

## Macquarie - Newcastle RQF Trial : Information and Instructions for Researchers

### The context of the RQF Trial:

Macquarie and Newcastle universities have agreed to collaborate on an exercise (trial) in preparation for the RQF whereby active researchers at both universities will have portfolios of work peer assessed by external assessors of international standard. This trial will establish an international benchmark for our research and profile our strengths across the University. It will prepare our academic and support staff for the RQF, providing useful feedback to individuals, and inform the process of forming research groupings for the RQF proper.

Recently there has been a great focus on collecting publication and peer esteem details in the IRIS database. This collections process has three purposes:

1. Eligibility for this RQF Trial – all researchers must have sufficient research outputs in specified categories in the years 2001-2006 to be eligible for this trial; see details later in this document.
2. HERDC reporting, and funding model figures - these are the audited DEST proxy figures that get reported to DEST and feed into the IGS and RTS Block Grant funding received by Macquarie, and then into the Divisional Funding Model. These figures are reported in June. Only 2006 publications attributable to Macquarie count for reporting in 2007.
3. RQF Proper (planned for 2008) - Publications 2001-2006 plus peer esteem factors will be relevant for the real RQF, irrespective of whether you were at Macquarie at the time. All staff should continue to update IRIS with any missing publications (especially for the period 2001-2006) over the coming months.

The RQF Trial will involve assessment of Quality Portfolios submitted by each included staff member. The Quality Portfolio for each individual will comprise a self-selected list of your 4 highest quality research outputs (a minimum of 2 for Early Career Researchers) with publication dates 2001-2006, accompanied by brief explanations of why the chosen outputs are significant in their field and what your role was in the research, a list of up to 6 self-selected peer esteem factors with brief explanation as appropriate, a list of your refereed publications (books, chapters, articles, conference papers, creative works of defined categories) with publication dates 2001-2006, and information about Higher Degree Research student supervision and external competitive grant income for the same period. **You will not be required to submit copies of the 4 selected outputs.**

Note that if you are not included in the RQF Trial, this does not mean that your contribution to the University is not valued, nor that you are excluded from ongoing research activity. The final eligibility criteria for inclusion in the 2008 RQF will be set by the Commonwealth and the University must necessarily choose the same criteria (as put forward in the Recommended RQF). Staff who do not meet the criteria at this time should continue to pursue their research with the aim of being included in later RQF rounds.

More detail on the schedule for the trial, the rules by which staff will be selected for inclusion, the way the material will be assessed, and what you need to do if included, are given below.

### Key Dates:

18 <sup>th</sup> May	List of staff who will be included in the trial to be finalized.
25 <sup>th</sup> May	Deans and ADRs to select appropriate panels for each participant in the trial and to verify the email address for each.
30 <sup>th</sup> May	A partially pre-populated Quality Portfolio will be emailed to individual staff who are included in the trial.
c. 5 <sup>th</sup> June	Your Division may require you to submit your portfolio to them for checking and consolidation prior to it being forwarded by them to the RQF team.
12 <sup>th</sup> June	The completed Portfolio must be returned to the RQF Trial team via email. <b>NO LATE SUBMISSIONS</b> will be accepted as both Newcastle and external assessors have set aside specific time for the assessments and their administration.
Late August	Results are distributed to individual researchers, their Dean and their ADR.

## To be included in the RQF Trial you must:

- Have been employed at 0.4 FTE or more in an Academic position (levels A-E) on the RQF census date 31 March 2007
- Have been included in the list approved by your Dean for inclusion on the RQF Trial
- As at 14<sup>th</sup> May 2007, have recorded a total of 4 or more outputs in IRIS, for the years 2001-2006 across categories A1, B1, C1, E1, H, I, J1, J2 (or minimum 2 outputs for ECRs at a minimum average 1 per year post-PhD). In a small minority of areas there may be a case for including other categories of research output which can demonstrate Quality. Such cases must be approved prior to submission of the portfolios by emailing the request to [rjf@vc.mq.edu.au](mailto:rjf@vc.mq.edu.au).
- Complete your Quality Portfolio in accordance with the instructions that will accompany it
- Return your completed Portfolio electronically to the RQF Trial team either through your Division by their deadline date, or otherwise directly via email by midnight on Tuesday 12<sup>th</sup> June ([rjf@vc.mq.edu.au](mailto:rjf@vc.mq.edu.au)); only portfolios sent to this email address are guaranteed to be accepted.

## How the assessments will be conducted:

- Assessments will be made for individual staff in respect of Quality of research outputs; the trial will NOT consider socio-economic "Impact" as defined in the Recommended RQF
- A later trial is being considered to assist with the creation of groupings and the formation of socio-economic Impact statements; this would occur in October at the earliest and may be subject to outcome of a federal election
- 23 panels have been formed to assess the individual portfolios; all assessors are external to Macquarie and Newcastle Universities and are of international standing in the specialist disciplines encompassed by their panel; panel assignment is made by Deans, and can only be changed at the request of a Dean
- Administration of the panels has been divided across the two universities, with Newcastle administering 11 and Macquarie administering 12; all contact with Divisions and individual researchers will be through their home university regardless of which university is administering their panel
- All Quality Portfolios will be assessed by a minimum of two assessors; each assessor will rate the Portfolio on a scale of 1 to 5 for Quality following the guidelines of the Recommended RQF; in addition they will make comments on the portfolio which may include suggestions for improving the selection of the 4 key outputs and the supporting text
- Assessors names will be known only to administrative staff directly involved in administering the RQF Trial; assessors will sign an engagement letter requiring complete confidentiality in respect of the assessments
- Assessors may use whatever means are available to them to support their assessment such as journal databases, reviews referenced, library holdings accessible to them, web-based sources and so on
- Each panel will have a moderator; where assessors' ratings differ the moderator will facilitate the process of arriving at an agreed rating with the assistance of a third assessor and/or direct discussions with the two primary assessors; they will also moderate and consolidate feedback given. In the event that no agreement is reached on a rating, the two DVC(R)s will intervene to broker an agreement
- The output from the assessment will be a single rating on a 1 to 5 RQF scale, plus consolidated written feedback on the portfolio
- The results of individual assessment will remain confidential to the individual researcher, their Dean and ADR, and members of the DVC(R) Office directly involved in the RQF Trial
- Statistical data at an aggregate level may be used and distributed to wider audiences, and will be used for benchmarking

## What you will receive and what you need to do with it:

- The Quality Portfolio template will be pre-populated with data from IRIS and from AMIS where available; whilst you may amend the data in the template (see below) **you must not change the formatting of the document.**
- The Portfolio will be a word document so you may correct information where it is incomplete or incorrect (changes will be reviewed and may be audited).
- You are asked to ‘copy and paste’ references to your chosen 4 best outputs from the ‘body of work’ section of the template into the space provided to list your 4 chosen outputs
- For each chosen output you are requested to add two paragraphs, to a maximum of 200 words *total*, to explain i) the significance/ importance of the research results reported in the chosen output, and ii) your role in the research/output (if there is more than 1 author). To support your case for the significance of the chosen output, you should state briefly why this is an important advance in the research area/topic, and include citation counts (or other evidence of uptake in the field), journal impact factors (or other evidence of the standing of the publisher), references to (book/professional) reviews or highlight notices relating to the chosen output, and any other supporting evidence that is appropriate to your area of research. You may wish to work into the text mention of previous works that pre-dated 2001-2006 but that are related to the 2001-2006 outputs you select if that strengthens your case.
- You may choose up to 6 esteem factors and for each of those include up to 50 words of description; they do not have to have been entered in IRIS. These esteem factors might include keynote addresses and invited papers or lectures; editorships of high quality books or journals; prizes and awards; and other similar types of recognition for you as a significant contributor to your field of research. For especially prestigious esteem factors (major prizes, prestigious Fellowships of Learned Academies etc) these may pre-date 2001. You might mention significant non-ACG grant income in this section. Note that these claims may be audited by the University.
- Totals for Australian Competitive Grant Income (ACG, DEST category 1) will be included by year 2001-2006, for grants for which you were/are a listed Chief Investigator, as recorded on IRIS; this will not include grant income prior to your joining Macquarie unless the grant was transferred to Macquarie. You may adjust these figures if they understate your ACG income, and there is a separate box for other pre-Macquarie ACG income in the period 2001-2006 (claims may be audited for verification). You may include ACG income for grants administered at other universities on which you were a named Chief Investigator, whether or not you were at the time employed by Macquarie.
- Your performance as a Supervisor or Associate Supervisor of Higher Degree Research students will be represented through numbers (FTE) of HDR students who you have supervised and numbers of HDR students who have completed during the specified period (2001-2006). These numbers will be pre-populated from AMIS: you may adjust these if you believe they are incorrect but your claims may be subject to audit. You may include any students, whether at Macquarie or elsewhere, provided that you were the principle or associate supervisor, or equivalent.
- Your body of work in the 8 categories included for the RQF Trial will be shown at the bottom of the portfolio, arranged by year; you may add any missing items into this section, however you must make separate arrangements for entering these into IRIS ahead of the proper RQF.
- Portfolios may be audited so please do be careful in altering the content of the portfolio to ensure that amended figures can be substantiated if required.
- As noted above you are required to submit your completed portfolio to the RQF Trial team via email by midnight on Tuesday 12<sup>th</sup> June ([rqf@vc.mq.edu.au](mailto:rqf@vc.mq.edu.au)) – or earlier to your Division if they require you to do so.

## If you have more questions:

- These may be answered by the MQ RQF website: <http://www.research.mq.edu.au/policy/rqf>
- You can refer questions to your Associate Dean Research
- You can email the RQF team at [rqf@vc.mq.edu.au](mailto:rqf@vc.mq.edu.au)

STAFF DETAILS:		FTE: «FTE»
Name:	«TITLE» «PREFERRED_NAME» «SURNAME»	
School / Faculty:	«SCHOOL», «FACULTY»	
Special Case:	«SPECIAL_CASE»	
Trial Panel Name:	«TRIAL_PANEL»	

BEST 4 RESEARCH PUBLICATIONS – 2001-2006	
1	<p><b>For each, 2 paragraphs: one paragraph relating to academic quality.</b></p> <p><b>One paragraph relating to contribution to the field.</b></p> <p><b>Total of up to 200 words per publication/output.</b></p>
2	
3	NOTE: All fields with “<< >>”s are intended to be pre-filled from the HR, Student and IRIS systems.
4	

ESTEEM FACTORS – 2001-2006	
Esteem Type	Description
Up to 6 items, with up to 50 words of description for each.	

INDIVIDUAL AGGREGATE OF RESEARCH PERFORMANCE – 2001-2006							
	2001	2002	2003	2004	2005	2006	Total
ACGR \$ This University	«C_FUN DING_20 01»	«C_FUN DING_20 02»	«C_FUN DING_20 03»	«C_FUN DING_20 04»	«C_FUN DING_20 05»	«C_FUN DING_20 06»	«C_FUNDI NG_TOTA L»
Other University ACGR \$ received in the assessment period							To be input
Research Degree Completions							«HDR_CO MPLETIO NS»
Research Degree Supervision Load (FTE) in the assessment period							«HDR_LO AD»

**RESEARCH PUBLICATION, BODY OF WORK - 2001-2006**

**2006**

«PUBS\_2006»

**2005**

«PUBS\_2005»

**2004**

«PUBS\_2004» [2003, 2002 and 2001 then follow]