Research Excellence Framework (REF) 2021

Code of Practice for the Guildhall School of Music & Drama

This policy is of relevance to staff / Research England

Version No.	Final revised (5)
Approved on	20 September 2019
Approved by	Head of Research
Written by	Research
Last Reviewed	September 2019
Date of last amendment	20 September 2019

Context: This code of practice is a requirement of Research England in preparation for submission to REF201

ALTERNATIVE FORMATS

This document is available in large-print and other alternative formats, please contact research@gsmd.ac.uk stating the format you require.

Table of Contents

Glossary of REF definitions

REF2021: Research Excellence Framework 2021.

Research: a process of investigation leading to new insights, effectively shared.

Research output: a product of research, briefly defined as a process of investigation leading to new insights, effectively shared, first brought into the public domain during the current REF cycle, and attributable to a current or former staff member who made a significant research contribution to the output. Outputs include books, book chapters, journal articles, performances, recordings, compositions, research reports – a complete list can be found at Appendix B.

REF2021 cycle: from 1 January 2014 to 31 December 2020.

'Category A Eligible' staff: academic staff with a contract of employment of 0.2 FTE or greater on average over the cycle, on the payroll at the institution on the census date (31 July 2020), whose primary employment function may be described as to undertake either 'research only' or 'teaching and research'. Staff should have a 'substantive research connection' with the School (in the sense of a demonstrable link with its research environment) and meet the definition of an 'independent researcher'.

'Category A Submitted' staff: academic staff from the pool identified as 'Category A eligible' who are further identified as having 'significant responsibility for research' on the census date. For each staff member identified as 'Category A submitted', a minimum of one output will be required for submission, except in special circumstances.

Part 1: Introduction

1.1 Overview

The Guildhall School of Music & Drama intends to make a submission to the UK Research Excellence Framework (REF) 2021. REF2021 will allow us to showcase the excellence of our research activity and develop our research environment further through receipt of a Quality-related Research (QR) block grant from Research England. The better that activity is judged to be, the bigger the grant we will be awarded to support future activity from 2022 onwards. This document sets out the approach that the institution takes to research and the processes that govern our planning for the REF submission.
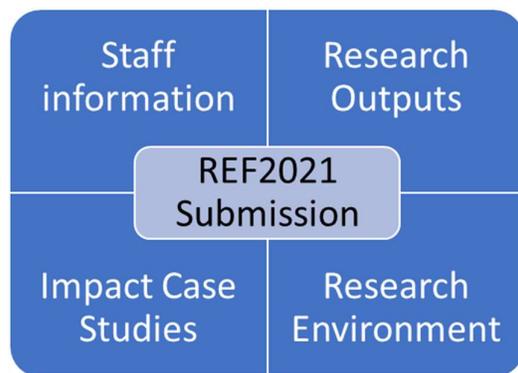
Our REF2021 submission will comprise

1) information on staff in post on the census date, 31 July 2020,

2) details of research outputs produced by our staff and submitted for assessment,

3) case studies describing impact achieved and its underpinning by research, and

4) data including doctoral degrees awarded and research income received.

5) a statement about the research environment of the School.

This document contains three main sections:

Part 2 outlines our multi-stage process for identifying staff that are eligible for inclusion in the REF2021 exercise (Figure 1) and those whose work will be submitted (Figure 2);

Part 3 maps out our criteria and process for identifying researchers who are 'independent' as outlined in the REF2021 guidance;

Part 4 describes our process for selecting outputs for submission to REF2021.

The School's research strategy forms part of the Guildhall Innovation strategy, which in turn feeds into the new, progressive institutional strategy. The research strategy has been drawn up in light of many contextual factors, perhaps the most important of which is that the research environment at the Guildhall School is still relatively young. Historically a teaching-focussed institution, the School submitted research to a national assessment for the first time only in 2008. We now support all staff members to engage with research in a way that is meaningful

for them, without preconceptions about where it may lead them. We recognise that being part of our research environment may not in every case mean being involved in our REF submission, and that colleagues contribute to that environment and to the School generally in many ways. Most colleagues are not required to engage with research, and some will not want to; non-engagement will not have a detrimental effect on an individual's career trajectory within the institution.

The School is committed to fostering an environment for students and staff free from discrimination, prejudice and harassment and to pursuing equality of opportunity in the delivery of its services and facilities. This code aligns with these aims, and with the objectives set out in the School's Equality and Diversity Scheme, which covers both workforce and students and which may be viewed (along with the accompanying action plan) here:

https://www.gsmd.ac.uk/fileadmin/user_upload/files/Policies_and_Reports/Equality_and_Diversity_Scheme_-_Latest_version_April_2016.pdf

https://www.gsmd.ac.uk/fileadmin/user_upload/files/Policies_and_Reports/Equality_and_Diversity_Action_Plan_-_Latest_version_April_2016.pdf

Both the Scheme and the action plan are frequently reviewed.

1.2 Actions taken since REF2014

Since REF2014, the Guildhall School has taken major strides forward in supporting the development of its research environment, through investment in staff, establishment of infrastructures, and expansion of activity.

In 2015, the School appointed a Head of Research, introducing for the first time a post whose sole remit was the strategic direction of research within the School. In 2017, a further new post, that of Doctoral Programme Leader, was filled, recognising the rapid growth of the DMus/PhD in the School (first student in 2008, eightieth student in 2018). This growth has in turn fostered an increase in research activity: further research training and seminars to enhance the programme and wider offer, a marked increase in staff undertaking doctorates in the programme and, in response, a central fund to support backfill of teaching where necessary, and more internal and external supervisors engaged to meet demand. The institution's current plan is to apply for Research Degree Awarding Powers by the end of the academic year 2020–21.

The School has implemented policies for Open Access for Research, Research Data Management, and Intellectual Property since REF2014. The Research team has revised internal funding mechanisms, clearly advertised staff development opportunities, and encouraged individual staff meetings to discuss actual or potential research activity (over 120 one-to-one meetings

2015–17). Furthermore, there has been increased investment in research infrastructure, with new roles and more support staff.

Recognising the breadth of research potential in the School's range of disciplines, we currently do not try to confine activity within branded strands of work; rather, as part of our strategy to promote a culture of enquiry encompassing the whole institution, from 2015 onwards we have been supporting research wherever it emerges, allowing all staff members the opportunity to identify and pursue individual areas of exploration. Over the past four years, this organic approach has produced natural concentrations, and, in line with developments in the School more broadly, these have been the object of strategic investment. Notable in this context are Arts and Health (which has benefited from the appointment of researchers in the area of dramatic performance and the body) and Music Therapy (which benefited from a fixed-term Research Lead in partnership with the NHS and subsequently the Wellcome Trust). Further investment, in the area of research into the social impact of the performing arts, is planned for 2019–20.

Between 2014 and now there have also been many developments in the School's approach to ensuring equality and diversity. We are a 'disability confident' employer, making adjustments at interview and on employment as a matter of course. We advertise in a wide variety of media including online and on diversity jobs boards such as Stonewall, Black History Month, and Diversity Dashboard. We use the Textio software package to analyse draft recruitment materials for gender bias. We have introduced anonymous applications for senior posts (grade G, i.e. Head of Department, and above). Equality and inclusion training has been updated and expanded and there is now a greater range of relevant online training for staff (on, for example, the Equality Act 2010, Equality Analysis, Equality in the Workplace, Unconscious Bias, Mental Health: Guidance for Managers, Transgender Awareness, and Recruitment and Selection Training including Unconscious Bias), some of which is compulsory. Mental health awareness has been strongly promoted, with the introduction of training for staff to act as mental health first-aiders. Maternity pay and flexible working options for staff have improved, and the School's Widening Participation Strategy, currently in the final stages of drafting, includes extensive provision for the promotion of equality and diversity.

In addition, as a department of the City of London Corporation, the School is also subject to a set of progressive corporate policies determined centrally. That governing equality and diversity in recruitment, for example, is set out here:

https://www.cityoflondon.gov.uk/jobs/Pages/commitment-to-equality-and-diversity.aspx

The Corporation has also signed up to the Stonewall Diversity Champions programme; as part of this it receives support in the design and implementation of a tailored framework to help create a more diverse and inclusive workforce.

Monitoring and reporting on the gender pay gap is done for the Corporation as a whole (it is a single legal entity/employer). Details (along with other relevant Corporation-wide equality and diversity information) are available here:

https://www.cityoflondon.gov.uk/about-the-city/how-we-make-decisions/Pages/equality-inclusion.aspx.

1.3 Principles for the development of this code

Transparency: the School is committed to the transparency of all processes developed and executed under this code. We will communicate the draft code and processes widely to all staff, inviting feedback which will feed into the final text for multi-stage institutional approval and subsequent broad communication. For example, we will invite staff members to attend an open session to discuss REF2021 and our processes, ensuring communication to a wide variety of staff in a range of formats.

Consistency: at each stage, all processes will be applied uniformly across the School. For example, each year all staff, regardless of size or type of contract, are invited to self-identify as having a stake in research, and to have that research considered as part of our REF2021 processes (in the first place, to determine whether it meets the REF definition of research).

Accountability: responsibilities of the code and REF procedures will be clearly defined and communicated, particularly to those staff invited to serve on the School's dedicated REF sub-committee (established October 2018 and formally constituted by Academic Board December 2018). For example, the first meeting of the REF sub-committee will include a briefing about the role of the committee, the principles of the code, and an outline of scheduled training. The membership of the sub-committee was designed specifically in order to represent the diversity of the School staff in terms of protected characteristics and (as detailed in Annexe 3) other relevant constituencies.

Inclusivity: all staff members are invited to engage with the drafting of the code and our REF procedures. The School encourages anyone who is carrying out research to get in touch with the institutional REF team (see section 1.6), and to declare any individual circumstances that may have affected the extent of that research activity. For example, following a large number of exploratory meetings with individual colleagues in the early part of the cycle, in 2017 we began

a formal programme of all-staff communications with the aim of ensuring that all staff members feel informed and included in our REF2021 planning.

Professional diversity: conservatoires train higher education students in performing arts through advanced, intensive training by world-leading professional performers and teachers. We value equally all creative expression, some of which may be through research, some not. For example, it is our view that excellent pedagogy and excellent pedagogical research are necessarily complementary. Through implementation of the processes in this code, our institution aims to show that it promotes complementarity and continuity between those creative outputs that have a research dimension and those that do not.

1.4 Legislation observed

The Guildhall School is a department of the City of London, which has a comprehensive equal opportunities policy to which the School is fully committed. Accordingly, we undertake to ensure, as a minimum, that this code of practice and our REF procedures do not discriminate unlawfully against, or otherwise have the effect of harassing or victimising, individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation, or because they are pregnant or have recently given birth (see Appendix A for detailed equality legislation). The School will also ensure that fixed-term employees and part-time workers are treated comparably to open contract, permanent, or full-time workers, and that no other characteristic of any of its employees be used as the basis for unfair discrimination of any kind. The following legislation will be observed:

- o Equality Act 2010
- o Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000
- o Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002

See also section 1.2 above. Full details of the legislation is provided in Appendix A.

1.5 Consultation, communication, and approval process for this code

1.5.1 Modes of Communication

This document will be available primarily electronically in pdf; the title page will notify all readers that alternative formats are available. The Human Resources department has identified accessible print as the alternative format most likely to be requested, so this has been highlighted on the front page. While the function of the document requires that it contain a certain amount of detail, all efforts have been made to ensure the document is easy to understand. In the interests of clarity, an introductory e-mail or cover paper has been provided to all readers at every stage of drafting and consultation.

How to access the code:
- Intranet
- Staff e-mail & newsletter
- Formal item at a range of meetings
- Posters around the School
- Individual message if appropriate

How to respond:
- Fill in the survey
- Attend the open session
- Respond at a meeting
- E-mail research@gsmd.ac.uk
- Request another mechanism
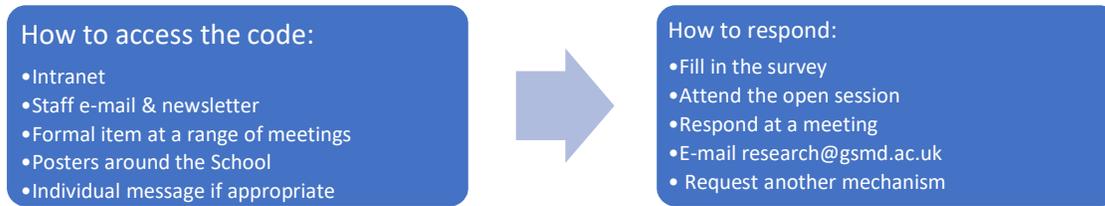
The document will be disseminated by the following means:

a) Guildhall School Intranet, accessible to all staff members.

b) E-mail to all staff e-mail addresses.

c) Posters around the Guildhall School advertising the consultation and methods of engagement (aimed in particular at those less electronically engaged).

d) Advertisement in the monthly all-staff e-zine, which is circulated by e-mail.

e) Items at formal meetings, committees, and boards, including RKEC, Academic Board, Heads of Department meetings, All-Staff meetings, and Senior Management Team.

f) For staff absent from work, HR will send an e-mail or hard copy to their personal address.

Feedback will be invited on the draft document during January 2019. Staff members who wish to contribute feedback are invited to do so via an online form accessible at https://bit.ly/2GlDjVF, by response at one of the meetings or the open session mentioned above, through direct contact with research@gsmd.ac.uk, or by another mechanism of their request. Feedback should be received by 31 January 2019.

1.5.2 Consultation and communication timeline

Draft 1
- Spring 2018
- RKEC & SMT

Draft 2
- Autumn 2018
- RKEC, SMT, AB
- Staff Consultation

Draft 3
- Spring 2019
- RKEC, SMT

Final
- Summer 2019
- Research England

a) The first draft of this code of practice was developed by the Head of the Research Office in consultation with the Head of Research (spring 2018) and shared with RKEC (May 2018) and the Senior Management Team (June 2018) (DRAFT 1).

b) Feedback from RKEC and SMT was collated and interpreted, and, taking into account further guidance from Research England received in July 2018, informed a second draft (DRAFT 2). This draft was presented to Academic Board in December 2018 and approved for consultation, and the newly constituted REF sub-committee was mandated to oversee the process of consultation and re-drafting.

c) DRAFT 2 was circulated to all staff inviting feedback through the modes of communication outlined above (January 2019).

d) The consultation feedback was collated and summarised in February 2019. It was reviewed by the REF sub-committee, and now informs the present draft (DRAFT 3). The REF sub-committee has been constituted with the aim of ensuring representation of as wide a range of colleagues and of characteristics (protected and otherwise) as possible. Annexe 2 will contain details of the consultation feedback and methods for informing DRAFT 3.

e) DRAFT 3 was circulated to those co-opted members of the School's Board of Governors with relevant expertise and considered for approval by Research & Knowledge Exchange Committee (RKEC) during spring 2019.

f) Following approval from RKEC, the Senior Management Team (spring 2019) considered DRAFT 3 for final approval.

g) The approved code of practice was submitted to Research England by noon on 7 June 2019.

1.6 Roles and responsibilities

Strategic responsibility for REF submission:
- Head of Research, reports to the Vice-Principal for Innovation and Engagement, and, for the purposes of REF2021, directly to the Principal: Cormac Newark

Responsibility for the overall strategic direction of the School:
- Principal, responsible to the Board of Governors: Lynne Williams

Co-ordination responsibility for REF submission:
- REF Team, led by the Head of Research, including:
  - Head of the Research Office, reports to the Head of Research: tbc (role currently vacant)
  - Research Support Officer, currently reports to the Head of Research (but will report to the Head of the Research Office once the position is filled): Cinzia Yates
  - Research Coordinator, currently reports to the Head of Research (but will report to the Head of the Research Office once the position is filled): Emily Moore

and, in respect of our Open Access obligations,

- Library staff, including:
  - Senior Librarian, reports to the Secretary & Dean of Students: Kate Eaton
  - Assistant Librarian (Cataloguing), reports to the Senior Librarian: Knut Maseide

Governance responsibility for Research:

- Research & Knowledge Exchange Committee (RKEC), reports to the Academic Board of the School, which reports to the Board of Governors

Sub-committee with direct responsibility for governance of REF submission procedures:
- REF sub-committee (terms of reference in Annexe 3), designated by Research & Knowledge Exchange Committee and confirmed by Academic Board, includes co-opted members from outside RKEC

Chair of the Appeals Process:
- Vice Principal & Director of Advancement, reports to the Principal: Jeremy Newton

Secretary to the Appeals Process:
- Secretary & Dean of Students, reports to the Principal: Katharine Lewis

Relationships between roles:
- The Head of Research is Chair of the Research & Knowledge Exchange Committee and the Chair of the REF sub-committee.
- The Head of the Research Office is a member of the Research & Knowledge Exchange Committee and the REF sub-committee.
- Some members of the REF sub-committee are also members of Research & Knowledge Exchange Committee and some are not, as a further means of ensuring representation across the School.

Conflicts of interest:
- Members of REF sub-committee who are identified for submission to REF 2021 will be asked to leave the room when any specific discussions about their identification or their outputs occur. The deputy chair will chair the committee during any discussion about the Chair (the Head of Research).
- Members of the REF sub-committee who are also members of RKEC will be requested to represent the REF sub-committee during items directly related to REF2021 on the RKEC agenda.

1.7 Training

The REF sub-committee will be required to undergo the following training (which will also be made available to members of RKEC who would like to attend):

Equality in the Workplace
This course provides an overview of why equality is important in the workplace. It also gives practical help in challenging unlawful discrimination or inappropriate behaviour. This online course is mandatory when joining the City Corporation; the REF sub-committee will be asked

to undertake this course again as a refresher, to update their knowledge and understanding of equality considerations in the workplace.

REF guidance workshop
The REF team (see section 1.6) will provide a REF2021 guidance workshop, which will outline all aspects of the final guidance for submission received by Research England and aim to answer members' questions on the current draft of the guidance.

Unconscious bias training
'Unconscious bias' refers to a bias that we are unaware of, and which happens outside of our control. It is a bias that happens automatically and is triggered by our brain making quick judgments and assessments of people and situations, influenced by our background, cultural environment and personal experiences. Unconscious bias may manifest itself in language, behaviour and decisions. This course, which will be provided by a company outside the City of London Corporation (The Equality Works Group), will take place on 11 July 2019. It will support members of the REF sub-committee and the REF team to understand the impact of unconscious bias on their working lives and become more aware, less biased and more inclusive.

Each REF sub-committee member will be expected to countersign a commitment to the training outlined above, and an affirmation of their role on the committee as a representative of the School (rather than their individual interests).

Part 2: Identifying staff with 'Significant Responsibility for Research'

In this section, we explain how we plan to identify those staff eligible for return to REF2021. We will use the following identification categories, as per the REF2021 guidance:

1. **'Category A Eligible' staff**: academic staff with a contract of employment of 0.2 FTE or greater, on the payroll at the institution on the census date (31 July 2020), whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff should have a 'substantive research connection' with the School and should meet the definition of an 'independent researcher' (including, for example, those staff who may be attached to a programme of research work directed by someone else).

2. **'Category A Submitted' staff:** academic staff from the pool identified as 'Category A eligible' who are identified as having 'significant responsibility for research' on the census date. For each staff member identified as 'Category A submitted', a minimum of one output will be required for submission, except in special circumstances (see Part 4).

3. **'Category C' staff**: individuals employed by an organisation other than an HEI, whose contract or job role includes research, and whose research is primarily focussed in the submitting unit (i.e. Music, Drama or Production Arts at the Guildhall School) on the census date.

Guildhall School Context

Though it has grown rapidly in the last few years, the Guildhall School's research environment is still relatively new. The School was established in 1880 but designated as a Higher Education Institution only in 2006. As the School develops its research culture, it is important for us to allow staff to explore research opportunities without imposing inappropriate or discouraging obligations or expectations, retaining sensitivity to individual career aspirations and circumstances. The primary focus of the vast majority of our staff is, and will for the foreseeable future remain, professional training and performance that may or may not have a research dimension. In particular, we recognise that for our staff research is not necessarily a definitive destination, but rather something that might be part of an individual's artistic and/or pedagogical activity for a defined period. It is worth underlining that this distinguishes the School, and institutions like it, from the vast majority of HEIs participating in REF2021.

Staff members are supported to participate in research activities through a variety of mechanisms (examples include Guildhall Innovation funding, one-to-one advice and mentoring, participation in the doctoral programme, external grant application support, involvement in doctoral supervision teams and presentation at research seminars), tailored in each case to suit the expertise and experience of individual members of staff. The aim in

providing these opportunities is to nurture staff members to explore their interests in a creative, developmental environment. We allow for a range of outcomes (which may include completion of outputs and/or training and decisions to undertake further research as well as decisions to continue processes of exploration and enquiry outside formal research structures), all of which are treated as success.

Employment at the Guildhall School takes many forms, providing for full-time salaried staff, fractional salaried staff (which may be in one or multiple departments, or involve more than one contract), hourly paid staff, or a mix of part-time and hourly paid work. Unlike in other work-places, a 'zero-hours contract' has usually been drawn up for the benefit of the individual staff member. This range of employment contracts, though complex, allows practitioners, teachers and researchers in our disciplines to work at the School in ways compatible with their (very often high-profile) professional lives outside it. Accordingly, like some other similar institutions around the world the School does not currently have standard workload models or contracts for staff that fall straightforwardly into the HESA categories 'Teaching and Research' or 'Research Only'. We are working with Human Resources and other departments to develop new employment structures to align more closely with sector norms while still remaining compatible with those of the City of London Corporation (which has a unique pay and grading system for the entire Corporation that does not align with HE pay grades). In the meantime, in line with its ethos of progressive and exploratory approaches to artistry and pedagogy, as well as its responsibilities to support the continuing professional development of its employees, the School provides to all staff, without exception, the opportunity to carry out research activity.

Taking into account all these factors, we have developed our processes with the following context in mind:

• The varied contractual status of our staff, including the high number of fractional appointments, reflects normal practice in the conservatoire sector in our disciplines. As an institution, we encourage staff to be active in both industry and academia. Therefore, all 'Category A submitted' staff shall for the present purposes be considered to have a 'substantive research connection' to the School, regardless of fraction.

• The transitional nature of our current institutional context and the variety of employment models, workloads, and fluctuations in staff members' professional lives means that our research activity needs to be considered very differently from what may be typical in other academic settings. Career trajectories are more fluid, variable, and – crucially – staff members may move in and out of research work. To account for this, 'research activity, 'significant responsibility for research', and 'independent researcher' will be considered within the timeframe of the current REF cycle and re-considered cycle by cycle. That is, previous research activity or eligibility for

REF will not automatically mean eligibility for the current REF cycle; the status of each staff member will be determined anew within each cycle.

The current REF cycle runs from 1 January 2014 to 31 December 2020. Following approval of this code of practice, identification processes will run annually, with the first process considering the REF cycle to date. Notwithstanding potential future changes in the REF, this will mean instituting a new process half-way through the current cycle, but will provide for a process that will outlast it.

2.1 Criteria for identifying staff

Figure 1 'Category A Eligible' staff identification

1. Identification of Category A Eligible Staff

A: Contract of 0.2 FTE or equivalent hours (averaged across cycle)	No →

↓ Yes

B.1: Job Description with significant research activity expectation OR B.2: Evidence of research activity	No →

↓ Yes

C: Assertion of research independence (within the REF definition) during the current REF cycle	No →

↓ Yes

D: Category A Eligible

Withdrawn from the process

Figure 2: 'Category A submitted' staff identification

2. Identification of 'Category A Submitted' Staff

D: Category A Eligible Staff

↓ Yes   No ↓

E.1: Job Description with significant research activity expectation OR E.2: Time and resources devoted to research and/or expectation of role: annual assessment	No →	Not Submitted

↓ Yes

| F: Category A Submitted Group |
|---|
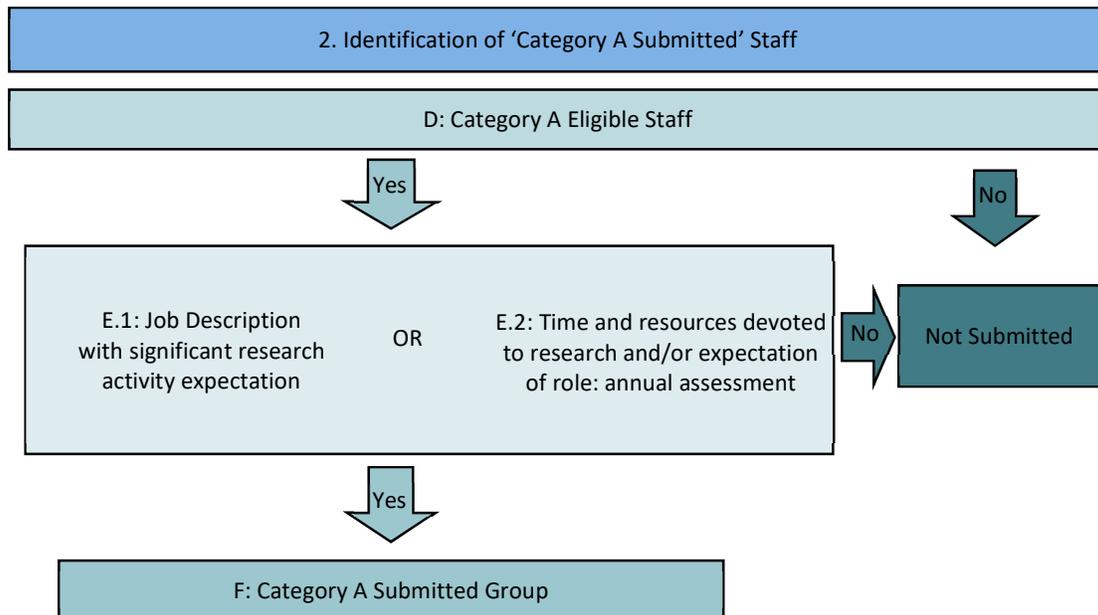
A. Staff members must have an employment contract of at least 0.2 Full-Time Equivalent (FTE) or (for hourly paid staff) equivalent hours calculated annually and averaged over the REF cycle HESA reports (academic year 2014–15 to 2019–20). Staff who self-identify as conducting research will be supported to clarify (in HESA terms) their fraction or equivalent hours if necessary.

B.1 A job description that indicates a significant expectation for research activity will in general contain detailed research clauses, meaning (in the case of older contracts) more than two clauses related to research; an example of such clauses is provided in Annexe 4. If a staff member has such a contract and no other teaching commitments at the School, they shall be reported to HESA as 'research only'.

OR

B.2 'Evidence of research activity' will mean that a staff member has been identified as having shown evidence of research activity during an annual process of consideration of institutional research activity. All staff members (salaried and hourly paid) will be invited to put forward their research activity for consideration of eligibility against the definitions set out by Research England. Evidence of research activity may include:

  i.   Research outputs (as per the REF definition) completed during the REF cycle;
  ii. Receipt of Guildhall Innovation Research Project funding to undertake research;
  iii. Support to complete a doctorate and to undertake subsequent research activity;
  iv. Other activities that may be declared by staff and discussed with the Head of Research.

An initial recommendation will be made by the Head of Research, for review by the REF sub-committee and approval by RKEC.

C. Independence – see section 3.

D. All staff members that meet the criteria at stages A, B, and C shall be considered 'Category A eligible' and designated as 'research only' or 'teaching and research' in subsequent HESA returns, even if those two categories may not capture the nuances of the contract, job description or role in question. 'Research only' staff will be identified in stage B.1; all other staff members who are identified as 'research active' will be reported as 'teaching and research'. If a staff member is clearly identified as 'research active' or 'Category A eligible' during a REF cycle, they shall remain so for the rest of the REF cycle.

The definition 'Category A eligible' for staff does not in itself exhaustively identify staff who have 'significant responsibility for research', so the School has developed the process below for identifying staff who meet the definition of 'Category A submitted'.

All staff who have been identified as 'Category A eligible' through the process outlined in Figure 1 above will then be considered for identification as 'Category A submitted' by the details in Figure 2, outlined below

E.1 Staff with a job description that indicates significant responsibility for research will be identified in stage B.1. and – if deemed independent and hence 'Category A eligible' – will be automatically part of the 'Category A submitted' group.[1]

OR

E.2 Evidence of time and resources devoted to research and/or research expectations of a job role

Many staff members do not have a job description that on its own indicates 'significant responsibility for research'; in order to identify if such staff members meet the REF definition, consideration will be given to the time and resources for research made available to them by the institution, and/or to demonstrable expectations of their role within the institution in practice. It is important to underline that this consideration will be based on the institution's expectations, not on the quality or volume of work the member of staff has produced to meet those expectations; it is not in any way a judgement on performance of duties, implicit or explicit. That is to say, 'significant responsibility for research' at the School will, for the purposes of REF2021, be determined according to the expectations it has of staff *as a function of their employment*, and not according to the quality or volume of what has been delivered as a result of that function. The School seeks to ensure that all eligible staff who have any significant responsibility to undertake research are returned to REF2021. Indicators used in that determination may include:

i. external funding received from a national or international peer reviewed funding agency, through which the staff member is identified as an 'investigator' (in the sense used by research funding bodies) and time and resources are allocated to conduct research;

---

[1] Roles within the School are set out in a wide variety of contracts and job descriptions. Some reflect its unique status as an HEI that is also a department of the City Corporation of London and hence subject to the latter's pay and grading framework. Others are evidence of successive attempts to recognise, through the drafting of new contracts and occasional revisions of old ones, both the School's gradual convergence with HE over the course of the last decade and its developing aspirations for research. The result, though highly functional for a progressive and evolving institution, resists easy categorisation.

ii. Guildhall Innovation funding awarded to the member of staff for a 'Research Project' (in the sense used in our internal criteria) which reaches successful completion (what counts as 'successful completion' will vary depending on the planned project outcomes, but could include completion of a pilot study, workshopping of a performance, or a completed research output);

iii. designated doctoral supervision as lead supervisor of at least three students during the REF cycle;

iv. designated curation of a series within ResearchWorks, the School's research seminar series (i.e. three or more linked events).

The following information will be used to identify resources or contribution (in the sense implied above), along with consultation with individual staff members:

- external funding received;
- Guildhall Innovation Funding records;
- information provided in the annual process of self-identification (used to identify Category A eligible staff);
- doctoral supervision records;
- records of ResearchWorks events.

F. Staff identified through this process shall be considered 'Category A submitted' and will be included in the School's submission to REF2021. The REF sub-committee will be responsible for reviewing evidence relating to the identification of staff, ensuring sufficient evidence supports that identification, and providing a list of identified staff for ratification by RKEC. Identified staff will be informed by the Head of Research and expected to provide all necessary documentation for inclusion in the REF submission (including, but not limited to, records of their outputs, research funding and any activity facilitating the impact of their research).

Category C Staff

Category C staff may be included in the 'environment' section of the REF submission. Category C Staff who contribute to the research community, and who have not already been approached, are invited to contact the Head of Research as soon as possible; members of School staff who work with colleagues who might be deemed 'Category C' are encouraged to pass on this invitation.

2.2 Development of the identification process

The process for identification of 'Category A eligible' staff and 'Category A submitted' staff has been developed and consulted on through the stages outlined in section 1.5.2 of this document. Through each stage of development, different groups of staff have been invited to engage with the documentation.

Draft 1: Led by the REF team within the research office (operational procedure and policy unit for research at the School) based on initial decisions for REF2021, and reviewed by RKEC, representing the research community.

Draft 2: Developed further by the REF team based on the REF2021 'Draft Guidance on Submissions', RKEC, Academic Board (representing the academic community), Senior Management Team (representing strategic decision-making of the School), and a wide consultation with all staff, inviting all staff to read the draft and provide their views.

Draft 3: Developed further by the REF team in conjunction with the REF sub-committee (representing RKEC and a mix of disciplines, research career stages, employment contract types, and genders) based on final guidance on submissions, considered for approval by RKEC and the Senior Management Team.

Final text of code: based on any amendments suggested for Draft 3 and approved by RKEC.

2.3 Staff, committees and training

The roles and responsibilities of those staff involved in the REF submission are outlined in section 1.6; the consultation and decision-making process is outlined in section 1.5; the training offer and requirements are outlined in section 1.7.

The REF team and REF sub-committee, as outlined in section 1.6 and Annexe 3, will have direct responsibility for, respectively, managing and overseeing the REF Submission. The REF team will gather all staff identification documentation for consideration, and advise the REF sub-committee on matters relating to the published guidance for REF2021. The REF sub-committee will assess for validity all documents submitted as part of the process, where necessary seeking authoritative advice from internal and external peers and from HR, and will have decision-making responsibility for all aspects of the School's submission to REF2021.

2.4 Appeals

All staff members will have the right to appeal decisions made during the processes outlined in this code. Appeals may be made on the grounds of 1) concerns over application of processes or 2)

alleged or potential discrimination. The academic judgement of the REF sub-committee will not be subject to appeal.

In all correspondence relating to staff identification, research independence, and/or selection of outputs for REF2021, attention shall be drawn to the Appeals process within this code.

It is recommended that any staff member unhappy about any decision made should discuss this with the Head of Research informally before lodging an appeal.

The appeals process will be handled by individuals who are independent of the REF process (and independent in particular of the roles and responsibilities outlined in section 5). For all appeals, advice will be sought from HR to ensure the highest standards of inclusion and adherence to School and City of London Corporation policy, and to the present Code of Practice.

In the case of an appeal, the use of lawyers by either party is not required or recommended. It is the School's clear intention that use of the procedures should enable relationships to continue and thrive beyond the resolution of the issue at hand. This does not affect the staff member's right to seek legal advice.

The appeals process will be as follows.

i. Appeals must be lodged in writing, within 28 working days of receipt of formal feedback, to the Secretary of the Appeals Panel. No appeals will be considered after 31 March 2020 (to allow adequate time to hear appeals prior to the census date).

ii. The Secretary will complete an administrative check within seven working days of receipt of the appeal. The administrative check will determine a) that the documentation is complete; and b) whether sufficient evidence has been provided to merit consideration of a claim on one or both of the grounds for appeal.

iii. The Secretary may reject an appeal if the documentation is not complete and/or insufficient evidence has been provided. The rejection will be communicated to the appellant with the reason for rejection.

iv. If the administrative check confirms the necessary documentation and sufficient evidence for appeal, the Secretary will convene an Appeals Panel.

v. The Appeals Panel will consist of:
   the Chair
   an HR representative
   an external researcher (to be nominated by the Principal when required, as far as possible from a relevant field)
   The Secretary to the Appeals Panel will be in attendance.

vi. All three members are required for quoracy. The Chair of the Research & Knowledge Exchange Committee will be asked to provide in writing a formal response to the appeal, which will be provided to the appeals panel, along with the appellant's documentation. The Secretary to the Appeals Panel and the appellant will circulate the documentation five working days before the panel hearing.

vii. The Appeals Panel will undertake a panel hearing.
- The appellant will have the right to appear before the Appeals Panel, to be accompanied by a representative of a trade union or professional body, or to be absent from the Appeals Panel. The name of any representative must be communicated to the Secretary at least two working days before the panel hearing.

- The Appeals Panel will invite the Chair of the Research & Knowledge Exchange Committee or other representative of the REF sub-committee to the hearing as well as and any other witnesses who may provide clarity on any aspect raised in the appeal.
- The panel will interview the appellant, any witnesses, and the Chair of the Research & Knowledge Exchange Committee or representative. The appellant and Chair of the Research & Knowledge Exchange Committee or representative will also be invited to make a statement to the panel.
- A written record of the panel proceedings will be kept by the Secretary.

viii. The Appeals Panel will determine whether to uphold the appeal or reject the appeal. The decision of the panel will be communicated to the appellant and the REF Sub-committee chair within three working days of the hearing.

ix. Where the panel upholds the appeal, the panel will indicate the reason. Where the appeal has been upheld on the grounds of concerns over the application of processes, the panel will determine whether these were sufficiently substantive to bring the decision of RKEC into doubt. Where substantive, the appellant will be invited to re-enter the identification procedure at the point before the procedural error occurred. Where the panel upholds the appeal on the grounds of discrimination, the panel will take advice from HR on the appropriate way forward with the intention of ensuring that the appellant may re-enter the identification procedure at the point before the discrimination occurred, and will make recommendations for ensuring that the discrimination does not re-occur.

2.5 Equality impact assessment

The Initial Screening Assessment Form used in the drafting of this Code of Practice can be found at Annexe 6. Further iterations of the process-specific assessments below and in sections 3.4 and

4.4 will be undertaken by the Head of the Research Office and HR at regular intervals, and any emerging issues reported to the REF sub-committee.

In considering staff identification, the following risks have been particularly identified, as well as the below mitigation plans:

Risk	Characteristic(s) affected	Mitigation
'Early' or 'Senior' research career stages might be misunderstood as being related to age, leading to exclusion of those who do not consider themselves in that age bracket (for example, someone who might not be considered early career in other ways might still be an early career researcher).	Age	Terminology in the documentation will explain clearly that career stage and age are not necessarily related: seniority in age does not imply seniority in research career, and vice versa.
Timeframes for staff to return consultation information or staff research information requests might be (or seem) unmanageable for staff members who are less frequently engaged in work at the institution.	Disability, gender reassignment, pregnancy or maternity, other medical or care reasons; part time or hourly paid staff	All timescales for consultation or information requests will have an ideal timeframe of five weeks for return, with a minimum (only where absolutely necessary) of three weeks, providing adequate time for those who require longer timeframes to respond. Should a staff member request an extension on return, we shall endeavour to accommodate an extension.
Some staff members may not feel they have the same connection to the research community as others. In	Part-time salaried staff, hourly paid staff	All staff members, regardless of contract type, will be invited to engage with the REF submission process (see section 1.5.1). A callout

particular, hourly paid staff and/or staff whose employment at the School predates its increased commitment to research will almost certainly not have a job description that defines a significant responsibility for research.		for research activity in 2017 had a very positive response. Mechanisms (including funding) are available to support staff research. All staff are regularly invited to engage with these at any time and the institution continuously seeks out new ways to engage staff with research.

Part 3: Determining 'Research Independence'

3.1 Policies and procedures

Independence shall be identified during the process of identification of 'Category A eligible' staff, outlined in Figure 1 under section 2.1 of this document.

An independent researcher is defined as an individual who undertakes self-directed research (as per the REF definition of research), rather than carrying out a part of another individual's research programme.

Independence shall be considered for each individual staff member conducting research during the REF cycle. Staff may have gained independence previously but may choose not to assert/exercise their independence during the cycle, due to other commitments and/or circumstances, or they may no longer be considered independent following a change of direction in their practice. Similarly, staff may be undertaking formal research for the first time, so independence may not be ascertained until completion of an independent project. Therefore, independence must be ascertained for every staff member identified as potentially 'Category A eligible'.

Independence will be attributed (for the purposes of the present process) through a formal meeting with the Head of Research to discuss research activity.[2]

Indicators of independence will include:
- o leading or acting as principal investigator or equivalent on an externally funded project;
- o holding an independently won, competitively awarded fellowship where research independence is a requirement;

---

[2] The independence of the Head of Research will be confirmed by decision of the Principal.

o acting as a co-investigator on an externally funded project, where the individual is leading a significant piece of the work;
o leading a research group or substantial work package;
o significant input into the design, conduct, and interpretation of research, which may be evidenced by research outputs.

An initial recommendation will be made by the Head of Research, for review by the REF sub-committee and approval by RKEC.

3.2 Staff, committees and training

The roles and responsibilities of those staff involved in the REF submission are outlined in section 1.6; the consultation and decision-making process is outlined in section 1.5; the training offer and requirements are outlined in section 1.7.

3.3 Appeals

All staff members will have the right to appeal decisions made during the processes outlined in this code. Full details of the appeals process can be found in section 2.3 of this document.

3.4 Equality impact assessment

The full equality impact assessment can be found at Annexe 6.

In considering research independence, the following risks have been particularly identified, as well as the mitigation plans below:

Risk	Characteristic(s) affected	Mitigation
Research independence might be misunderstood as being related to age, leading to exclusion of those who do not consider themselves in that age bracket (for example, someone who might not be considered early career in other ways might still be an early career researcher).	Age	Terminology in the documentation will explain clearly that career stage/research independence and age are not necessarily related: seniority in age does not imply seniority in research career, and vice versa. REF sub-committee and REF team will undertake unconscious bias training to support awareness and prevention of any bias.

Some staff members might have experienced circumstances that prevented them from achieving research independence, but wish to be considered part of the research community.	Disability, gender reassignment, pregnancy or maternity, other medical or care reasons; part time or hourly paid staff	All documentation, consultation, and training (in line with the ethos of the School) shall clearly state that research independence does not imply participation in the research community of the School; these terms shall be exclusive. All staff who engage with research will have the opportunity to be reflected in the research environment section of the submission.

Part 4: Selection of outputs

4.1 Policies and procedures

The group of 'Category A submitted' staff designated through the identification process outlined above will be expected to make available all their research outputs for consideration for inclusion in the REF2021 submission. As per REF2021 regulations, the institution will calculate the number of research outputs to be submitted by first identifying the total full-time equivalent (FTE) of Category A submitted staff (for example, for someone employed one day per week, this is 0.2FTE). This total is then multiplied by 2.5 to provide the total number of outputs required:

FTE of Category A submitted staff **✗** 2.5 (as per REF guidance) **=** Number of outputs

To be eligible as per the REF guidance, each output must be:
- the product of research, defined as a process of investigation leading to new insights, effectively shared (see section 1.1.);
- first brought into the public domain during the publication period 1 January 2014–31 December 2020.
- attributable to a current or former member of staff, who made a substantial research contribution to the output; and
- available in an open-access form, where the output is within the scope of the REF2021 open access policy.

A minimum of one output will be required for each staff member identified as 'Category A submitted' (exceptions apply, see section 4.3). A maximum of five outputs may be identified for each individual staff member.

Within the prescribed total number of outputs and the regulations governing minimum and maximum individual contributions, the School will submit those outputs that, in the opinion of the REF sub-committee, are most likely to score highly against the criteria defined by the REF2021 guidance, fundamentally:
  o originality
  o significance
  o rigour.

In addition, outputs must fit within the remit of the one Unit of Assessment to which the School will be submitting: sub-panel 33, Music, Drama, Dance, Performing Arts, Film and Screen Studies (allowing for the increased opportunities for cross-referral between sub-panels in the REF2021 guidance).

The REF sub-committee, with the support of appropriate external peer reviewers, will assess outputs submitted for consideration for inclusion in the REF submission. The REF sub-committee will appoint external peer reviewers a) in cases of disagreement across the panel, b) in line with the principle of double-blind peer review, c) to provide disciplinary expertise beyond their own (see Annexe 3).

All Category A submitted staff will be requested to identify their eligible research outputs (as per the REF2021 'Main Panel D output types', see Appendix B) and provide a short additional supporting statement as appropriate. In addition, the onus will be on staff to provide evidence that the research has, where required, received the relevant ethical approval.

The REF sub-committee, using the mechanism below, will review all research outputs identified and provided by Category A submitted staff, including those staff who have left the School to take up other positions or been made redundant. Possible conflicts of interest will be a standing item on the agenda of REF sub-committee selection meetings, and will normally be addressed by the member or members concerned withdrawing during discussion relating to them and their outputs.

- Each output will be assigned to an internal reviewer and appointed external reviewers with discipline expertise as appropriate.
- Each reviewer will provide a score (using the REF scheme), reasoning and commentary for each output reviewed (reviewers will not be made aware of scores already given).
- All scores will be consolidated, providing an average score for each output.
- The REF sub-committee will then assess all scores, reasoning and commentary, particularly any deviations in scores, for completeness, identifying further reviewers where appropriate.
- The highest scoring research output for each individual Category A submitted staff member will be identified and recorded. Should an individual have requested and been granted removal of the minimum of one research output, it will be applied at this point.

The REF sub-committee will consider and approve the final output selection.

Review	Score	Selection
• Each output will be reviewed for originality, significance, rigour (and fit within music and drama).	• Each reviewer will provide a score, reasoning, and commentary; scores will be consolidated to provide an average.	• The REF sub-committee will consider all scores; the highest scoring outputs will be identified.
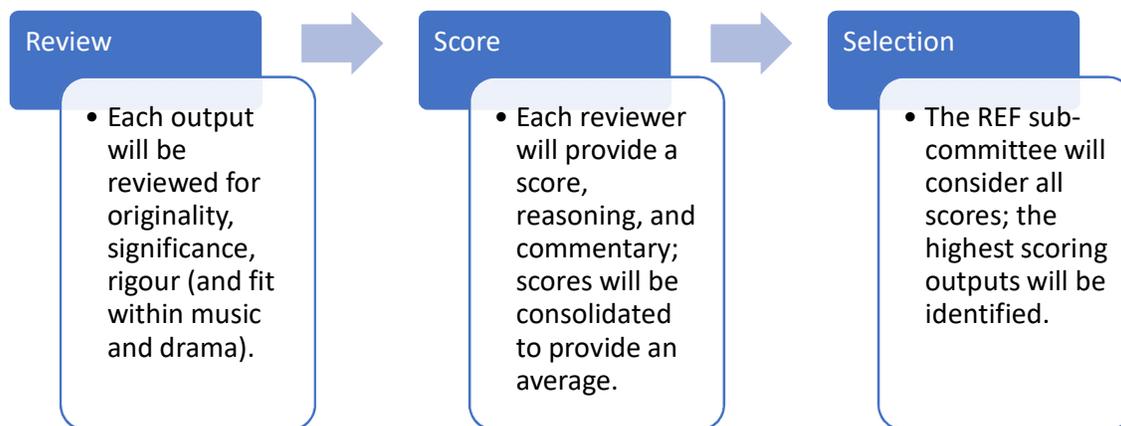
It will be the task of the REF sub-committee to ensure an appropriate balance of constructive, collegial internal peer review and independent external peer review, including, where deemed productive or necessary by the Chair, measures to assure the anonymity of reviewers.

As of the drafting of the present Code, no 'Category A submitted' staff have left the School within the REF2021 cycle as a result of redundancy. The School is mindful of the ethical questions arising from submission of the outputs of such staff, however, therefore should any 'Category A submitted' member of staff be made redundant before the census, the approach of the REF sub-committee will be to be guided by the wishes of the individual(s) concerned. The Chair will be mandated to consult with the individual and, if it is his/her wish that her/his outputs be considered in the same way as others in the pool, that is the course of action that will be adopted.

In the case of staff who have left the School within the REF2021 cycle to move to a position at another HEI submitting to REF2021, the approach of the REF sub-committee will be first to enter into a dialogue with the individual to confirm the outputs in question and then to consider collectively the advantages of seeking to include them in the School's submission. Where it is determined that such outputs should be included, the Chair will be mandated to consult with both the individual and his/her new institution to facilitate their consideration. From that point onwards, the outputs will be considered in the same way as the rest of the outputs in the pool.

4.2 Staff, committees and training

The roles and responsibilities of those staff involved in the REF submission are outlined in section 1.6; the consultation and decision-making process is outlined in section 1.5; the training offer and requirements are outlined in section 1.7.

4.3 Staff circumstances

The funding bodies recognise that individual circumstances arise that may constrain a staff member's research productivity during the REF cycle. As a key measure to support equality and diversity in research careers, the School is invited to apply for reductions in the number of outputs required based on disclosure of staff circumstances that have constrained research productivity.

Reductions may be applied:
1. to the total number of research outputs required for return (calculated as per section 4.1);
2. to an individual, removing the requirement for a minimum of one output attributed to them in the submission.

Applicable circumstances of constraints in research productivity:
a. qualifying as an early career researcher (ECR),[3] i.e. a researcher that started their career as an independent researcher on or after 1 August 2016 (reductions based on date of ECR status, see Appendix C);
b. absences from work due to secondments or career breaks (reductions based on total months absent, see Appendix C);
c. qualifying periods of family-related leave, including maternity, paternity, adoption or parental leave (reductions based on each discrete period, see Appendix C);
d. circumstances with an effect equivalent to absence, and that require a judgement about the appropriate reduction in outputs, including
   o disability (as per the definition in Appendix A),
   o ill-health, injury, or mental health conditions,
   o constraints relating to pregnancy, maternity, paternity, adoption, or childcare that fall outside of – or justify the reduction of further outputs in addition to – the allowance outlined in clause c. above,
   o other caring responsibilities (such as caring for an elderly or disabled family member),
   o gender reassignment,
   o other circumstances relating to the protected characteristics listed in Appendix A or any activities protected by employment legislation.

The tariffs for defined reductions will vary depending according to circumstances, and applicable circumstances may be combined sequentially for an individual; see Appendix C for

---

[3] *Please note that the use of 'early career' in this context refers only to research career stage and not to age, or any other professional career stage.*

details. Some circumstances require individual consideration and judgement; only one circumstance can be considered for any period where multiple circumstance applied simultaneously. As part-time working is taken account of in the overall calculation of outputs, reductions for part-time working will only exceptionally be considered as potential grounds for application for a reduction.

The School's procedures for managing applications for consideration of such particular circumstances, and for making decisions that fairly take account of them and the effects they may have had on an individual member of staff's ability to carry out research sufficiently productively throughout the period (including to such an extent as to have been unable to produce the minimum one output) are as follows. All members of staff, whether they have self-identified as research-active or not, will be invited (via e-mail, via the staff e-zine and by other appropriate means, during September-October 2019) to discuss their circumstances confidentially if they wish, with a view to establishing a case for applying to have those circumstances recognised in the School's REF2021 submission. They will be given the choice of contacting in the first instance the HR department, the Research Office, or the Head of Research directly to discuss their individual situation. (Subsequent confirmation of details will necessarily require the involvement of HR, and this will be made clear.) Additionally, all staff members that are subsequently identified as 'Category A submitted' will be invited by e-mail to complete the same individual staff circumstances form, as per Annexe 5.

All disclosures of circumstances will be treated confidentially. Depending on the wishes of the individual member of staff, the details can be limited to HR. If a reduction is judged appropriate, only its extent will be made known to the REF sub-committee and not the circumstances giving rise to it. If there are cases where, with the consent of the individual member of staff concerned, it is deemed necessary to discuss details with the Head of Research or other members of the REF sub-committee, a data protection impact assessment (run by the Head of the Research Office in collaboration with HR and Registry) will take place once a detailed timetable for the assessment of staff circumstances and outputs has been established, and if necessary repeated for further iterations within the process. In all cases, the staff involved in the implementation of the process as a whole will be limited to HR, the School REF team (see section 1.6) and the School REF Sub-committee (see Annexe 3).

Given the wide range of research experience in the School and the declared inclusivity of its research community, it is important to underline that we will not go into the process of output selection with any defined expectation of any individual member of staff. That is, notwithstanding any special circumstances that may be reported subsequently, our position as of the publication of the present Code is that there are no defined assumptions or expectations regarding the number of outputs any particular member of staff will contribute to the School's REF2021 submission. The REF Sub-committee will shape that submission by choosing among

the outputs brought to its attention by Category A submitted staff, and taking account of any agreed reductions, whether to the pool of outputs as a whole, or to the minimum required from particular individuals. The principal criterion will of course be quality (as judged by the REF sub-committee, where appropriate making use of internal and external peer review as outlined in section 4.1 above), but the overall submission will also be considered in light of the strategic research development priorities of the School.

4.4 Equality impact assessment

The full equality impact assessment can be found at Annexe 6.

In considering selection of outputs, the following risks have been particularly identified, as well as the below mitigation plans:

Risk	Characteristic(s) affected	Mitigation
Any staff member might have a concern that their protected characteristic may be known by the REF sub-committee and that individuals may bias their opinion of an output based on that characteristic.	All protected characteristics	As part of the REF guidance training, members of the REF sub-committee will be reminded of their position as institutional representatives and the need to disregard their opinion about anything other than the quality of the output. Unconscious bias training will support the REF sub-committee to be aware of, and mitigate, any bias that might unconsciously occur. All external reviewers will receive anonymised outputs where appropriate, which will reduce the possibility of bias. As part of their contract of work, External reviewers shall be bound to impartiality should any outputs be identifiable to an individual.

The perceived age and/or gender of a staff member may lead to bias about the quality of research outputs.	Age, gender	All documentation will clearly define research career stage as independent of age. The REF sub-committee will undertake unconscious bias to support awareness and prevention of any bias.
Some staff members might have experienced circumstances that constrained their ability to work productively during the REF cycle and hence feel excluded from the process.	Disability, gender reassignment, pregnancy or maternity, other medical or care reasons; part time or hourly paid staff	All staff members identified as 'Category A submitted' will be invited to complete the individual staff circumstance form, declaring any circumstances that might have constrained their ability to work productively during the REF cycle. These forms will be considered above all where an application to REF2021 to waive the minimum requirement of one output is possible.
Some staff members might feel particularly private about disclosing circumstances of gender reassignment.	Gender reassignment	The individual staff circumstances consideration will be managed by Human Resources to ensure that staff members feel that the highest levels of confidentiality are in place. The REF sub-committee shall only be made aware of reductions, not applications or circumstances leading to reductions.
Data breach arising from the processing of sensitive personal data (usually only handled by	All protected characteristics	REF sub-committee and REF team to undertake core Data protection training, following

HR) by REF sub-committee and REF team		City of London Corporation data protection protocols and policies. Data processed and stored only on City of London Corporation encrypted laptops.

Annexes

Annexe 1: Full timeline of processes

Summer 2017	First call for staff self-identification for the REF process
Autumn 2017	Initial decisions on REF2021 released by Research England
March 2018	Panel membership for criteria phase announced by Research England
May 2018	REF code of practice outline drafted and shared with RKEC and SMT
July 2018	Draft guidance and panel criteria published by Research England
15 October 2018	Consultation on draft guidance closes
October 2018	Draft 2 of Institutional code of practice considered by RKEC and SMT
October 2018	Staff consultation on institutional code of practice opens and open session held
November 2018	Staff consultation on institutional code of practice closes
December 2018	Staff consultation feedback collated and considered by RKEC
2019	Gathering of outputs and internal and external peer review of outputs
January 2019	Final guidance on submissions and panel criteria published by Research England
May 2019	Draft 3 of institutional code of practice considered by RKEC, elected staff representative on the Board of Governors and co-opted Governor
May 2019	Final comments from RKEC, SMT, elected staff representative on the Board of Governors and co-opted Governor considered by REF sub-committee and code of practice finalised
7 June 2019	Institutional code of practice submitted to Research England
June 2019	Call for staff self-identification for the REF process
September 2019	Feedback from Research England and revision of institutional code of practice
Autumn 2019	Invitation to staff members to disclose individual circumstances opens
Autumn 2019	Submission of survey submission intention to Research England
December 2019	Publication of approved codes of practice by Research England
Early 2020	Announcement of submission system by Research England
31 July 2020	Census date for staff; end of assessment period (impact, environment, income data; doctoral degrees awarded)
27 November 2020	Closing date for submissions

31 December 2020	End of publication period (publication of outputs, including those underpinning impact case studies)
2021	Assessment of submission led by Research England
December 2021	Publication of outcomes
Spring 2022	Publication of submissions and reports by Research England

Annexe 2: Code of Practice consultation feedback

Staff consultation questions:

The following survey seeks feedback on the Guildhall School REF2021 Code of Practice. Completion of this survey will feed into a wider consultation

General

1. Did you find the Code of Practice easy to navigate and understand, considering the complexity of the information? Question
2. Does the Code of Practice provide sufficient information about the School's processes for REF2021?
3. Does the Code of Practice accurately reflect the ethos of the School, and, as far as you are aware, that of its research environment?

Y/N plus box to provide further information

Part 2: Identification of staff

4. Do you think that the process for identifying 'Category A eligible' staff (see Figure 1) aligns with our principles of transparency, consistency, accountability, and inclusivity?

Text plus box to provide further information

5. Do you think that the process for identifying 'Category A submitted' staff (see Figure 2) aligns with our principles of transparency, consistency, accountability, and inclusivity?

Y/N plus box to provide further information

Part 3: Research Independence

6. Do you think that the process for identifying 'independent researchers' aligns with our principles of transparency, consistency, accountability, and inclusivity?

Text box to provide further information

Part 4: Selection of outputs

7. Do you think that the process for selecting outputs aligns with our principles of transparency, consistency, accountability, inclusivity?

Text box to provide further information

Are there any other comments you would like to add?

Annexe 3: RKEC and REF sub-committee membership and terms of reference

RKEC role and purpose

The Research & Knowledge Exchange Committee, and associated sub-committees and working groups that may be set up from time to time, advises Academic Board on the development and promotion of research, the performance of the School's research community and matters of quality assurance relating to the doctoral research student experience. The Committee meets once per term and reports to the Academic Board annually.

RKEC terms of reference

1. To oversee the Research Strategy of the School, support the Head of Research in implementing the strategy, and advise Academic Board on the role of research in the School's Strategic Plan.

2. To advise Academic Board in defining, planning and implementing researchrelated policy and procedures for the Guildhall School and to oversee relevant policy and procedure implementation.

3. To monitor development in external research environments and consider how best to respond.

4. To oversee the development of the School's research degree programmes and monitor the admission and progress of research students.

5. To encourage and facilitate the highest quality research through:
   a. Development of initiatives for the growth of the research CUItUre of the School
   b. Promotion of good practice in research
   c. Oversight of the Peer Review College, which assesses all applications for Research & Knowledge Exchange Funding, provided by the City of London
   d. Support for engagement with key external stakeholders relating to research

6. To oversee the School's preparation for all government research assessment exercises.

7. To receive and consider reports and recommendations from Committee members and other staff of Guildhall School in all relevant areas including research ethics, research-related enterprise activity, the innovation seed fund and internally funded research proiects.

8.   In consultation with Academic Board, to vary the committee's Terms of Reference and Membership so that it remains best able to deal with its area of responsibility.

RKEC quoracy

Meetings will be considered quorate when 6 of the core members are present, plus one student. If a core member is unable to be present at a meeting they may nominate their deputy to attend on their behalf and their deputy will have full voting rights.

RKEC membership

The membership will be reviewed every two years. The committee has the power to co-opt up to three further members of academic staff

Core Members		Nominated Deputy
Head of Research (Chair)	Cormac Newark	Julian Philips
Senior Member of Research Dept	Sean Gregory	Armin Zanner
Doctoral Programme Leader	Alex Mermikides	Dinah Stabb
Graduate Research Training and Development Leader	Biranda Ford	Nell Catchpole
Head of the Research Office	tbc	Cinzia Yates
Director of Drama	Orla O'Loughlin	tbc
Director of Production Arts	Ben Sumner	Andy Taylor
Composer in Residence	Julian Anderson	Paul Newland
Head of Library	Kate Eaton	Ainara Urrutikoetxea
Head of Academic Studies (Music)	Alessandro Timossi	Evan Rothstein
Deputy Head of Academic Studies (Academic and Artistic Integration)	Christopher Suckling	Claire Taylor-Jay

Additional core member	Karen Wise	Richard Baker
One Student Representative	tbc pending election	tbc

Additional core member	Karen Wise	Richard Baker

Non-Core Members

Head of Music Therapy	Ann Sloboda / Donald Wetherick
Head of Vocal Studies	Armin Zanner
Head of Academic Studies (Drama)	Eliot Shrimpton
Deputy Head of Keyboard	Pamela Lidiard
Entrepreneurship and Enterprise Manager	Sian Brittain
Artist in Residence	Dinah Stabb
Writer in Residence	Stephen Plaice
Doctoral Student Representatives	Maite Aguirre (1st year)
	Maureen Hanke (2nd year)
	Thomas Fournil (3rd year)
	Amelya Goldy (4th year)
In Attendance: Committee Secretary	Sarah Bell
Quality Assurance Officer	Katy Beavers' start at the School has been delayed.

REF sub-committee role and purpose

The role of the REF sub-committee shall be to support and advise the Research & Knowledge Exchange Committee (RKEC) in preparing a high-quality submission to the next Research Excellence Framework (REF).

41

The Committee will be formed as a sub-committee of the Research & Knowledge Exchange Committee, with approval for the committee and its decisions the responsibility of Research & Knowledge Exchange Committee and (for major decisions) Academic Board.

The expectation will be two physical meetings of the sub-committee each term, beginning in academic year 2018/19, finishing in 2020, following the institutional REF submission.

REF sub-committee terms of reference

1. To interpret on behalf of the School the REF guidance published by the funding bodies with responsibility for REF 2021.
2. To undertake appropriate training to ensure compliance with legislation, to uphold the principles of the code of practice, and to ensure the highest standards of equality and diversity at all stages of the REF submission.
3. To advise the RKEC on the process of the submission to REF 2021 and to develop and inform the institutional REF code of practice.
4. To make decisions about the submission, including staff identification, output selection, impact case-study selection, and research environment, and to present those decisions for approval by the RKEC.
5. To approve the commissioning and terms of reference of external reviews, ensuring reviews are rigorous and independent.
6. To advise the Head of Research and REF team on correspondence with staff and external bodies in relation to the REF.
7. To provide the RKEC with termly reports on the progress of the submission.

External reviewers

The sub-committee will be expected to appoint external reviewers to assess the quality of outputs put forward by 'Category A submitted' staff (as defined in the REF guidance and the institutional REF code of practice).

External reviewers will be engaged in an independent advisory capacity, providing specific discipline expertise. External reviewers shall make no decisions.

The REF sub-committee for decision and approval by the RKEC shall consider all external reviews.

REF sub-committee membership

42

The members of this committee have been selected to reflect a range of criteria, representing not only a gender balance but also a range of disciplines and employment types, specifically:

- Research stage (early-career, mid-career, senior-career)
- Discipline
- Employment engagement (full-time, part-time)
- Employment contract type (salaried, hourly-paid)

As will be evident from the list below, in order to increase the representativeness of the sub-committee and to uphold the four key REF2021 Code of Practice principles of transparency, consistency, accountability and inclusivity, the sub-committee includes co-opted members who are not members of the parent committee, RKEC. The quorum will be six.

REF sub-committee list of members

Prof. Cormac Newark, Head of Research (Chair)

Nell Catchpole, Creative Learning

Prof. Sir Barry Ife, Honorary Senior Research Fellow

Dr Alex Mermikides, Doctoral Programme Leader

Cassandra Miller, Associate Head of Composition

Orla O'Loughlin, Director of Drama

Jacqueline Ross, Professor of Violin

Eliot Shrimpton, Head of Academic Studies – Drama

Ann Sloboda, Head of Music Therapy

Prof. John Sloboda, Research Professor

Dr Christopher Suckling, Historical Performance & Academic Studies

Ben Sumner, Director of Production Arts

tbc, Head of the Research Office

Dr Cinzia Yates, Research Support Officer (Secretary)

43

Annexe 4: Research clauses in Job Descriptions

The below clauses represent typical activities that are outlined in contracts that carry a significant expectation for research activity to be undertaken. The wording may vary across contracts, but the core activities will be the same.

Job description clauses

To lead in the development and conduct of research projects that contributes to the individual's professional activities, the strategic vision of the School, and the research community.

To identify sources of research funding, develop proposals, work with collaborators, consider and develop resources, complete applications and secure funding that contributes to meet the targets of the Department and School.

To take responsibility for the implementation and management of research projects. To undertake research in accordance with agreed proposals as well as internal and external deadlines.

To produce and disseminate research outputs appropriate for the research and the audience ensuring that these meet the requirements of Research Excellence Framework (REF) with regard to volume, quality and impact. These may include reports, peer-reviewed journal articles, policy briefs, working papers, books, chapters, media outputs, in collaboration and as lead author, adhering to the Open Access Policy of the School.

To enhance the research profile of the Guildhall School by contributing to the external research community, through presentations at conferences and other academic events and by effective networking.

To engage with and contribute to the development of the School's research and knowledge exchange environment where appropriate, including through the School's public-facing events programme, ResearchWorks.

To contribute to doctoral supervision and research training provision, through individual supervision of students and classroom-based seminar training.

To seek out, and develop, national and international research partnerships.

Annexe 5: Individual Staff Circumstances disclosure form

All information on this form will be treated confidentially

Individuals who have encountered circumstances that have constrained their research productivity during the REF cycle (1 Jan 2014 to 31 Dec 2020) are invited to disclose such circumstances, which may result in a reduction of the number of outputs required for the individual or for the total submission (see section 4.1). We recognise that these circumstances are potentially complex and intertwined; any staff member who is uncertain about how their circumstances might fall within the scope of the regularions is invited to contact in the first instance HR, research@gsmd.ac.uk or the Head of Research to discuss their individual situation. (Subsequent confirmation of details will necessarily require the involvement of HR.)

Additionally, all staff members who have already been informed that they have been identified as Category A submitted (see section 2.1) are requested to complete this form.

Section one:

Name

Department

Contact e-mail

Please select one of the following:

☐ I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF). If my circumstances change after I complete this form, I understand that I may complete and submit another.

☐ I have individual circumstances that I wish to make known to the School. (*Please complete section two*)

SIGNED: DATE:

Section two:

45

I wish to make the School aware of the following circumstances that have had an impact on my ability to produce research outputs or work productively during the REF cycle between 1 Jan 2014 and 31 Dec 2020.

Please provide information on any individual circumstance you wish to declare in the provided sections below, continuing on separate paper if required. If you are uncertain about your circumstances, please get in touch with us, or complete the 'other circumstances' section.

Circumstance:	Information Required:
Early Career Researcher (started research career on or after 1 August 2016)	Date on which you became an early career researcher.

Please provide brief explanatory details about the nature and timing of this circumstance, including the <u>Information Required</u> *from the box above.*

Circumstance:	Information Required:
Absence from work due to secondments or career breaks	Circumstances, dates and duration in months.

Please provide brief explanatory details about the nature and timing of this circumstance, including the Information Required from the box above.

Circumstance:	Information Required:
Qualifying periods of family-related leave (such as maternity or paternity leave, or statutory adoption leave)	For each period of leave, please state which type of leave was taken and the dates and duration in months.

Please provide brief explanatory details about the nature and timing of this circumstance, including the Information Required from the box above.

Circumstance:	Information Required:

46

Disability	Impact on ability to fulfil contractual hours, and any other impacts on ability to undertake research. If applicable, please provide the duration in months.

Please provide brief explanatory details about the nature and timing of this circumstance, including the Information Required from the box above.

Circumstance:	**Information Required:**
Ill health, injury, or mental health conditions	Impact on ability to fulfil contractual hours, and any other impacts on ability to undertake research. If applicable, please provide the duration in months.

Please provide brief explanatory details about the nature and timing of this circumstance, including the Information Required from the box above.

Circumstance:	**Information Required:**
Constraints relating to pregnancy, maternity, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken, which are not covered by the family related leave section above.	Impact on ability to fulfil contractual hours, and any other impacts on ability to undertake research. If applicable, please provide the duration in months.

Please provide brief explanatory details about the nature and timing of this circumstance, including the Information Required from the box above.

Circumstance:	**Information Required:**

47

Other caring responsibilities (such as caring for an elderly or disabled family member)	Impact on ability to fulfil contractual hours, and any other impacts on ability to undertake research. Duration of responsibility in months.

Please provide brief explanatory details about the nature and timing of this circumstance, including the Information Required from the box above.

Circumstance:	**Information Required:**
Gender reassignment	Impact on ability to fulfil contractual hours, and any other impacts on ability to undertake research. Duration of impact in months.

Please provide brief explanatory details about the nature and timing of this circumstance, including the Information Required from the box above.

Circumstance:	**Information Required:**
Other exceptional and relevant reasons (part time working is not usually considered but may be considered exceptionally)	Impact on ability to fulfil contractual hours, and any other impacts on ability to undertake research. Duration of impact in months.

Please provide brief explanatory details about the nature and timing of this circumstance, including the Information Required from the box above.

Name: **Date:**

Signature:

48

Please e-mail this form to research@gsmd.ac.uk or post to Louise Mankowska, Human Resources, Guildhall School, Silk Street, Barbican, EC2Y 8DT.

What if my circumstances change?

If there are circumstances that arise at a later stage (up to the end of February 2020), please aim to inform us by completing this form (available on the intranet) by summer 2019 where possible.

Annexe 6: Equality impact assessment (Full)

EQIA Stage One: Initial Screening Assessment Form

The strategy, policy or project		
1.	What is the main purpose of the policy?	To plan and implement transparent, consistent, accountable, and inclusive processes for the execution of the School's REF2021 submission,
2.	Is the policy affected by external drivers for change?	Yes, REF 2021 is a UK wide system for assessing research quality.
3.	List the main activities of the policy?	The code sets out the processes for staff identification (who is eligible and who is submittable) designation of research independence of staff, and selection of outputs for submission
4.	Who implements the policy?	Research team, led by the Head of Research
5.	Who will be affected by the policy?	Current and future staff members
6.	What outcome do you want to achieve, why and for whom?	Clear instructions for staff about the internal process for preparing the institutional REF2021 submission

50

7.	Are any other organisations involved?	No
8.	Are there any existing assessments or inspections?	This code will be assessed by Research England during summer 2019
9.	Who have you consulted on the policy?	Research and Knowledge Exchange Committee, Academic Board, Senior Management Team, and invited all staff to participate in consultation (autumn 2019).
10.	Who are the main beneficiaries of the policy?	The School's research community

The Impact:	Tick the boxes which apply for each protected characteristic					
Protected characteristics	**Positive Impact**		**Neutral Impact**	**Negative Impact**		**Reason/Comment**
	High	**Low**		**High**	**Low**	
Sex						All staff members are equally encouraged to engage with the process; all decision making groups will have a balance of sexes; Unconscious bias training will support staff to mitigate potential bias.
Women			✔			
Men			✔			

51

The Impact:	Tick the boxes which apply for each protected characteristic					
Protected characteristics	Positive Impact		Neutral Impact	Negative Impact		Reason/Comment
	High	Low		High	Low	
Sexual orientation						Sexual orientation information will not be invited or used as any part of any processes.
Straight			✔			
Gay men			✔			
Gay women			✔			
Bi-sexual			✔			
Gender reassignment			✔			Any staff disclosure of individual circumstances will be dealt with confidentially with advice from HR to ensure highest confidentiality for gender reassignment.
Race						
Asian – Asian Bangladeshi; Asian			✔			

The Impact:	Tick the boxes which apply for each protected characteristic				
Protected characteristics	Positive Impact		Neutral Impact	Negative Impact		Reason/Comment
	High	Low		High	Low	
British; Asian Indian; Asian Pakistani; Asian Other						No information about race will be used as any part of any processes. Unconscious bias training will support staff to mitigate potential bias.
Black – Black African; Black British; Black Caribbean; Black Other			✔			
Chinese			✔			
Irish			✔			
Mixed – Asian & White; Black & White; Mixed Other			✔			

The Impact:	Tick the boxes which apply for each protected characteristic				
Protected characteristics	Positive Impact		Neutral Impact	Negative Impact	Reason/Comment
	High	Low		High	Low	
White – White British; White European Union; White Other			✔			Any staff disclosure of individual circumstances will be dealt with confidentially with advice from HR.
Disabled people			✔			
Age						All documentation states clearly that age and career stage will not be interlinked to prevent any misunderstanding or bias.
Older people			✔			
Younger people and children			✔			
Religion and belief			✔			No information about religion and belief will be used as any part of any processes. Unconscious bias training will support staff to mitigate potential bias.

54

The Impact:	Tick the boxes which apply for each protected characteristic				
Protected characteristics	Positive Impact		Neutral Impact	Negative Impact		Reason/Comment
	High	Low		High	Low	
Pregnancy and maternity			✓			Any staff disclosure of individual circumstances will be dealt with confidentially with advice from HR.
Marriage and civil partnership			✓			No information about marriage and civil partnership will be used as any part of any processes. Unconscious bias training will support staff to mitigate potential bias.

Appendices

Appendix A: Summary of legislation (REF-2019_03)

Age	All employees within the HE sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group. Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be, for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups. Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of their age group. It is important to note that early career researchers (ECRs) are likely to come from a range of age groups. The definition of ECR used in the REF (see 'Guidance on submissions', paragraphs 148 to 149) is not limited to young people. HEIs should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.
Disability	The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who has a disability (for example, if they are responsible for caring for a family member with a disability). A person is considered to have a disability if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse

56

effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.

Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.

The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to.

There is no list of day-to-day activities for England, Scotland and Wales but day-to-day activities are taken to mean activities that people generally, not a specific individual, carry out on a daily or frequent basis.

While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:

- sensory impairments

- impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy

- progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer

- organ specific impairments, including respiratory conditions and cardiovascular diseases

- developmental impairments, such as autistic spectrum disorders and dyslexia

- mental health conditions such as depression and eating disorders

- impairments caused by injury to the body or brain.

It is important for HEIs to note that people who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.

Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced

	number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').
Gender reassignment	The Equality Act 2010 and the Sex Discrimination (Gender Reassignment) Regulations (Northern Ireland) 1999 protect from discrimination, harassment and victimisation of trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.

Trans people who undergo gender reassignment will need to take time off for appointments and, in some cases, for medical assistance. The transition process is lengthy, often taking several years, and it is likely to be a difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.

The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.

Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.

If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 195.

HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender. |
| Marriage and civil partnership | Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and |

58

	treatment in employment. The protection from discrimination does not apply to single people. HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.
Political opinion	The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion. HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.
Pregnancy and maternity	Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity. Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172. In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process. For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.
Race	The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race. HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).

59

Religion and belief including non-belief	The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief. HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.
Sex (including breastfeeding and additional paternity and adoption leave)	The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex. The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently, the impact of breastfeeding on a woman's ability to work productively will be taken into account, as set out in 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'. If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay. Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in 'Guidance on submissions', Annex L. HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women. HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the

	percentage difference amongst employees between men and women's average hourly pay (excluding overtime).
Sexual orientation	The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation. HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.
Welsh language	The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards (No 6) Regulations 2017. The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in 'Guidance on submissions', paragraphs 284 and 285.

Appendix B: Annex K of guidance (REF2019_01)

Output glossary and collection formats

1. An underpinning principle of the REF is that all forms of research output will be assessed on a fair and equal basis. Sub-panels will not regard any particular form of output as of greater or lesser quality than another per se.

2. All research outputs must meet the definition of research for the REF. For the purposes of the REF, research is defined as 'a process of investigation leading to new insights, effectively shared'. Please see Annex C for further detail.

3. All submissions should provide sufficient information to allow a sub-panel to understand the research process, the research insights, and the time and manner of dissemination. Often this will be evident within the materials submitted, requiring no further information. However, where this is not evident within the submission, this may be supplemented by an up to 300-word statement or supporting evidence. See 'Panel criteria', Annex B, for a summary of the additional information requirements for outputs.

4. The table below sets out categories of output types under which outputs will be submitted in REF 2021, the collection formats for the different output types, and a broad definition of each category. This includes examples, which are provided for guidance only and do not represent a definitive list.

Category	Definition
(Parts of) Books	
A – Authored book	An authored book written entirely by a single author or by joint authors who share responsibility for the whole book. Includes: • scholarly books • research monographs • textbooks based on significant research (as defined above) by the author(s) • revisions/new editions of the above, providing this includes substantial new research material • novels, plays and screenplays • collections of plays, poems, short stories or other creative writing by the author(s).
B – Edited book	A book or volume in which individual chapters or contributions have been written by different authors. To submit a work in this category the editor must have had sole responsibility, or be identified as having made a substantial contribution to the editing, choices for inclusion and underpinning process of investigation. Includes: • edited books or volumes • textbooks or encyclopaedias where significant background research is required

	• annotated anthologies where research informs the annotations
	• revisions or new editions of the above providing this includes substantial new research material
	• literary translations, where these contain significant editorial work in the nature of research.
C – Chapter in book	This category includes contributions to edited books. This may include scholarly work, such as:
	• chapters in edited books
	• entries in textbooks incorporating significant research content
	• entries in scholarly editions
	• entries in revisions or new editions providing this includes substantial new research material.
	• translations where these contain significant editorial work which constitutes research.
R – Scholarly edition	An edition of another author's original work or body of works informed by critical evaluation of the sources (such as, earlier manuscripts, texts, documents and letters) often with a scholarly introduction and explanatory notes or analysis on the text and/or original author. This may include a translation of the original text(s) where this constitutes part of the research.
Journal Articles	
D – Journal article	A scholarly paper, usually on a specific topic, published in an externally circulated scholarly or professional journal that has an ISSN. This may include:

	• full research articles • critical scholarly texts which appear in article form • review articles, where these meet the definition of research for the REF • evidence synthesis, including systematic reviews, analyses, meta-analyses, meta- syntheses, where these meet the definition of research for the REF • rapid communication (short papers, usually published swiftly, in scholarly journals presenting original material) • discussion paper (short articles in scholarly journals that critically address specific results or data provided in a published research paper) • creative articles, including photographic essays.
E – Conference contribution	A conference paper or other contribution published in conference proceedings. The conference proceedings will usually have an ISSN or ISBN and may be published in a number of formats such as: • volume of proceedings • special or normal edition of a journal • book or a monograph • website. Submitted outputs may include:

65

	• full written papers that appear in published conference proceedings • other conference contributions which meet the definition of research.
U – Working paper	Research papers disseminated to encourage discussion and suggestions for revision. This may be through pre-print dissemination, lodging in an institutional repository or self-publication for distribution.
Physical Artefacts	
L – Artefact	Artefacts, objects or craftworks, exhibited, commissioned or otherwise presented or offered in the public domain, for example visual arts, craft and cultural creations. This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the artefact and to assess its significance, originality and rigour. This can include (but is not limited to): • illustration • sculpture • media installations • ceramics • jewellery • metalwork

	• buildings
	• cultural artefacts such as large permanent public sculptures.
	The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination
P – Devices and products	An element, system or substance developed to perform a particular function, set, or combination of functions. Incorporates developing the concept and the design and development of any chemical, mechanical, electronic and software components, and where appropriate the overall system architecture.
	• use may be functional, aesthetic or commercial
	• may be physical including chemical or compound, i.e. medicines
	• may include digital/virtual products for particular functions, i.e. gaming, analysis, display
	• may include services, i.e. transportation, energy supply, public broadcasting, healthcare systems
	may be associated with the manufacturing, extraction and refinement of other devices
Exhibitions and performances	
M – Exhibition	A single or series of public events, or short-term, long-term or permanent installations, at which works of interest are displayed. This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the exhibition and to assess its significance, originality and rigour.
	Submissions can be:

67

	• solo exhibitions • curation of exhibitions • contributions to collaborative group exhibitions. Submissions may include: • original artistic works and/or designs • historical, political, social, technical/technological or scientific research and information • works exhibited in a gallery, museum, artist's book or electronic format • works exhibited in non-standard environments • curating an exhibition. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.
I – Performance	A live or recorded performance (by, for example, an actor, musician, dancer, conductor, artist) to an external audience. The 'author' can have one (or more) of a variety of major roles (e.g. lead performer, director, writer) in the production, which should meet the REF definition of research. The role should be specified within the additional details required, with details of other participants involved in the research. This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the performance and to assess its significance, originality and rigour.

	Includes (but is not limited to):
	• performance of a play, musical, opera, concert, television or radio production, performance artwork
	• theatre productions (stage play, mime, circus, puppet show, variety act, comedy show)
	• concerts and recitals (music or dance)
	• broadcast performances and other modes of presentation
	• production of an audio/visual medium (such as CD or DVD recording)
	• artistic direction of a staged production
	• input into a theatre production (for example, design, dramaturgy).
	The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.
Other documents	
F – Patent/ published patent application	Granted patents, copyrights, trademarks, or registered designs on specific products or processes. Patents can have been granted in the UK or another patent-awarding country. The patent should have been granted for the first time during the assessment period.
J – Composition	An original published/publicly available score, first performance or first recording by a record label of a musical composition. Can include (but is not limited to):

	• compositions created while being played for example, electronic compositions, jazz improvisation
	• published/publicly available score
	• recordings
	• sound component of a film or video, lyrics, multimedia composition
	• commissioned works
	• combinations or developments of the above.
	The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination
K – Design	A creative research/problem-solving output in the form of design drawings, books, models, exhibitions, websites, installations or built works. This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the design and to assess its significance, originality and rigour.
	This can include (but is not limited) to:
	• fashion design
	• textile design
	• graphic design
	• interior design

	• industrial design • architectural design • multimedia design • sound design • exhibition design (i.e. not the content of the exhibition) • theatre design • other designs. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.
N – Research report for external body	Non-confidential reports, commissioned and/or funded by an external organisation, including reports for private companies, government departments and non- governmental organisations. May also include non-commissioned reports.
O – Confidential report for external body	Confidential reports commissioned and/or funded by an external organisation, including reports for private companies, government departments and non- governmental organisations. For clarity, confidential material is not in scope of the open access requirements (see main text, paragraphs 223 to 224 for details of in-scope outputs).
Digital artefacts	

71

G – Software	Originally researched, created and published software (computer programs and their associated documentation, consisting of a set of instructions written by a programmer) or database products of commercial quality, which has been made publicly available. May include (but is not limited to): • operating systems • utilities • application programs • interactive multimedia • video games • logic systems. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.
H – Website content	A collection of material which embodies research and is undertaken on a systematic basis specifically for dissemination through a website and/or as an interactive approach to allow users to engage directly with the process or products of the research. Web content is the textual, visual, or aural content encountered as part of the user experience on websites. It may include – among other things – text, images, sounds, videos and animations. May present factual information, analysis or data, or fictional, imaginative and/or creative work, using pictorial, video, audio, etc.

Q – Digital or visual media	Research outputs presented in digitised and/or audio-visual format. This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the output and to assess its significance, originality and rigour. Includes but is not limited to: • films • documentaries • audio-visual presentations • computer games • animation. Encoded in digital format, machine readable and presenting information and forms of communication not limited to verbal and text-based means. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.
S – Research data sets and databases	Submissions may include: • Data sets: May come in a variety of formats, for instance in spreadsheet, but also any collection of data on which analysis can be performed. Most commonly a data set corresponds to the contents of a single database table, or a statistical data matrix, where every column of the table represents a particular variable, and each row corresponds to a given member of the data set.

73

	• Databases: Collections of data specifically organised and presented for the ease of viewing, retrieval and analysis. May comprise multiple data sets. Often characterised by data field structuring and searchability tools. The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.
Other	
V – Translation	A translation of a work or body of works by another author or authors, informed by critical evaluation of the sources (such as earlier manuscripts, texts, documents and letters), and by critical analysis of the work's original cultural context for the new readership. Translations may also include a scholarly introduction and explanatory notes or contextual analysis. Translation may enhance existing understanding of the material in question, and may provide evidence of creativity in its own right.
T – Other	Other forms of assessable output meeting the definition of research but not captured within any of the above categories. This may include (but is not limited to): • new materials • structures • images • buildings • food products and processes • published geological and/or geomorphological maps

	• creative bodies of enquiry • design processes / programme of research • multi-platform projects • curatorial projects • a creative writing collection (a number of related works that were published in forms other than a book length collection) • a collection of creative and/or critical work (for example, related articles, books, choreographic materials, essays, dramaturgical works, films, recordings etc.) on a related topic that address different aspects of a single project and are collectively greater than the sum of their parts substantial dictionary or encyclopaedia entries and groups of short items including groups of entries.

Appendix C: Permitted reductions based on individual circumstances

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

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

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

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.

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

The total output pool may be reduced by 0.5 for each discrete period of:

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.

Additional paternity or adoption leave[22], or shared parental leave[23] lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

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

77

family is generally sufficiently disruptive of an individual's research work to justify the specified reduction.

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:

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.

By combining the number of months for shorter periods of such leave in combination with other circumstances, according to Table L2.

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

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.

'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'.

'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

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.

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

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

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.

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

79

submissions' in paragraph 160 – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

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