan gmorgan2@unitec.ac.nz

1.0 2015 PBRF Preparation Round

The next Quality Evaluation for the Performance Based Research Fund (PBRF) occurs in 2018. It includes outputs and activity that occurred between 1 January 2012 and 31 December 2017. As we are half way through the next assessment period it is timely to review staff research outputs. This will ensure that research plans and goals are ambitious enough to achieve full potential in the 2018 PBRF Quality Evaluation.

1.1 Work Required to Create the Portfolio

The amount of effort required to complete the PBRF Preparation Round Portfolio in ROMS is listed below:
- Selection of up to four Nominated Research Outputs **(NRO)**
- Selection of up to nine Other Research Outputs **(ORO)**
- A single narrative paragraph outlining your Research Contribution
- A single narrative outlining your Research Goals (through to 31 December 2017)
- Submission to the Assessment Panel

Output selection period: 1 January 2012 to present.

Once portfolio information has been completed, the Research Office will generate individual portfolios for review and comment by the Assessment Panel. Portfolios are anticipated to be no more than 2-3 pages per staff member.

1.2 Information Workshops and ROMS Instructions

Workshop information and Instructions on how to complete Preparation Portfolio are available here.

1.3 Timeline

Date	Milestone	Responsible
27 March	Workshops - ROMS 'how to prepare the Preparation Portfolio'.	REO
27 March	ROMS opens for portfolio creation.	REO, all staff.
27 April	ROMS portfolio creation closes.	REO, all staff.
14 July	Panel feedback compiled and letters distributed to researchers.	REO

2.0 Portfolio Assessment

The focus of the Preparation Round is to benchmark research progress against stated research goals and ensure research staff have a realistic overview about their potential in regards to the 2018 Quality Evaluation. The panel will also provide recommendations as to whether the researcher is on track to achieve this and what kind of actions may be needed to address any deficit found.

Portfolios will be rated according to the following:

- <u>On track</u> – this individual is on track to be able to submit a PBRF Evidence Portfolio in the next Quality Evaluation in 2018.
- <u>Unlikely</u> – this individual is unlikely to reach the minimum benchmark for submitting a PBRF Evidence Portfolio in the next Quality Evaluation in 2018.

As a general guide, researchers should be aiming for two quality assured outputs per year to secure a PBRF rating in the 2018 Quality Evaluation assessment period 1 January 2012 – 31 December 2017

3.0 Structure of the Preparation Portfolio

There are four main areas of the portfolio which are covered in this document. These are:

- Nominated Research Outputs (NROs) – up to four outputs selected
- Other Research Outputs (OROs) – up to nine outputs selected
- Research Contribution – narrative
- Research Goals – narrative

These four main areas are covered in more detail below.

3.1 How to Select Nominated Research Outputs

A NRO is a self-selected research output which the researcher selects as one of their best outputs produced anytime from 1 January to present. Up to four outputs can be selected for this category.

When selecting NROs, consider the following:

- Do these appear to be the best four outputs in the portfolio?
- Do they meet the PBRF definition of research? (see the end of this document)
- Do they appear to be of a high enough quality to qualify them as NROs?
- Are they outputs with local, national or international significance?

Other NRO considerations include:

- Type of output – eg, major output such as a book, edited book
- Quality of the publication of the output – eg, reputable journal within the discipline
- Whether the output has been peer-reviewed
- How well respected the output is regarded within the discipline
- The overall level of contribution to knowledge the output has made within the discipline.

As a general guide, the more reputable the output environment is (eg, scientific journals, books) and the higher the knowledge contribution is to the discipline (eg, new knowledge attained), the higher the output is regarded.

3.2 How to Select Other Research Outputs

Up to nine other research outputs can be selected. These are the next best nine outputs after the NROs have been selected. These are listed and no commentary is allowed.

When reviewing ORO consider the following:

- Are they quality assured?
- Do they meet the PBRF definition of research?
- Are they outputs with local, national or international significance?

3.3 Information to Include in the Research Contribution Narrative

The Research Contribution section is a combination of both Contribution to the Research Environment (CRE) and Peer Esteem (PE). The below PE and CRE are examples of what can be blended and included in the Research Contribution narrative.

- Peer Esteem is concerned with the recognition of the staff member's research by their peers (rather than esteem for the staff member's other activities within their organisation, their subject area, or the academic community).
- Contribution to the Research Environment is concerned with the staff member's contribution to a vital, high-quality research environment. Active research environments are a key output sought from the PBRF, and the portfolios provide an opportunity for staff members to indicate their role and contributions in this respect. The contribution to the research environment may occur with the tertiary organisation, at a community or industry level, nationally or internationally.

Specific detail is not required however, enough information should be entered to provide a good indication of engagement in research activity. The below Research Contribution categories may provide some ideas and direction around what to include.

3.3.1 Categories of Research Contribution

The following are the categories proposed by the TEC for the new Research Contribution section.

See the section in the appendix titled 'Examples of Research Contribution' for more information.

- Contribution to research discipline and environment: contribution to the general development of the researchers discipline and/or research environment inside and/or outside academia.
- Facilitation, networking and collaboration: e.g. organising conferences, networks, symposia, acting as conference chair, programme committees, developing external partnerships, collaboration/consortia membership etc.
- Invitations to present research or similar
- Outreach and engagement: this reflects the contribution made to the wider community in NZ or internationally through their research based expertise.
- Recognition of research outputs: positive reviews, output metrics, etc.
- Research Funding and support: securing external and internal research funding, including in kind or pro-bono support.
- Research prizes, fellowships, awards and appointments
- Researcher development: mentoring colleagues in relation to research development
- Reviewing, refereeing, judging, evaluating and examining.
- Student factors: research supervision, co-publishing, etc.
- Uptake and impact: An indication of the contribution an individuals research has outside academia.

3.4 Information to Include in the Research Goals Narrative

Researchers will need to identify their individual research goals, in order to provide a benchmark for assessment and review. Goals may include achieving a specific PBRF rating, or achieving a PBRF rating for the first time. The main focus of the Assessment Panel's activity will be providing feedback on current activity, and what future activity is required to ensure a strong portfolio in 2018. When setting PBRF goals for the upcoming 2018 round, consider the following:

- The type of outputs in the portfolio and what additional research outputs should be the focus over the next 12-18 months.
- Comments on the focus of the research occurring, and whether or not the outputs are oriented towards a particular discipline or subject area.

The Research and Enterprise Office (REO) can assist researchers to set goals and facilitate research collaborations. If this is the case, indicate this in the Research Goals narrative, including your research interests and aspirations and the outputs you would like to complete by 31 December 2017.

4.0 Appendix

4.1 TEC Definition of Research

The following definition of research has been extracted from the Performance-based Research Fund Quality Evaluation 2012 Guidelines.

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 term 'independent' here should not be construed to exclude collaborative work.

4.1.1 Excluded Activities

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 PBRF's 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.**

** Clinical trials, evaluations and similar activities will be included, where they are consistent with the Definition of Research.

4.2 Examples of Research Contribution

Consortia Membership (membership of research collaborations and consortia)

Can include leadership or membership of research collaborations/consortia within Unitec, New Zealand or Internationally. (e.g. major longitudinal studies or ongoing research programmes – one off pieces of research do not count).

Research Discipline (contributions to the research discipline)

This can be within Unitec, nationally or internationally, or a contribution to the profession, business or sector. E.g. participating on research committees, acting as a research mentor to local business etc.

Facilitating Networks (facilitating discipline based and research networks)

E.g. Organising/hosting/chairing conferences, panels, seminars, workshops etc. Developing relationships amongst research within and across institutions and subject areas. Developing and maintaining strong links with end users of research, including communities and stakeholders. Non-conference and community/industry presentations are important here.

Research Environment (within and outside Unitec)

This is the development of research infrastructure (facilities and otherwise) with Unitec and nationally

Don't get this confused with Research Discipline – Research Environment relates to infrastructure/processes for research.

External Research Funding (Generation of externally funded research)

Contacts/funding won for research should be listed. This includes generating funs from external sources, e.g. business/industry. The amount of funding is not required, but can be listed. Make sure you are a named researcher on the funding.

Researcher Development (contribution to)

Are you doing anything to develop new researchers (such as those who have completed their degrees and are starting a research career)? What about helping develop the research capability of more established colleagues?

Student Supervision (student research)

Supervision of research masters or doctoral level students. Group your supervisions by year, degree type, awarding organisation. For doctoral students you may wish to include the students name and thesis title.

Student Assistance (Assisting student publishing, exhibiting or performance)

Under your supervision you have assisted a student to publish, exhibit, participate in competitions, or produce a research output.

Prizes and Awards (Research-related fellowships, prizes and awards)

Prizes and awards include ANY prize or award attached to a specific research output, activity or finding (e.g. best paper awards, Wallace Art Awards).

The prize or award may also reflect on the overall quality and productivity of a staff member rather than one attached to a specific output (e.g. Research awards from professional bodies, Unitec Research Awards).

Research fellowships are recorded under this type where they are associated with research institutions (in NZ or internationally).

Fellows/Memberships (Fellows and/or restricted or elected membership of learned societies or academies)

Can be either local or international, however they must be restricted or elected memberships (e.g. life member of a professional organisation, elected member of an academic society).

Editorial/Refereeing (Participation in editorial boards and/or refereeing (e.g. for journals)

Includes editorship or membership of editorial panels of journals, and reviewing and/or refereeing journal submissions, book proposals, and full conference papers. (NOTE: membership of programme committees for conferences is CRE not PE).

Conference addresses (Invitations to provide conference addresses or similar)

Invitations as a speaker to conferences/events. Conferences and events may be discipline-based or academic, or they may focus on a substantive area of applied knowledge. Keynotes are important.

Favourable reviews (favourable reviews and/or commendations)

Includes review articles or professional comments, letters of commendation, etc.

Appointments (to key discipline-based, research, industry, professional, community or government bodies)

Can include appointments to advisory bodies to industry or to professional, community or government bodies or invited membership of company board of directors. Also, appointments to research-selection and funding bodies or committees, iwi boards, associations.

Student factors (esteem factors associated with students)

This may be your ability to attract graduate and/or overseas students or to mentor students into higher-level research qualifications, positions or opportunities. Indicators may include students with whom the staff member has been able to sponsor into Doctoral scholarships or postdoctoral fellowships (this may not be relevant to all disciplines).

Also included here is the examination of research theses and doctoral theses.

Favourable citations (research-related favourable citations)

Include descriptions and bibliographic references for citations of particular research outputs or bodies of research work that demonstrate the esteem within which your work is help by other researchers. They do not need to show agreement with the research findings, but should show that the research is regarded as credible and significant.

Other

Anything not included in the types above which demonstrates esteem, recognition or acknowledgement of your research by your peers and end users in your own organisation.

- Hosting esteemed researchers at Unitec
- Invitations to mentor or peer review
- Invitations to work in overseas institutions