

Webinar on staff circumstances in REF 2021

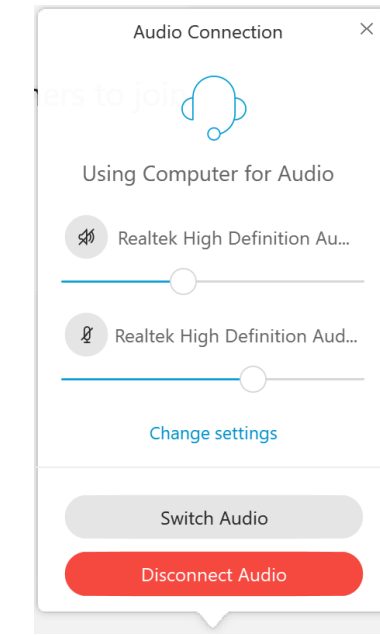
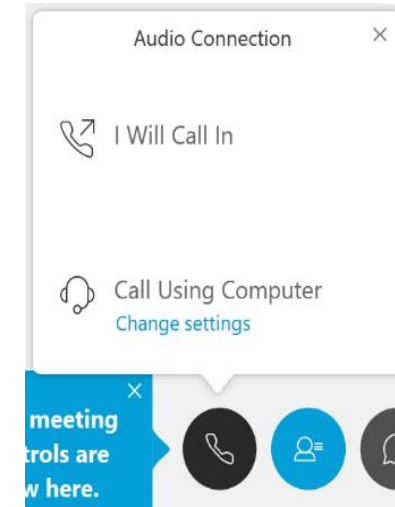
The webinar will start at **13:30**. There will be a sound check at **13:20** and again at **13:25**.

To join via your computer please click the phone icon and select 'Call Using Computer'.

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Webinar on staff circumstances in REF 2021

EDAP

19 September 2018



Research
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REF 2021

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Introduction and overview

REF2021

- Professor Dianne Berry, Chair of EDAP
- Kim Hackett, REF Director
- Gina Reid, REF team

- Background
- Staff circs – proposed policy and process
- Issues to consider
- Codes of practice
- Further information

Wider E&D measures in REF

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- Measures to increase panel representativeness
- Training and briefing for panel members
- Evidence about E&D in environment (unit and institutional-level)
- Briefing for HEIs for submissions preparation
- Sector-level monitoring by the funding bodies

Background to proposals

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- Clear feedback from 2016 REF consultation that we need measures to take account of individual circumstances
- Decisions document (Nov 2017) set out two measures:
 - Reducing number of outputs required for units with high proportions of staff with individual circumstances
 - Removing minimum of one output requirement for those with exceptional circumstances
- During development, significant concerns that approach based on effects of circumstances on unit's overall output pool, rather than on individual contributions to it, not sufficient to ensure E&D fully supported

Proposed approach

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- Defined reductions for different types of circumstances – recognises overall effects on output pool, as well as individual's ability to contribute at same rate as other staff
- Expect many units will wish to manage effects of circumstances within flexibility given by the decoupling of staff and outputs, and reduction in number of outputs required per FTE
- Up to 1.5 output reduction per staff member
- More simplified approach to submitting information – requests at unit, not individual, level

Applicable circumstances

- ECRs
- Secondments / career breaks
- Family-related leave
- Junior clinical academics (UOAs 1-6)
- Circumstances equivalent to absence
 - Disability
 - Ill health, injury, mental health
 - Additional constraints related to pregnancy and family-related leave
 - Caring responsibilities
 - Gender reassignment
 - Other (e.g. activities covered by employment legislation)

Removing minimum of one output requirement


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- Process needed as all staff (with sig responsibility) have to be returned
- Where circumstances have exceptional effect, can request submission with zero outputs (provided staff member does not have eligible output)
 - 46 months or more absence, or circumstances equivalent to absence
 - 2 or more periods of family-related leave
 - Exceptional circumstances deemed to have similar negative impact on productivity as the above
- Where request approved, one output will be deducted from required number for output pool


Applying reductions

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Determine reductions applying to individual staff (up to 1.5) and sum these across unit



Where any request to remove min of one is agreed, apply further reduction of one

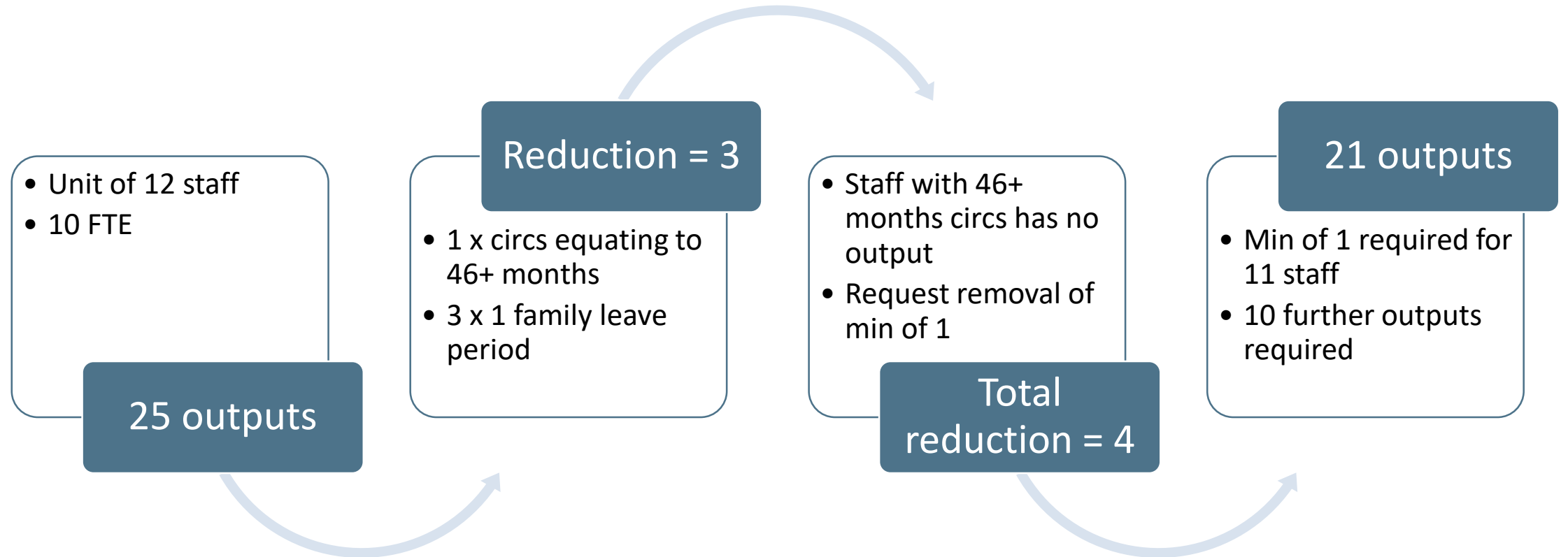


Apply rounding to give total for reduction



Ensure request does not reduce output pool below required min of one

Worked example



Request and approval process

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- Autumn 2019 – Institutions invited to submit requests
- March 2020 - Deadline for submission
- Requests for defined reductions to unit pool will be considered by REF staff, who will advise EDAP on application on tariffs
- Requests for circumstances requiring judgement, or to remove minimum of one, will be considered by EDAP
- Decisions and feedback provided before census date

Questions



Issues to consider

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- Approach ensures E&D fully supported by:
 - recognising the overall effect of circumstances on a submitting unit's output pool
 - recognising effect circumstances can have on individuals' ability to contribute outputs at same rate as other staff
 - limiting potential negative incentives (e.g. around recruitment)

Issues to consider

REF2021

- But:
 - Increased burden for institutions (despite simplified request submission process)
 - HEIs required to request and hold sensitive information (although not to same extent as in 2014)
 - Potential for increased under-representation through concentration of submitted output pool
 - Ensuring reductions are being passed on to affected staff in a consistent way across submitting institutions

Issues to consider

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- Feedback welcomed on:
 - Whether proposed approach will achieve aim
 - Potential for positive and negative consequences
 - Whether advantages outweigh identified drawbacks
 - Overall clarity of proposals

Questions



Codes of practice

- Template, with five main sections
 - Introduction (contextual information, relevant actions since 2014, how Code has been communicated to staff)
 - Identification of staff with sig responsibility for research (for units that do not include 100% of eligible staff)
 - Identification of independent researchers
 - Selection of outputs
 - Any referenced appendices
- Codes must demonstrate fairness by addressing the principles of transparency, consistency, accountability, inclusivity

Codes of practice (2)

REF2021

- Output selection process needs to detail:
 - How circumstances will be taken into account in determining whether reduction will be requested
 - How any requested reductions will be reflected in institution's expectations of affected researchers' contributions to output pool
 - Where unit reduction not requested, how effect of any circumstances has been taken into account in output selection process
 - Processes for confidential disclosure

Submission and approval process

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- COPS must be submitted on, or before, 12 noon on 7 June 2019
- EDAP will assess these, and advise Funding Bodies on their adherence to guidance
- HEIs will have opportunity to revise their Code (following EDAP guidance) where level of adherence is not sufficient
- All submitted and approved Codes will be published before submission deadline (hopefully December 2019)
- As in 2014, EDAP will produce report on overall reflections, identifying good practice and any common limitations

Questions



Further information

- Consultation survey: <https://www.smartsurvey.co.uk/s/DTZ10/>
- www.ref.ac.uk (includes all relevant documents and FAQs)
- Enquiries from staff at HEIs should be directed to their nominated institutional contact (available at www.ref.ac.uk/contact)
- Other enquiries to info@ref.ac.uk