






	
2003 YEAR	<h2 style="text-align: center;">The Performance Based Research Fund (PBRF) NEW ZEALAND</h2>
PRESENTATION The University of Auckland New Zealand	


	 <h2 style="text-align: center;">1) Origins of the PBRF</h2>
2003 YEAR	<p>Recommended by the Tertiary Education Advisory Commission to:</p> <ol style="list-style-type: none"> 1) provide an incentive for research excellence 2) promote the retention of talented staff and post-graduate students 3) concentrate and focus the research effort undertaken in New Zealand's tertiary providers. <p>A device to weaken the current relationship between research funding and enrolments, and so making valuable research much less vulnerable to changes in the pattern and level of learner demand</p> <p>A bulk payment to each institution</p>
PRESENTATION The University of Auckland New Zealand	

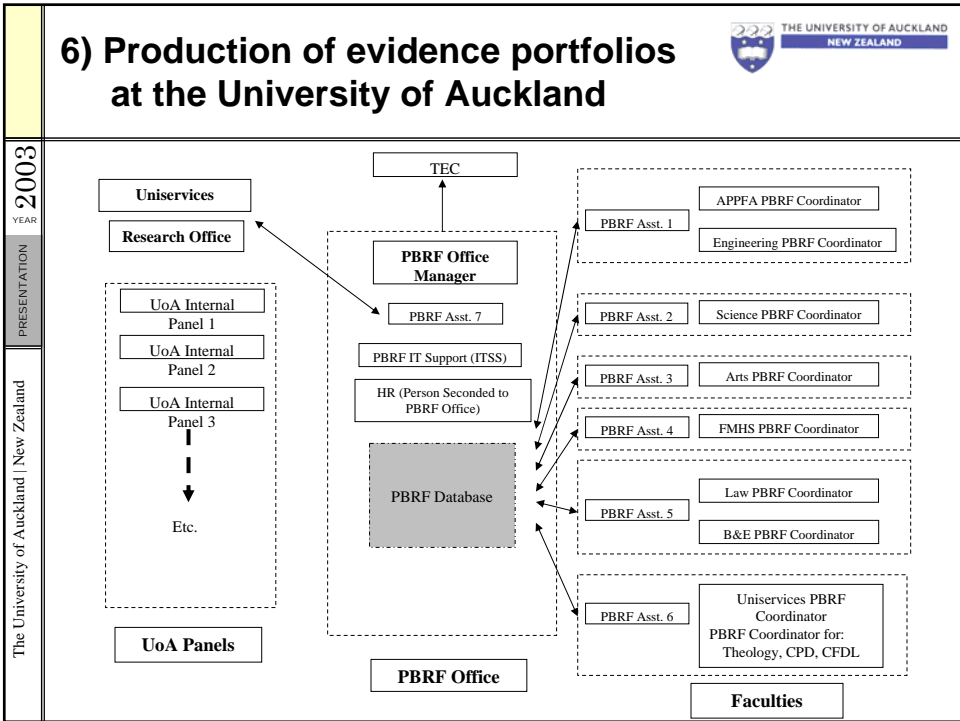
		2) The PBRF Funding Pool and Phasing				
The University of Auckland New Zealand PRESENTATION 2003 YEAR	Derived from the 'Research Top-ups' plus \$20M of 'new' money					
	Phasing					
	Year	Funding on EFTS Formula	Transferred Funding on PBRF formula	New funding on PBRF formula	Total Funding through PBRF to TEIs	
	2003	100%	0	0	0	
	2004	90%	10%	\$10m	\$21.4m	
	2005	80%	20%	\$10m	\$32.8m	
	2006	50%	50%	\$20m	\$77m	
2007	0%	100%	\$20m	\$134m		
TEC will assess staff in the years indicated in bold						

		Allocation process				
The University of Auckland New Zealand PRESENTATION 2003 YEAR	Division of the PBRF Pool:					
	15%	available for dividing among the institutions on the basis of external research income				
	25%	available for dividing among the institutions on the basis of weighted research degree completions				
	60%	available for dividing among tertiary education institutions on the basis of the quality evaluation of academics				

	<div style="text-align: right;">  </div> <h2 style="text-align: center;">Allocation Process</h2> <p style="text-align: center;">(Staff Quality Assessment)</p>															
2003 <small>YEAR</small>	<p>All 'eligible staff' will be assessed individually on the basis of an 'Evidence Portfolio' containing information about their research</p> <p>Assessed first in 2003, then 2006, then every 6 years</p> <p>Each staff member will be graded by one of 12 peer review panels</p>															
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The University of Auckland New Zealand	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;">Grade</th> <th style="width: 20%;">Category</th> <th style="width: 70%;">Specification</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">0</td> <td style="text-align: center;">Category D</td> <td>Research Inactive</td> </tr> <tr> <td style="text-align: center;">1</td> <td style="text-align: center;">Category C</td> <td>Regular application of existing research methodologies with acknowledgement by peers of sound research basis.</td> </tr> <tr> <td style="text-align: center;">3</td> <td style="text-align: center;">Category B</td> <td>Original or innovative research that is recognised within New Zealand or elsewhere and is esteemed by the academic community beyond the researcher's own institution.</td> </tr> <tr> <td style="text-align: center;">5</td> <td style="text-align: center;">Category A</td> <td>Highly original or innovative research that ranks with the best of its kind in the world and is esteemed by the international academic community.</td> </tr> </tbody> </table>	Grade	Category	Specification	0	Category D	Research Inactive	1	Category C	Regular application of existing research methodologies with acknowledgement by peers of sound research basis.	3	Category B	Original or innovative research that is recognised within New Zealand or elsewhere and is esteemed by the academic community beyond the researcher's own institution.	5	Category A	Highly original or innovative research that ranks with the best of its kind in the world and is esteemed by the international academic community.
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	<div style="text-align: right;">  </div> <h2 style="text-align: center;">4) Eligibility</h2>
2003 <small>YEAR</small>	<p>All academic staff will be included in the PBRF if they:</p>
PRESENTATION	<p>EITHER are employed on the census date by a degree-granting tertiary education provider or eligible subsidiary under a contract of salaried employment with a duration of at least one year;</p>
The University of Auckland New Zealand	<p>OR have been employed on the census date by a degree-granting tertiary education provider or eligible subsidiary for more than a year under one or more contract(s) of salaried employment on a continuous basis;</p> <p>AND</p> <p>(i) they are employed for a minimum of one day a week on average or 0.2 FTE over the period of the entire year; and</p> <p>(ii) their employment functions include research and/or teaching degree-level programmes.</p> <p style="text-align: right;">(Census date: 31st July 2003)</p>

2003									
	<h2>5) Evidence Portfolio</h2>								
	<p>Evidence Portfolios will contain information on the research activities of the staff member between 1st January 1997 and 31st December 2002</p> <p>Contents:</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 80%;"></th> <th style="text-align: right; width: 20%;">Weight</th> </tr> </thead> <tbody> <tr> <td>1) A detailed list of up to four 'most significant research outputs of the staff member during the 6 year period above</td> <td rowspan="2" style="text-align: right; vertical-align: middle;">} 70</td> </tr> <tr> <td>2) A list of up to 50 research outputs during the 6 year period above, in standard bibliometric format</td> </tr> <tr> <td>3) Evidence of peer esteem in relation to the work of the researcher during the 6 year period above</td> <td style="text-align: right;">— 15</td> </tr> <tr> <td>4) Evidence of contribution to the research environment</td> <td style="text-align: right;">— 15</td> </tr> </tbody> </table> <p style="font-size: small; margin-top: 10px;">Institutions must provide a provisional grade (0 – 5) for each evidence portfolio when submitting to TEC. TEC panels then confirm or modify the grade.</p>		Weight	1) A detailed list of up to four 'most significant research outputs of the staff member during the 6 year period above	} 70	2) A list of up to 50 research outputs during the 6 year period above, in standard bibliometric format	3) Evidence of peer esteem in relation to the work of the researcher during the 6 year period above	— 15	4) Evidence of contribution to the research environment
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PRESENTATION	The University of Auckland New Zealand								



PBRF(NZ) - SUMMARY



2003
YEAR

PRESENTATION

The University of Auckland | New Zealand

- Good underlying principle
- BUT
- “bureaucrats delight” – high transaction cost
 - High opportunity cost for universities
 - Little new money
 - Classification of junior staff as “research inactive”
 - Gaming
 - PBRF “A” staff poaching