



# Research Quality Framework

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## Plan

- Perspective
- RQF Overview
- Research Quality
- Research Impact
- Research Groups
- Review Panels
- Strategies
- The Bottom Line

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## Perspective

- Our Goal as Academics is to do high quality research and publish it in the best possible place
- Must be careful not to let the funding mechanisms upset this goal

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## RQF Overview

- Funding for Research is now going to be based on research
  - Quality; and
  - Impactas assessed by Expert Panels
- Old system was based on
  - Number of Publications
  - Amount of external research income
  - HDR student load and completions
- Amount of funding is substantial. For ANU the amount received currently under the Institutional Grants Scheme (IGS) is about \$20 mil and the amount received under the Research Training Scheme (RTS) is about \$30 mil. The RQF will apply 100% to IGS and a proportion of RTS (probably 50%).
- The cost of the RQF is expected to be large. UK RAE costs were 77 million pounds; NZ PBRF costs were 12-14% of total funding

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## RQF Overview

- Funding is University wide
- Based on Research Groups
  - Minimum size of 5 based on 4 digit RFCDC codes
  - Eligible researchers Level B or above with at least .4 FTE appointment or staff funded through individual competitive grants
- Researcher must be on staff as of 31 Dec 2006 and still be on staff on 31 March 2007
- Period covered is 2001-2006 inclusive
- Assessment made every 6 years
- Process
  - University Submits Evidence Portfolio 30 April 2008
  - Review Panels finalise quality and impact scores Sept 2008
  - Results go to the Minister November 2008 and
  - Results are released 1 Jan 2009
- Good News – Next RQF not until 2013!
- RQF site --  
[http://www.dest.gov.au/sectors/research\\_sector/policies\\_issues\\_reviews/key\\_issues/research\\_quality\\_framework/](http://www.dest.gov.au/sectors/research_sector/policies_issues_reviews/key_issues/research_quality_framework/)

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## Research Quality

- Basis of quality assessment will be:
  - 4 best outputs during 2001-2006 for each researcher in the research group
  - Special provisions for early career researchers who can submit 2 outputs
  - Full list of outputs for the research group during 2001-2006
  - Evidence of quality as provided as part of the research group's context statement
- Performance metrics used will be:
  - Ranked outputs based on discipline specific rankings for journals, books, conferences, performance venues
  - Citation data including citations per publication and proportion of the research groups output that falls in the top percentiles for the discipline using international citation benchmarks
  - Competitive grant income of the research group
- Rating Scale
  - 5 - Research **world leading** or makes an equally **exceptional** contribution in an area of particular significance to Australia
  - 4 - Research **meets world standards of excellence** or makes an equally **excellent** contribution in an area of particular significance to Australia
  - 3 - Research is **recognized internationally** as excellent in terms of originality, significance and rigour but nonetheless falls short of the highest standards of excellence
  - 2 - Research is recognized as methodologically sound in its field and of high originality, significance and rigour
  - 1 - Research that is deemed to fall below the standard of recognised quality work

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## Research Impact

- Can go back 6 years prior to 2001 for 12 years in total
- Research must have a quality rating of 2 or more
- Impact Statement of up to 10 pages including:
  - An evidence based statement for the Research Group against generic and panel specific impact criteria including verifiable indicators in support of impact claims
  - Up to 4 case studies that illustrate the Research Group's claims
  - Details of end users who can be contacted by the assessment panels to verify the Research Group's claims
- Prospective impact is not assessed
- The Research Group can make a case for exclusion from impact assessment if this is not appropriate. In which case the publicly reported rating is "Not Assessed"

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## Research Impact

- Scale:
  - A - **Adoption** of research has produced an **outstanding** social, economic, environmental and/or cultural benefit for the wider community, regionally within Australia, nationally or internationally
  - B - **Adoption** of research has produced a **significant** social, economic, environmental and/or cultural benefit for the wider community, regionally within Australia, nationally or internationally
  - C - Research has been **adopted** to produce new policies, products, attitudes, behaviours and/or outlooks in the end user community
  - D - Research has **engaged** with the end user community to **address** a social, economic, environmental and/or cultural benefit for the wider community, regionally within Australia, nationally or internationally
  - E - Research has had limited or no identifiable social, economic, environmental and/or cultural benefit for the wider community, regionally within Australia, nationally or internationally
- 4 impact areas – Social benefit, Economic benefit, Environmental benefit, Cultural benefit
- Cumulative assessment – engagement, adoption, adoption leading to significant benefit, adoption leading to outstanding benefit.
- Since end users need to verify the Research Group's impact claims, we need to start early on this.

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## Research Groups

- Minimum of 5 Faculty
- Common 4 digit RFCD code or mix of codes for cross discipline groups
  - Can nominate up to 3 separate 4 digit RFCD codes (each with min 20% share)
  - Need to nominate a Home Panel
  - Individual researchers can belong to more than 1 Research Group
- Context Statement for Research Group
  - 4 best research outputs per researcher
  - Statements of impact that can be verified by qualified end users of research
  - Information about the type, composition and focus of the group
  - Supplementary information demonstrates the group's capacity:
    - Total number of research outputs organized by research category
    - Evidence of collaborative activity
    - Editorial or peer review service to journals
    - The number of research only staff, early career researchers and HDR student load and completions
    - HDR student employment destinations
    - Statement of the Group's competitive grant income
    - Information linking any previous research by the group to its impact in 2001-2006
- Reporting – each Research Group will have its quality, impact, size and discipline focus reported
  - Reporting is at the Research Group level and not individual level
  - Total number of eligible staff versus staff submitted for assessment will be reported for each University
- Funding – only those Research Groups which have a score of 2 or more for quality and D or more for impact count for funding purposes
- Universities retain discretion over internal allocation of RQF funding across Research Groups

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## Review Panels

- Expert Peer Review based assessment with a strong international and end user dimension
  - 12 reviewers of international standing
  - Minimum of 3 internationals
  - Minimum of 3 end users
  - Provision for specialist assessors where necessary
- 13 Panels. Panels most relevant to CBE are:
  - Panel 4 - Mathematics and IT: RFCD codes 2301-2399; 2801-2899
  - Panel 10 - Economics, Commerce and Management: RFCD codes 3401- 3599
- Moderation Panel which will include the 13 Panel Chairs will ensure equitable treatment within and across panels.
- ANU has set up Shadow Panels to help with the process across the University.

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## Strategies

- Data Collection – College or University?
  - Groups such as Econ and Stats are spread across the University
- Number, size and composition of Research Groups?
  - How many Research Groups
  - Size of Research Groups
  - Number of faculty to be assigned to Research Groups.
- Which panels should Research Groups nominate for?
  - IS and Applied Stats can be in Panel 4 (Maths and IT) or Panel 10 (Econ, Commerce and Management)
- What is the funding formula going to be?
  - Likely to be based on the average score of research groups across the University times number/fraction of eligible faculty included in research groups

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## The Bottom Line

- ANU Research Office will request you to:
  - Provide all publications during 2001-2006
  - Nominate best 4 outputs and provide pdf's
  - If you are going to be on a number of Research Groups you should nominate more than 4 outputs
  - Provide information about impact including any engagement, adoption and benefit to the wider community; as well as details of end users who can verify the impact
  - Nominate Research Groups, RFCD codes
  - Supplementary information needed for context statement (grant income, HRD students, editorial roles etc)
- CBE and School Administrators will follow this up
- Good news is that the whole process won't be repeated until 2013/2014!
- Don't let any of this distract you from your goal of doing high quality research and publishing it in the best possible place!

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