

TRINITY LABAN CONSERVATOIRE OF MUSIC & DANCE

RESEARCH EXCELLENCE FRAMEWORK 2021

CODE OF PRACTICE

REF 2021 CODE OF PRACTICE		
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1. Introduction

Context

(1) The Research Excellence Framework (REF) 2021 is the latest mechanism for assessing the quality of research in UK higher education institutions (HEIs).

(2) It is a requirement of the REF that each submitting HEI establishes a Code of Practice (CofP) that outlines mechanisms within the HEI for a) selecting staff with significant responsibility for research b) identifying independent researchers and c) selecting research outputs. Decisions in this regard remain at the discretion of individual HEIs but must be justifiable. Heads of individual HEIs must testify to the effect that in preparing submissions, they have developed, implemented and documented an internal CofP that is compliant with both relevant equal opportunities legislation, and institutional equality and diversity policies for scrutiny by the REF Equality and Diversity Advisory Panel (EDAP). The CofP must be submitted by **June 7th 2019**.

(3) Trinity Laban Conservatoire of Music and Dance (hereafter TL) is committed to an environment that values and celebrates the diverse nature of its staff research activity. TL is committed to the following CofP, which details responsibilities, operating criteria and processes. It provides a framework for decision-making which aims to ensure transparency, consistency, accountability and inclusivity in all aspects of its REF 2021 submission. Trinity Laban is committed in addition, to meet the requirements of the REF 2021 Guidance on Submissions document and all relevant equality legislation.

(4) This CofP augments, and is informed by, the equivalent code submitted to REF 2014. The code will be freely available to all staff on the TL VLE (Moodle). Hard copies, including copies with alternative large-print formats, are available on request. The Code will also be sent in hard copy to any staff absent from the institution. This CofP has undergone a thorough period of internal consultation during March-June 2019. It was submitted to TL's Research Board in May 2019 and approved, and has additionally incorporated recommendations from the TL Equality Diversity and Access Committee. Both of these committees have general staff representation. It was also subsequently approved by TL's Principal's Management Group in May 2019. Feedback has also been incorporated from recognised trade unions via the TL Joint Negotiating and Consultative Committee (JNCC), and a consultation period with research-active staff was concluded prior to the submission of the Code in June 2019.

Statement of Principles

(5) This CofP follows the REF 2021 Guidance on Codes of Practice, which requires each institution to state how they adhere to the REF principles of transparency, accountability and inclusivity.

(6) *Transparency.* All processes for identifying a) staff that have significant responsibility for research b) independent researchers, and c) selecting research outputs for inclusion in the REF2021 submission, are aligned to the REF 2021 Guidance on Submissions. The CofP exists in multiple formats to ensure adequate opportunity for staff to contribute to the consultation period, and to remain informed throughout TL's preparation of its REF2021 submission.

(7) *Consistency.* TL will make a consistent 100% submission of Category A eligible staff. The procedures for determining research independence and the selection of outputs will be consistently applied across a single submission to UofA 33, including in both main subject areas of music and dance.

(8) *Accountability.* A dedicated REF 2021 Advisory Panel has been set up with clearly defined roles and responsibilities, and consists of named senior TL research academics combined with independent assessors.

(9) *Inclusivity*. All aspects of the implementation of the CofP will be monitored by a continually updated Equality Impact Assessment, which will be carried out by the TL Aurora Champion, who also sits on the TL Equality, Diversity and Access Committee (see 13).

Equality and Diversity

(10) TL is committed to equality of opportunity for all staff and recognises and celebrates their diversity. Leadership and management in relation to equality and diversity issues is provided by the Principal's Management Group, which is advised by the TL Equality, Diversity and Access Committee. Individual salaried staff of the Institution are also required to undergo specialist online Equality and Diversity training.

(11) TL believes in principles of social justice, acknowledges that discrimination affects people adversely, and is committed to challenge all forms of inequality. To meet this objective, TL will ensure that: -

- Individuals are treated fairly, with dignity and respect regardless of their age, disability, sex, gender reassignment, pregnancy, maternity, race (which includes colour, nationality and ethnic or national origins), sexual orientation, religion or belief, or because someone is married or in a civil partnership;
- Everyone within the Institution is given the opportunity to fulfil their potential;
- It promotes an inclusive and supportive environment for staff, students and visitors;
- It recognizes the various contributions to the achievement of TL's research strategy made by individuals from diverse backgrounds and with a wide range of experiences.

(12) TL is committed to providing and maintaining a positive working and learning environment free from discrimination, harassment, or victimisation on the grounds of the protected characteristics detailed in the 2010 Equality Act, where all staff are treated with respect and dignity.

Equality Impact Assessment

(13) It is required that all HEIs conduct an Equality Impact Assessment (EIA) on their policy and procedures for REF 2021. This will be undertaken by members of the TL Equality Diversity and Access Committee, and will be reviewed at key stages of the process. The initial stage of this process involved a pre-screening of staff submissions to previous internal research audits, which has informed this CofP. This pre-screening, which took full account of relevant equality legislation and HR data, examined the potential impact on staff submission rates when individuals were grouped according to race and ethnicity, gender, disability, age, religion and sexual orientation. This was measured against the EIA submitted as part of REF 2014. Since then the research-active pool of staff has remained remarkably consistent (see 18). The last EIA concluded with a neutral outcome on all characteristics other than gender, a situation that remains the case in 2019. In 2014, only 22% of staff submitted to REF 2021 was female, compared to an institutional split of 49/51% (m/f). Since then, this the representation of female staff in this pool has risen to 33%, and considered as a percentage of total FTE, females represent 40% of the grouping, all of whom will be submitted to REF 2021 (see 18).

(14) TL will update the EIA at the following points in the REF submission process a) when identifying staff with significant responsibility for research b) determining research independence c) when selecting outputs for submission d) at the conclusion of the appeals procedure e) prior to the final TL REF 2021 submission. All members of the REF Advisory Panel and the Principal will receive relevant Equality and Diversity Training from members of the TL Equality, Diversity and Access Committee.

(15) Specific responsibility for the implementation of the CofP falls on the REF Advisory Panel, Head of Research (HofR) and the Principal in ensuring that the identification of staff members, and the selection of

their outputs for the REF is free from discrimination, and in line with the principles set out in this document. The Principal's Management Group has appointed all staff on the REF Advisory Panel.

(16) In the implementation of the CofP, TL will act in full compliance with relevant legislation, including the:

- Equality Act 2010 (and its public sector implementation in 2011);
- Part-Time Workers (Prevention of Less Favourable Treatment) Regulations 2000;
- Employment Act 2002 including Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002 and Fixed Term Employees (Prevention of Less Favourable Treatment) (Amendment) Regulations 2008;
- Public Interest Disclosure Act 1998 ('Whistleblowers' Act).

(17) Any staff member who believes that he/she may have been the victim of discrimination (whether direct or indirect) or victimisation in relation to the REF 2021 submission will have recourse of appeal. Further information on the procedure for dealing with complaints made in relation to decisions about the identification of staff members, and the selection of their outputs in the REF submission can be found in Section (43) of this document.

Changes since REF 2014

(18) Since REF 2014, the research environment within TL has remained remarkably consistent. Prior to the REF 2014 exercise, a policy and Code of Practice was developed to identify staff within the institution who were 'research-active', and all such individuals were subsequently submitted to REF 2014. Since then, the category of 'research-active' staff has remained consistent with the definition used to conduct the REF 2014 exercise, and all staff have maintained their research-active status since then, a deliberate ethical decision taken by TL to ensure that staff have the fullest opportunity to meet personal research goals. TL has also continued to run, in order to promote inclusive access, periodic calls for further applications to research-active status. The last such exercise took place in 2015, and resulted in the augmentation of two individuals to the research-active group (1m; 1f). In addition to this, several senior academics have joined the institution since the last REF, and have been awarded research-active status on the basis of prior experience at a high level within HE. For REF purposes, the category of research-active staff at TL is identical with the REF definition of 'Category A' eligible staff: each such member of staff has a > 0.2FTE contract which stipulates that their primary employment function involves both 'research and teaching'; these are the only staff at TL for which this contractual status applies. There are currently no members of staff at TL with 'research only' contracts.

(19) Since REF 2014, TL has expanded its research environment and facilities so that research-active status provides dedicated support for researchers, which is consistent with indicative REF 2021 Guidelines regarding 'staff with significant responsibility for research'. For example, all research-active staff members receive an automatic 20% designation of their workload in order to support research activity. In addition, research-active staff can be: principal investigators on research grants; members of TL research groups; receive mentoring and research training through the Trinity Laban Research Hub; have access to dedicated REF 2021 Seed Funding, which exists to support staff in the production of research outputs; have opportunities for the internal dissemination of their research.

(20) Additionally, since REF 2014, TL has produced a new ten-year Strategic Plan 2018-2028. A major objective of this plan is to increase diversity amongst the staff and student population (TL has relatively low rate of BAME representation, for example, when compared to national benchmarks, a situation that is reflected in the composition of the research-active staff pool). Other Equality and Diversity initiatives introduced since the last REF include the appointment of an Aurora Champion for the institution [L.Jackson@trinitylaban.ac.uk] and the introduction of an annual series of events aimed at highlighting diversity issues into the Trinity Laban Staff

Development calendar (this is coupled with compulsory online Equality and Diversity Training for all salaried staff).

Committees and Personnel

(21) This section sets out the roles and responsibilities of staff and TL committees involved in the preparation and approval of TL's REF 2021 submission.

(22) The TL REF Advisory Panel has been set up to guide and support the TL REF 2021 submission process. It reports directly to the TL Research Board via the Head of Research. The REF Advisory Panel will consist of:

- Prof Jonathan Clark (Head of Research);
- Havilland Willshire (Director of the Faculty of Music; TL Executive Lead for Research);
- Dr Sophie Fuller (MMus Programme Leader, Faculty of Music);
- Prof Sam Hayden (Professor of Composition)
- Charles Linehan (Reader in Choreography)
- An external advisor at Professorial Level in Music;
- An external advisor at Professorial Level in Dance;
- Caroline Cregg (Head of People Services);
- Angela Kerkhoff, Research Administrator;
- Professor Anthony Bowne, Principal.

(23) The REF Advisory Panel also has the provision to co-opt members of academic staff, as required. All staff on the Advisory Panel has been selected on the basis of their prior experience in research activity and/or research management, including familiarity with previous exercises in research assessment, and the peer-reviewing of research outputs.

(24) The REF Advisory Panel, has the following terms of reference, namely is responsible for:

- Decisions relating to identifying staff with significant responsibility for research and research independence, selection of staff outputs, any appeals. The TL Research Board will scrutinise and endorse these decisions prior to final approval by the Principal;
- Implementing the TL REF 2021 Strategy contained in the *TL Research Plan 2015-2020* and ensuring its communication throughout the Institution;
- Ensuring quality and robustness of TL's total REF 2021 submission, including implementing the CofP, and ensuring transparency, consistency, accountability and inclusivity in all levels of decision-making.

(25) The Membership and Terms of Reference for the REF Advisory Panel will be noted by the TL Research Board, and communicated to staff via the TL VLE. Further details on TL's governance and management arrangements for Research are set out in the both the *TL Research Plan 2015-2020* and the *TL Strategic Plan 2018-2028* documents.

(26) The Research Administrator, Angela Kerkhoff (A.Kerkhoff@trinitylaban.ac.uk) will act as the Unit of Assessment (UofA) Coordinator and will be responsible for overseeing timely submission of all data required by the Panel.

2. Identifying Staff With Significant Responsibility for Research

(27) TL defines staff that have 'significant responsibility for research' as being identical to those who have 'research-active' status, which is in turn equivalent to the definition of Category A eligible staff (see (18) above).

(28) Since all staff with significant responsibility for research must be returned to REF 2021, Trinity Laban **will therefore submit 100% of Category A Staff** to REF 2021, into the single Unit of Assessment 33: Music, Drama, Dance, Performing Arts, Film and Screen Studies.

3. Determining Research Independence

(29) TL identifies independent researchers in accordance with the REF 2021 definition as 'Category A' eligible staff on research only contracts or teaching and research contracts where the staff have significant responsibility for research, which at TL is co-extensive with the category of being 'research-active'.

(30) TL does not recognise research assistants or research associates as independent researchers where the primary employment function is research only and they are employed to carry out another individual's research programme, for example in a project managed by a separate Principal Investigator. At the time of writing, there are no such employees at TL.

(31) In terms of post-doctoral researcher or research fellow positions, except where these appointments are the direct result of a funded project managed by a principal investigator, TL will deem these individuals as meeting the criteria for research independence. This is justified by the fact that such individuals will be required to seek external funding for their own projects, act as a Principal Investigator or Co-Investigator where appropriate; have significant input into the design, conduct and interpretation of particular research projects.

(32) The REF Advisory Panel will review the EIA conducted following the application of the criteria for determining research independence and, where appropriate, identify actions arising from this process.

3. Selecting Outputs

Output Selection Exercise

(33) As stated earlier (28) TL will make a 100% submission of its Category A eligible staff, who are also defined as 'research-active' staff at TL.

(34) The academic members of the TL REF Advisory Panel will conduct an exercise during the Autumn Term of 2019 in order to make decisions on the selection of outputs to be included in the TL REF 2021 Submission.

(35) The Panel will be asked to a) peer review research outputs against the standard REF grading system (1*-4*); to avoid ties, the Panel can use a graded version of this scale, 3.25, 3.5, 3.75 etc.) b) advise on any referrals of outputs to other UofAs c) consider any grounds for appeal (see section (43)).

(36) The REF Advisory Panel will apply the following criteria to selection of outputs for submission to REF 2021:

- i. A minimum of one research output per submitted staff member will be submitted (except where procedures taking into account the effect of individual circumstances have been applied) and a maximum of five. TL will adopt a policy of self-nomination for the minimum of one 'best' output,

- together with a reserve alternative to this best output, a process that will be mentored by the Head of Research in the lead-in to the review;
- ii. Research outputs will be pre-screened, and passed on accordingly if they meet a) standards of basic REF eligibility (see Appendix 1) b) were produced within the required REF time window c) are the work of a research-active, and hence Category A staff member d) are compliant with REF Open Access procedures, or qualify for an exception e) specified data requirements for research outputs, including, for submissions in creative practice, a 300-word contextualising narrative. A template will be prepared for this. If an output does not pass all of the above, it will be deemed to be ineligible for submission.
 - iii. Research outputs that have passed all pre-screening, and that receive the highest rating in accordance with the Advisory Panel's guidance will be submitted to REF 2021, taking into account the requirement to submit at least one output per staff member and, the total number of outputs must equal 2.5 times the total FTE of the submitted staff across the UoA;
 - iv. Where there is a conflict on a decision in the REF Advisory Panel, preference will be given to the external reviewers' guidance. This guidance is for REF purposes only, and will not be used in any internal TL promotional or appraisal processes;
 - v. Where the REF Advisory Panel has accepted an application to reduce the total required outputs in recognition of particular staff circumstances, these will be applied such that the affected staff will be required to submit a minimum of one output, or zero outputs (as described by the REF Guidance on Submissions).
 - vi. Staff will be notified by December 2019 as to which of their outputs have been provisionally selected by the REF Advisory Panel review.
 - vii. A final decision on the selection of outputs, which will be communicated to research active staff, and taking into consideration any outputs produced after 2019, will be made at an Extraordinary Meeting of the TL Research Board during September 2020. Staff will receive notification as to which of their outputs have been selected and confirmed for submission. The REF Advisory Panel will apply consistent criteria, as specified above, to any outputs produced after November 2019.
 - viii. TL will review the EIA following the process for the selection of outputs and, where appropriate, identify actions arising from this process

Outputs of Former Staff

(37) As part of the procedure set out in Section 3, Trinity Laban will consider for submission a) outputs of former staff that were first made publicly available or disseminated while they were employed by the institution as eligible staff b) similar outputs of staff who left the institution at the end of a fixed-term contract. Trinity Laban will not submit former staff that were made redundant whilst holding permanent contracts with the institution, or were part way into a fixed-term contract.

Consideration of Individual Staff Circumstances and Confidentiality

(38) TL will commit to identifying, on an entirely voluntary basis, any individual circumstances that might have affected a researcher's contribution to the submission. TL may then submit a request to the REF Equality and Diversity Advisory Panel (EDAP) for a no-detriment reduction to the total number of outputs required overall for a submission, where the individual circumstances of 'Category A' submitted staff have constrained their ability to produce outputs or to work effectively throughout the assessment period.

(39) Requests submitted to EDAP must be supported by evidence. This includes the possibility to request removal of the minimum requirement of one research output on an individual where their circumstances have had an exceptional effect on their ability to work productively so that the individual has not been able to produce an eligible output.

(40) In preparing the REF 2021 submission, staff who have voluntarily identified as meeting the criteria for mitigating individual circumstances will be invited to disclose, in full confidence to the email address

[ref@trinitylaban.ac.uk], any special circumstances that may have resulted in their completing fewer than the expected number of outputs. Access to this email address will be provided to a dedicated member of the TL People Services team who is independent of the TL REF Advisory Panel. Circumstances in which an application may be made for a reduction in the total number of outputs are outlined in the REF Guidance on Submissions (see Appendix 2 of this document), and staff will be asked to use the template specified by Research England (see Appendix 3). Requests must be based on the circumstances defined by the REF 2021 and must be supported where appropriate by further information/evidence. Any recommendations by the REF Advisory Panel regarding the selection of outputs from such a member of staff will be reached whilst preserving the anonymity of the individual in question.

(41) The dedicated member of the TL People Services department will make a confidential record of the circumstances, and then liaise with the HofR to determine whether the circumstances would be valid under the terms of the CofP. In those cases with valid circumstances the HofR will produce a summary of how the circumstances adversely affected the individual's contribution to research. This summary will then be provided to the members of the REF Advisory Panel.

(42) The TL deadline for submitting requests for staff circumstances for the REF2021 is **1st October 2019**. The HofR will subsequently submit any requests to the REF submission system, the outcomes of which will be available before the census date of 31 July 2020.

Appeals and Notifications

(43) An appropriate appeals procedure is a vital part of this CofP and will address the following issues: perceived unfair discrimination; concerns about the due process for selection of outputs, or the relevant identification of staff as specified in this CofP; circumstances pertaining to any new evidence that has come to light during the assessment period that was previously unavailable. The REF is essentially a process of peer review, and in common with other processes of peer review, contains qualitative judgements based on expert professional knowledge and expertise. Therefore, a disagreement with decisions on academic grounds alone is not a sufficient basis for an appeal, unless there are reasons for thinking that the judgement was exercised unfairly or in contravention of the principle of equality.

(44) An individual who wishes to make an appeal must write to the TL Head of People Services in the first instance clearly stating the reasons for requesting a review. This written appeal should be submitted **within 10 working days** of being informed of the decision against which they are appealing. The written appeal should contain details of the grounds for the appeal, referring to the criteria for e.g. output selection in this CofP and any supporting evidence, including evidence that may have been previously unavailable. The appeal will be considered by the TL Head of People Services within 15 working days of receipt.

(45) The procedure above may uphold an appeal, in which case the REF Advisory Panel will be asked to reconsider their original recommendation, or may dismiss an appeal, in which case the original recommendation will stand. The decision of the Appeals Panel will be communicated to the appellant **within 3 working days** of the panel meeting. There will be no further right of appeal under this REF Appeals Process.

Annex C: Definitions of research and impact for the REF

Definition of research for the REF

1. For the purposes of the REF, research is defined as a process of investigation leading to new insights, effectively shared.
2. It **includes** work of direct relevance to the needs of commerce, industry, culture, society, and to the public and voluntary sectors; scholarship²⁰; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also **excludes** the development of teaching materials that do not embody original research.
3. It **includes** research that is published, disseminated or made publicly available in the form of assessable research outputs, and confidential reports (as defined in paragraph 261).

Definition of impact for the REF

4. For the purposes of the REF, impact is defined as an effect on, change or benefit to the economy, society, culture, public policy or services, health, the environment or quality of life, beyond academia (as set out in paragraph 7).
5. Impact **includes**, but is not limited to, an effect on, change or benefit to:
 - the activity, attitude, awareness, behaviour, capacity, opportunity, performance, policy, practice, process or understanding
 - of an audience, beneficiary, community, constituency, organisation or individuals
 - in any geographic location whether locally, regionally, nationally or internationally.
6. Impact **includes** the reduction or prevention of harm, risk, cost or other negative effects.
7. For the purposes of the impact element of the REF:
 - a. Impacts on research or the advancement of academic knowledge within the HE sector (whether in the UK or internationally) are **excluded**. (The submitted unit's contribution to academic research and knowledge is assessed within the 'outputs' and 'environment' elements of REF.)
 - b. Impacts on students, teaching or other activities both within and beyond the submitting HEI are **included** (see the 'Panel criteria', paragraphs 301 to 302).

20. Scholarship for the REF is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases.

APPENDIX 2

Annex L: Reductions for staff circumstances

1. Given the reduced output requirement for 2021, the tariffs for the defined reductions differ from those set in REF 2014. This is to ensure that a broadly equivalent reduction is given in the context of the submitted output pool, and to ensure that panels receive a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs.

Early career researchers

2. ECRs are defined in the 'Guidance on submissions' (paragraph 148). Table L1 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for ECRs who meet this definition.

Table L1: Early career researchers: Permitted reduction in outputs

Date at which the individual first met the REF definition of an ECR:	Output pool may be reduced by up to:
On or before 31 July 2016	0
Between 1 August 2016 and 31 July 2017 inclusive	0.5
Between 1 August 2017 and 31 July 2018 inclusive	1
On or after 1 August 2018	1.5

Absence from work due to secondments or career breaks

3. Table L2 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for absence from work due to secondments or career breaks outside of the HE sector, and in which the individual did not undertake academic research.

Table L2: Secondments or career breaks: Permitted reduction in outputs

Total months absent between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:	Output pool may be reduced by up to:
Fewer than 12 calendar months	0
At least 12 calendar months but less than 28	0.5
At least 28 calendar months but less than 46	1
46 calendar months or more	1.5

4. The allowances in Table L2 are based on the length of the individual's absence or time away from working in HE. They are defined in terms of total months absent from work.

5. As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5), reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

Qualifying periods of family-related leave

6. The total output pool may be reduced by 0.5 for each discrete period of:
- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.
 - b. Additional paternity or adoption leave²², or shared parental leave²³ lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

7. This approach to reductions for qualifying periods of family-related leave is based on the funding bodies' considered judgement following consultation in the previous REF exercise that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the specified reduction.

8. While the above reduction of outputs due to additional paternity or adoption leave is subject to a minimum period of four months, shorter periods of such leave could be taken into account as follows:

- a. By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.
- b. By combining the number of months for shorter periods of such leave in combination with other circumstances, according to Table L2.

9. Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions in paragraph 6 above may in individual cases be associated with prolonged constraints on work that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the request.

Combining circumstances

10. Where individuals have had a combination of circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

22. 'Additional paternity or adoption leave' refers to leave of up to 26 weeks which is taken to care for a child where the person's spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term 'additional paternity leave' is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as 'additional paternity or adoption leave'.

23. 'Shared parental leave' refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go.

11. Where Table L1 is combined with Table L2, the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table L2 should be applied.

12. When combining circumstances, only one circumstance should be taken into account for any period of time during which they took place simultaneously.

13. Where an individual has a combination of circumstances with a defined reduction in outputs **and** additional circumstances that require a judgement, the institution should explain this in the reduction request so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above (paragraphs 2 to 10).

Other circumstances that apply in UOAs 1–6

14. In UOAs 1–6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.

15. This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph 14, and has had significant additional circumstances – for any of the other reasons set out in the ‘Guidance on submissions’ in paragraph 160 – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

16. Where staff have had other circumstances during the period (see paragraph 160e. in this ‘Guidance on submissions’ document) – including in combination with any circumstances with a defined reduction in outputs – the institution will need to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent, apply the reductions as set out in Table L2 by analogy, and provide a brief rationale for this judgement.

APPENDIX 3

Declaration of Individual Staff Circumstances template

This document is being sent to all Category A staff whose outputs are eligible for submission to REF2021 (see '[Guidance on submissions](#)', paragraphs 117-122). As part of the TL's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. The purpose of collecting this information is threefold:

- To enable staff who have not been able to produce a REF-eligible output during the assessment period to be entered into REF where they have;
 - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
 - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
 - two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

Applicable circumstances

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Junior clinical academics who have not gained a Certificate of Completion of training by 31 July 2020
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form. Further information can be found paragraph 160 of the Guidance on Submissions (REF 2019/01). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only means by which the University will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

Ensuring Confidentiality

TL will ensure full confidentiality in the process for declaring circumstances. This form should be sent to the anonymised email address [ref@trinitylaban.ac.uk], which will be used for the purposes of notification of circumstances. This email address will be accessible only by TL People Services. Requests must be based on the circumstances defined by the REF 2021 and must be supported where appropriate by further information/evidence. Any

recommendations by the REF Advisory Panel regarding the selection of outputs from such a member of staff will be reached whilst preserving the anonymity of the individual in question. The selected member of the TL Equality, Diversity and Access committee will make a confidential record of the circumstances, and then liaise with the Head of Research to determine whether the circumstances would be valid under the terms of the CofP. In those cases with valid circumstances the HofR will produce a summary of how the circumstances adversely affected the individual's contribution to research. This summary will then be provided to the members of the TL REF Advisory Panel. The TL deadline for submitting requests for staff circumstances for the REF2021 is **1st October 2019**. The HofR will subsequently submit any requests to the REF submission system, the outcomes of which will be available before the census date of 31 July 2020.

If the institution decides to apply to the funding bodies for either form of reduction of outputs (removal of 'minimum of one' requirement or unit circumstances), we will need to provide UKRI with data that you have disclosed about your individual circumstances, to show that the criteria have been met for reducing the number of outputs. Please see the ['Guidance on submissions'](#) document (paragraphs 151-201) for more detail about reductions in outputs and what information needs to be submitted.

Submitted data will be kept confidential to the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs. All these bodies are subject to confidentiality arrangements. The REF team will destroy the submitted data about individuals' circumstances on completion of the assessment phase.

Changes in circumstances

TL recognises that staff circumstances may change between completion of the declaration form and the census date (31 July 2020). If this is the case, then staff should contact their HR partner to provide the updated information.

To submit this form you should send it to [ref@trinitylaban.ac.uk]. This email will only be accessed by the TL People Services department.

Name: [Click here to insert text.](#)

Department: [Click here to insert text.](#)

Do you have a REF-eligible output published between 1 January 2014 and 31 July 2020?

Yes

No

Please complete this form if you have one or more applicable equality-related circumstance (see above) which you are willing to declare. Please provide requested information in relevant box(es).

Circumstance	Time period affected
<p>Early Career Researcher (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher.</i></p>	<p>Click here to enter a date.</p>
<p>Junior clinical academic who has not gained Certificate of completion of Training by 31 July 2020.</p>	<p>Tick here <input type="checkbox"/></p>
<p>Career break or secondment outside of the HE sector.</p> <p><i>Dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Family-related leave;</p> <ul style="list-style-type: none"> • statutory maternity leave • statutory adoption leave • Additional paternity or adoption leave or shared parental leave lasting for four months or more. <p><i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i></p>	<p>Click here to enter dates and durations.</p>
<p>Disability (including chronic conditions)</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Mental health condition</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>

<p>Ill health or injury</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>
<p>Any other exceptional reasons e.g. bereavement.</p> <p><i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	<p>Click here to enter text.</p>

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only it will be seen only by the individuals above.
- I realise it may be necessary to share the information with the main REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

I give my permission for an HR partner to contact me to discuss my circumstances, and my requirements in relation to these.

I give my permission for the details of this form to be passed on to the relevant contact within my department/faculty/centre. (Please note, if you do not give permission your department may be unable to adjust expectations and put in place appropriate support for you).

I would like to be contacted by:

Email Insert email address

Phone Insert contact telephone number

APPENDIX 4

TRINITY LABAN CONSERVATOIRE OF MUSIC & DANCE

Trinity Laban REF 2021 Appeals Form Template

Appeals should be submitted to ref@trinitylaban.ac.uk, for the attention of the Head of People Services.

1. Individual details

Name:	Job Role:
Faculty (Music/Dance):	Date:

2. Grounds for appeal

In completing this form I wish to lodge a formal appeal on one or more of the following grounds:

The criteria for the selection of academic staff with significant responsibility for research/independent research, and for the selection of outputs were not applied in accordance with TL's REF Code of Practice in respect of my eligibility for inclusion in TL's REF submission	
There was a material error in the data used by the TL REF Advisory Panel in applying the criteria to determine my eligibility for inclusion in the TL's REF submission.	

3. Detail of grounds for appeal

Please provide information below to support this appeal, using a separate sheet if required to append any supporting documentation.