

## Performance Based Research Fund (PBRF) Policy and Procedures

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<b>Rā Arotake   Review Date</b>	July 2022
<b>Mana Whakaae   Approval Authority</b>	Deputy Vice Chancellor (Research)
<b>Āpiha Whakapā   Contact Officer</b>	Elements & Profiler Coordinator – Office of the Deputy Vice-Chancellor (Research)

### Kupu Whakataki | Introduction

This document relates to the handling and use of Performance Based Research Fund (PBRF) Quality Evaluation related information by the University, including

- access to PBRF Evidence Portfolios,
- the grades assigned to the Evidence Portfolios of individuals, and
- the procedures for allocating PBRF funding.

### Kaupapa Here | Policy Statement

The University will establish processes and protocols for maintaining the confidentiality and security of PBRF related information, including Evidence Portfolios (and content supplied only for the purposes of preparing an Evidence Portfolio) and the TEC assessed individual Quality Categories of staff.

The PBRF funding paid to the University is based on the University's performance in each PBRF measure compared to the performance of the rest of the PBRF participants in each PBRF measure. Within the University, PBRF funding is allocated to the unit in which it was generated. With respect to the three PBRF measures, this means

- Quality Evaluation (QE): funding will be allocated to the unit/s in which the researcher who generated the funding is employed, as recorded in the PBRF QE funding allocation spreadsheet.
- Research Degree Completion (RDC): funding will be allocated to the unit/s of the supervisor/s of the completed degree, as recorded in UC SMS as EFTS splits.

- c) External Research Income (ERI): funding will be allocated to the unit hosting the research grant/funding, which will usually be the unit of the lead principal investigator or funding recipient, as recorded in R&I's Research Management System.

## Quality Evaluation

The University will take reasonable steps to ensure individuals are aware of the policy for use of PBRF related information prior to their participation in the Quality Evaluation.

The University will inform all staff participating in a PBRF Quality Evaluation of

- the circumstances under which PBRF related information is shared beyond the individual that the information relates to.
- the University positions that will have access to an individual's Quality Category,
- the names of individuals who will have access to Evidence Portfolios,
- the ways in which PBRF related information may be used, and
- the ways in which PBRF related information may not be used.

The University will, in conjunction with staff and Tertiary Education Union (TEU) representatives, establish codes of practice and complaint procedures that govern the behaviour of staff members participating in the PBRF Quality Evaluation.

The University's code of practice relating to staff participation in the PBRF Quality Evaluation will indicate that

- Maintenance of the confidentiality of individual Quality Categories (and Component Scores if known) is a priority for the University.
- Staff members will not be required to divulge their Quality Categories.
- Each staff member has an opportunity to discuss their Quality Category with their manager if the staff member desires.
- In the event that a staff member advises a manager of their Quality Category, or Quality Category and Component Scores, that manager will not use that information for purposes other than those authorised by the individual staff member concerned and within the restrictions specified in this protocol.

## Use of Quality Categories

The University will not use individual Quality Categories, or information leading to the revelation of individual Quality Categories, for purposes other than those consistent with this protocol and advised to staff members prior to participation in the Quality Evaluation.

In particular

- The University will not use individual Quality Categories as a basis for salary determinations.

- The University will not request individual Quality Categories for recruitment purposes. Recruitment decision will be made on the basis of all evidence of teaching, research and service performance, and other responsibilities and competencies as set out in the position description for the specific role, as well as the University's overall staff profile (particularly since the offered Quality Category cannot be verified by the University).
- The University will not use individual Quality Categories for performance appraisals or for disciplinary action against staff.

### Uses of PBRF results

- a) Individual Quality Categories (and Component Scores if known) **may be** used for:
- Allocation of PBRF funding – the PBRF Manager will aggregate PBRF data for colleges, departments, schools and research centres and supply it to Financial Services for the purpose of allocating PBRF funding. Financial Services staff will not have access to individuals' Quality Categories.
  - Professional Development and Review (PD&R) – individuals will not be expected to disclose their PBRF results for PD&R purposes, however, individuals may choose to share their results with their manager to inform their professional development. If an individual chooses to share their PBRF data with their manager, the manager will not use that information other than for purposes authorised by the individual staff member concerned and within the restrictions specified in this protocol.
  - Researcher development - as part of their PBRF support and advisory role, PBRF staff have access to the previous PBRF results of individuals, in order to assist staff with preparing for future PBRF assessments. Additionally, individuals may choose to share their PBRF data with a mentor to inform their development.

### Confidentiality

The University will restrict access to PBRF related information to the minimum number of staff necessary to achieve the following purposes:

- Provision of constructive feedback and advice on Evidence Portfolio's as they are being developed;
- Validation of the accuracy of the Quality Categories, along with Full Time Equivalent (FTE) and subject cost categories for individual staff;
- Internal management and allocation of financial resources (consistent with the purposes of the PBRF);
- To identify research strengths of departments/schools/colleges; and/or
- As an externally-validated benchmark to help ensure appropriate internal calibration of assessments of research.

The maintenance of individual Quality Categories (and Component Scores if known) confidentiality is a priority and the University will ensure that no identification of individual Quality Categories can be made outside this small number of staff.

- The following roles will have access to the Quality Category and Component Scores of all individuals
  - Vice-Chancellor;
  - Deputy Vice-Chancellor Research (DVC(R));
  - PBRF Manager;
  - PBRF Team Members;
  - Pro-Vice-Chancellors will have access to the Quality Category and Component Scores of individuals within their College.

The University will not divulge individuals' Quality Categories to any third party without the prior authorisation of the individuals concerned. In particular, the University will ensure that individual Quality Categories of staff, either employed by the University or by another TEO, are not revealed through marketing or advertising activity initiated by the University.

## **Tikanga | PBRF Procedures**

### **1. Access to PBRF results**

Any staff with access to PBRF results of others will be required to sign a confidentiality agreement that stipulates that the information is to be kept confidential in perpetuity and the uses to which that data may be put.

Individuals will be advised of and have access to their own PBRF results (see below section).

Individuals may choose to share their PBRF data with others, but at no time should individuals feel pressured to make this information available to others.

### **2. Informing individuals of their PBRF results**

Individuals will be advised of their Quality Categories, Component Scores (if known) and any other relevant PBRF information supplied by the TEC by letter. Letters will be marked as confidential and delivered to the staff member's department/school or email.

Individuals may request not to receive their PBRF results at the time they submit their PBRF portfolio. These staff will not be sent a results letter.

The University will supply individuals with a copy of their submitted Evidence Portfolios.

The University will advise individuals of their Quality Category (and any other assessment information provided by the Tertiary Education Commission (TEC)), unless the staff member requests otherwise.

### 3. Supplying PBRF Results to Authorised Staff

PBRF results will be supplied by email as a password secured spreadsheet; the password will be supplied separately.

### 4. Making a Complaint regarding the Use of PBRF results

Where individuals believe that PBRF results have been handled or used inappropriately they should make an official complaint to the DVC(R). Complaints should be made by letter.

In response, the DVC(R) will

- investigate the complaint in a timely manner;
- respond to the complainant by letter; and
- instigate appropriate disciplinary actions under the [Staff Code of Conduct \(PDF, 481KB\)](#) and University disciplinary actions.

## Allocation of Funding

Funding is allocated to the unit hosting the research grant/funding, which will usually be the unit of the lead principal investigator (specified in the Research Management System), unless an alternative arrangement is documented and advised to Research & Innovation, or the funding recipient.

Where the research grant funding is hosted by a Research Institute or Centre of Research Excellence, the associated ERI funding is split between the host department/school and the unit/s employing the principal investigators:

- Biomolecular Interaction Centre: 50% to the host, 50% to the lead principal investigator's employing unit.
- Child Well-Being Institute: 50% to the host, the remaining 50% split between the principal investigators' employing units based on FTE.
- Geospatial Interaction Centre: 50% to the host, 50% to the lead principal investigator's employing unit.
- New Zealand Institute of Language, Brain and Behaviour: 50% to the host, the remaining 50% split between the principal investigators' employing units based on FTE.
- QuakeCoRE: 50% to the host, 50% to the lead principal investigator's employing unit.

## **Allocation of Quality Evaluation Funding**

The PBRF Manager will maintain a spreadsheet listing the grades assigned to the Evidence Portfolios of individuals, by unit. To protect the confidentiality of these grades, a high-level summary of the unit's aggregated grade weights and share of UC's grades will be produced for Financial Services for the purpose of allocating QE funding.

By default, the weighted result and associated funding will be allocated to the unit/s in which the researcher was employed at the time of the PBRF Census (using the FTEs at the time of the Census to allocate funding to more than one unit, if required). A report of the provisional allocations will be sent to unit/s to confirm/negotiate at the time of the release of QE results.

If researchers move between units following the initial allocation of QE funding, they can negotiate with the relevant Heads and Pro-Vice-Chancellors (PVCs) to have their funding reallocated to their new unit. The Heads and PVCs of all units involved need to agree to this reallocation.

Reallocations take effect at the beginning of the next calendar year and would only affect current and future payments (i.e., there will be no centrally managed transfer of previous payments). An email confirming the details of the reallocation, and who has agreed to this reallocation, should be sent to the PBRF Manager and copied to the researcher and the Heads, PVCs and College Finance Managers involved. The PBRF Manager will reallocate the funding in the QE allocation spreadsheet and send the updated QE allocation spreadsheet to Financial Services to implement in the following calendar year.

If researchers undertake their research within a research centre or institute they can negotiate with the relevant Heads and PVCs to have a proportion of their funding allocated to the research centre/institute. The Head and PVCs need to agree to this reallocation. An email confirming the details of the reallocation, and who has agreed to this reallocation, should be sent to the PBRF Manager and copied to the researcher and the Heads, PVCs and College Finance Managers involved. The PBRF Manager will reallocate the funding and send an updated QE allocation spreadsheet to Financial Services to implement in the following calendar year.

## **Allocation of Research Degree Completion Funding**

RDCs are allocated to the academic unit/s of the degree supervisors at the time of supervision, tracked via the unit/s that administer the course in the University's SMS and any recorded supervisory splits recorded for a particular student in the University's SMS.

To ensure that the supervisory splits (the agreed percentages for splitting any University income associated with the student between the supervisors' units) are recorded correctly, a list of completions for the previous year, with supervisory splits, will be circulated to colleges for checking during the semester one break. Any changes to splits need to be approved by the appropriate College Finance Managers and updated in the University's

SMS. An email confirming the details of the split should be sent to the PBRF Manager and copied to the College Finance Managers involved.

The Business Insight Team will supply Financial Services with a high level summary RDC allocation spreadsheet listing allocations by department for allocation of funding.

## Allocation of External Research Income Funding

Financial Services provide a report of research and other income that may qualify as ERI to Research & Innovation, UC Foundation and the Scholarships Office. These departments check the data and confirm the ERI eligibility of the income and return the data to Financial Services.

Financial Services will allocate ERI funding to units using a confirmed summary of aggregated funding by unit.

A copy of the ERI data and the ERI allocation spreadsheet will be forwarded to the PBRF Manager.

## Tautuhinga | Definitions

**Component Scores** – The numerical score, out of 7, assigned to the components of a PBRF portfolio and used to determine the Quality Category.

**Evidence Portfolio** – A document describing the research activities and achievements of a researcher for a specific assessment period, in a format proscribed by the Tertiary Education Commission.

**External Research Income (ERI)** – 20% of the PBRF funding pool. A measure of research excellence based on the value of external research income awarded to the organisation, assuming funder choice as a proxy for research excellence. The ERI measure is calculated as a rolling average using three years of completion data, with weights applied for the year of funding and the funder type. ERI is calculated annually. (For further information on ERI, see the [Performance-Based Research Fund User Manual V4 \(Tertiary Education Commission website, PDF\)](#)).

**Performance Based Research Fund (PBRF)** – a government research fund designed to encourage and reward research excellence in the tertiary sector, managed by the Tertiary Education Commission (TEC). The PBRF includes three measures: Quality Evaluation (QE), Research Degree Completion (RDC) and External Research Income (ERI). Funding is allocated proportionally based on an organisation's performance in relation to other participating organisations. (Refer to the University's [Performance-Based Research Fund \(PBRF\) – Funding and Allocation Procedures Policy \(PDF, 457KB\)](#)).

**Quality Category (QC)** – the grade assigned to a portfolio by the TEC PBRF Quality Evaluation peer review panels, i.e., A, B, C, C(NE), R or R(NE). R and R(NE) QCs are not funded. NE indicates the staff member is “new and emerging”, which means the staff

member undertook substantive and independent research for the first time during the assessment period.

**Quality Evaluation (QE)** – an assessment of the research performance of eligible staff at PBRF-participating tertiary education organisations, by an expert peer-review panel. It is held periodically and is the major component of the PBRF (allocating 55% of fund).

**Research Degree Completion (RDC)** – 25% of the PBRF funding pool. A measure of research excellence based on the number of RDC-eligible degrees completed each year, assuming student choice of organisation as a proxy for research excellence. The RDC measure is calculated as a rolling average using three years of completion data, with weights applied for year since completion, degree type (a volume of research component weighting), completion subject area (cost weighting), student ethnicity (an equity weighting), and whether the thesis is written in Te Reo Māori. RDC is calculated annually. (For further information on RDC, see the [Performance-Based Research Fund User Manual V4 \(PDF\)](#) (Tertiary Education Commission website).

**Tertiary Education Commission (TEC)** – the organisation responsible for funding tertiary education in New Zealand.

**Tertiary Education Organisation (TEO)** – a tertiary education organisation (TEO) is any organisation that supplies tertiary education and/or training and/or assessment services.

**Unit** – a generic term referring to any college, school, department, institute, centre, division, service area or academic unit of the University, as appropriate in the particular context.

## He kōrero anō | Related Documents and Information

### Te Pātaka Kaupapa Here | UC Policy Library

- [Staff Code of Conduct \(PDF, 481KB\)](#)

### Te Pae Tukutuku me te Ipurangirotu o UC | UC Website and Intranet

- [Research & Innovation intranet \(University Research & Innovation intranet website\)](#)
- [Postgraduate contacts and Research & Innovation contacts \(University Research website\)](#)

### Mōwaho | External

- [Education and Training Act 2020 \(New Zealand Legislation Website\)](#)
- [Performance-Based Research Fund User Manual V4 \(Tertiary Education Commission website\) \(PDF\)](#)
- [Tertiary Education Commission \(TEC\) \(TEC website\)](#)



<b>Document History and Version Control Table</b>			
<b>Version</b>	<b>Action</b>	<b>Approval Authority</b>	<b>Action Date</b>
<i>For document history and versioning prior to 2013 contact <a href="mailto:ucpolicy@canterbury.ac.nz">ucpolicy@canterbury.ac.nz</a></i>			
1.00	<ul style="list-style-type: none"> <li>• Converted document into new template and pushed document out.</li> <li>• AVC(R) changed to DVC(R) in line with current title.</li> <li>• All references to DVC removed or modified.</li> <li>• Updated hyperlinks.</li> </ul>	Policy Unit	Sep 2013
1.01	Document review date pushed out.	Policy Unit	Feb 2014
1.02	Review date pushed out.	Policy Unit	Sep 2014
1.03	Hyperlinks updated.	Policy Unit	Sep 2014
2.00	Scheduled review by Contact Officer.	Policy Unit	Jan 2015
2.01	AA updated from Chair, Research Committee to DVC(R)	Policy Unit	May 2015
2.02	Updated DVC(R) to DVC(R and I) and added definitions.	Policy Unit	Sep 2016
2.03	DVC (R and I) changed to DVC.	Policy Unit	Sep 2017
3.00	Scheduled review by CO, minor formatting changes and additions to content.	Policy Unit	April 2018
3.01	Staff only watermark removed	Policy Unit	May 2019
4.00	Merger of PBRF Funding and Allocation Procedures document, major changes to content	DVC(R)	Oct 2020
5.00	Schedule review by CO, minor changes, change of role title.	Policy Unit	July 2021

**This policy remains in force until it is updated.**