



RESEARCH EXCELLENCE FRAMEWORK (REF) 2021  
Code of Practice on the selection of staff

## Document record

Document title	REF 2021 Code of Practice on the selection of staff
Version number	11
Person responsible	Director
Document initiation date	22 October 2018
Amended	May 2019 September 2019 November 2019 August 2020
Formally effective from	May 2019
Review date	Ongoing
Equality Impact Assessment (EIA)	Initial Assessment conducted May 2019
Actions	Consultation with HR Department Consideration and approval from REF Working Group Revision following comments by REF Working Group and following staff
consultation	

## Table of contents

Part 1: Introduction .....	4
1.1 How the RCM will implement these principles .....	4
1.2 Scope of the Code of Practice .....	5
1.3 Equality and diversity .....	5
1.4 The legal framework.....	7
1.5 Grounds of discrimination.....	8
1.6 Communication of the Code of Practice & Accessible Format Information .....	8
Part 2: Criteria for identification of staff .....	8
2.1 Criteria for determining research independence of staff on research only contracts .....	9
2.2 Process to be followed.....	9
2.3 Communication of decisions and timescale .....	10
Part 3: Example tables, graphs & charts .....	10
3.1 Roles and responsibilities of committees and staff .....	10
3.2 Equalities training .....	12
3.3 Decision-making process.....	12
Part 4: Appeals process for all aspects of the RCM REF 2021 .....	13
4.1 Appeals process .....	13
4.2 Equalities impacts assessments (EIA) monitoring .....	15
Part 5: Selection of outputs.....	16
5.1 Criteria for selection of outputs.....	16
Part 6: Disclosure of circumstances .....	16
6.1 Process for disclosure of staff circumstances .....	17
6.2 Communication about the voluntary disclosure of individual circumstances .....	18
6.3 Fixed-term and part-time staff .....	18
6.4 Confidentiality .....	18
Part 7: Review of the Code of Practice .....	19
Part 8: Further information .....	19
Part 9: Appendices.....	20
Appendix A: REF 2021 Equality Impact Assessment (EIA) – Interim .....	21
Appendix B: Provisional timeline (subject to minor amendments and clarification) .....	29
Appendix C: Declaration of individual circumstances template .....	34
Appendix D: Royal College of Music staff grievance procedure.....	39

## Part 1: Introduction

Research – defined in its simplest terms as the 'process of investigation leading to new knowledge effectively shared' – lies at the heart of the RCM's philosophy of an enquiry-based approach to learning, artistic innovation, and the sharing of musical knowledge and experience. Seen in this way, the RCM can be understood as a crucible for individual and collective discovery, in which everyone at the College engaged in education – each student, teacher and member of professional staff – has the opportunity to develop fresh contributions to the fields of musical understanding and practice. Indeed, an environment that nourishes enquiry-led teaching and learning in harness with a dynamic programme of applied music research is critical to enabling the institution to fulfil its core mission both to provide 'specialised musical education and professional training at the highest international level for performers and composers, within an environment that stimulates innovation and research' and also to enable its students 'to develop the musical skills, knowledge, understanding and resourcefulness which will equip them to contribute significantly to musical life in this country and internationally'.

In support of this philosophy the RCMs REF2021 Code of Practice sets out the steps the RCM will take to ensure that fairness, transparency, equality and diversity are at the heart both of the way we deliver our strategic objectives for research and knowledge exchange, and of the way we prepare our submission for REF2021. The RCM recognises the importance and value of a Code of Practice which details responsibilities, operating criteria and processes, and provides a framework for decision-making for REF2021 which addresses the following principles, in line with the Guidelines on Codes of Practice & Guidelines on Submissions:

- a) **Transparency:** All processes for identifying staff with significant responsibility for research (where applicable), determining research independence, and selecting outputs for inclusion in REF submissions should be transparent.
- b) **Consistency:** The principles governing the processes covered by codes of practice should be consistent across the institution.
- c) **Accountability:** Responsibilities should be clearly defined, and individuals and bodies that are involved i) identifying staff with significant responsibility for research, ii), determining research independence and iii) selecting outputs for REF submissions should be identified by role. Codes should also state what training those who are involved in processes have had.
- d) **Inclusivity:** The processes described in the Code should promote an inclusive environment, enabling institutions to identify all staff who have significant responsibility for research, all staff who are independent researchers, and the excellent research produced by staff across all protected groups.

### 1.1 How the RCM will implement these principles

This Code takes account of the implementation of these principles in the following ways:

#### a) Transparency:

The Code will be easily accessible and publicised to all academic staff across the RCM, including on the RCM Muse and Learn.rcm pages. They will be sent (by mail) to those on long-term leave (e.g. career breaks, maternity, sickness etc.).

Staff will be invited to speak to colleagues from the Research Office and Human Resources should they have any questions about the Code of Practice.

#### b) Consistency:

The Code of Practice sets out the principles to be applied to all aspects and stages of the process at all levels within the institution where decisions will be made, including how staff circumstances will be taken into account.

#### c) Accountability:

This Code identifies who will be involved in: i) determining research independence and ii) selecting outputs for REF submission, and outlines what training those staff will have undertaken.

The Code describes the terms of reference for individuals, Committees, and any others concerned with decisions about research independence and the selection of outputs.

#### d) Inclusivity:

The Code seeks to identify all eligible Category A staff for submission to REF2021. The Code sets out the arrangements for Equality Impact Assessments (EIA) to determine whether the RCM's processes for determining research independence and output selection for REF2021 may have a differential impact on particular groups by reference to one or more protected characteristic(s). It is recognised that as a small institution, the EIA's analysis will involve small numbers which can both heavily influence statistical data and risk the possibility of identifying individuals. However, the EIAs will be key to identifying any unintended consequences of the RCM's processes

## 1.2 Scope of the Code of Practice

The RCM values the contribution of all staff, whether this is through teaching, research, knowledge exchange and/or administration. Engagement in activities defined by the REF as research represents one aspect of the contribution staff may make to the work of the RCM. This Code of Practice is applicable to all staff members with significant responsibility for research and its management, whether employed full-or part-time, on permanent or on fixed-term contracts, where research activity is an expectation of their job role.

## 1.3 Equality and diversity

The RCM is committed to ensuring no member of staff is subjected to unfair discrimination. The College will not discriminate unfairly on the grounds of age, disability, sex, sexual orientation, gender reassignment, pregnancy and maternity, race, religion or belief, marriage and civil partnership or other such unjustifiable cause as set out in the Equality Act 2010.

The RCM is committed to providing a positive working and learning environment free from discrimination, harassment, or victimisation on the grounds of the protected characteristics, so that all staff are treated with dignity and respect, and students and staff give due respect to other people and their work or ideas.

The RCM recognises the valuable contributions to research made by members of its diverse community.

In practice this means that the RCM:

- is committed to providing an environment where all staff, including those falling within the protected characteristics contained within the 2010 Equality Act, are treated equally;
- has a research culture and environment in which diversity is celebrated;
- does not discriminate directly or indirectly against any member of staff;
- actively promotes equality and diversity.

The RCM ensures all staff have equal access to the full range of institutional facilities. Reasonable adjustments to working practices are considered and made wherever possible in order to accommodate and encourage a more diverse and inclusive community.

## 1.4 The legal framework

The RCM will comply with all the legal duties put upon it by the:

- Equality Act 2010
- Public Sector Equality Duty (April 2011)
- Part-time Workers (Prevention of Less Favourable Treatment) Regulations 2000
- Employment Act 2002 including Fixed Term Employees (Prevention of Less Favourable Treatment) Regulations 2002 and Fixed Term Employees (Prevention of Less Favourable Treatment) (Amendment) Regulations 2008
- Public Interest Disclosure Act (Whistleblowers) 1998

### Direct discrimination

When factors unrelated to merit, ability or potential of a person or group are used as an explicit reason for discrimination against them.

### Discrimination

When an individual or a group of people receive/s less favourable treatment than others because of factors unrelated to their merit, ability or potential.

### Indirect discrimination

When there are rules, regulations or procedures in place that have a discriminatory effect on certain groups of people.

### Positive action

The deliberate introduction of measures to eliminate or reduce discrimination or its effects. This is about the fair treatment of all people. It is not about special treatment for any one particular group.

### Victimisation

Punishing or treating an individual unfairly because they have made a complaint, or are believed to have made a complaint, or to have supported someone who has made a complaint.

### Harassment

'Unwanted conduct' related to a relevant protected characteristic or 'of a sexual nature', or if it has the purpose or effect of violating a person's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that individual.

### Public Interest Disclosure Act

Protection to workers who disclose information outside the organisation in cases where the matter has been raised internally and not been resolved, or it is not possible to raise the matter internally.

## 1.5 Grounds of discrimination

In line with the RCM's Equal Opportunities Policy, any staff member who believes that they may have been the subject of discrimination, victimisation and harassment or treated unfairly in relation to the REF2021 submission, should refer to the RCM's Staff Grievance procedure (Appendix D). All claims will be taken seriously. Further information on the procedure for dealing with appeals made in relation to decisions about the non-inclusion of staff members in the REF submission can be found in paragraph 3.6.

## 1.6 Communication of the Code of Practice & Accessible Format Information

The RCM seeks to ensure effective communication with all staff. The Code of Practice will be circulated to all teaching and research-only staff via a link within an email, and will be freely available to all staff on the Human Resources pages on MUSE and on the Research pages on Learn.rcm.

Additionally, members of staff will be communicated with individually where relevant. This will be by letter, sent as an email attachment.

Where staff are away from work on extended absence, e.g. maternity, shared parental or other dependents leave; the Code of Practice and any other relevant correspondence will be sent electronically and in hard copy to their home address.

This document can be made available in large print and electronically upon request. If an alternative format is required please contact the Human Resources Department to discuss your specific requirements. Hard copies will also be available on request.

The RCM will also take account of staff preferences and learning differences, such as dyslexia, and therefore will provide opportunities for staff to receive information verbally and to ask questions. This will be offered through drop-in sessions and by appointment with the Director of Research or the Head of HR & Organisational Development.

Notwithstanding the above definitions, the whole research community of the RCM shares responsibility for the successful application of this Code of Practice. Specific responsibility falls to the REF Working Group, the Director of Research and the RCM Director in ensuring that the selection and submission of staff members for the REF is free from discrimination, and in line with the principles set out in this Code of Practice.

This Code of Practice will be applied consistently across the RCM. Decisions concerning the selection of staff members for inclusion within the REF submission will be at the discretion of the RCM and will be fully in accordance with this Code of Practice.

## Part 2: Criteria for identification of staff

RCM intends to submit 100% of Category A staff; therefore according to the requirements outlined in Appendix A of the Guidance of Codes of Practice (page 21) Part 2, the RCM does not need to establish a process for identifying staff with significant responsibility for research (SSR).

The REF2021 Guidance on Submissions defines Category A eligible staff in the following way: 'Category A eligible staff are defined as academic staff with a contract of employment of 0.2FTE or greater, on the payroll on the submitting institution on the census date (31 July 2020), whose primary employment function is to undertake 'research only' or 'teaching and research'. Staff should have a substantive research connection with the submitting unit. Staff on 'research only' contracts should meet the definition of an independent researcher (p. 36, paragraph 117)



Staff with significant responsibility for research are those for whom explicit time and resources are made available to engage actively in independent research, and that it is an expectation of their job role (p. 42 paragraph 138).

The RCM does not intend to submit outputs from former members of staff who have been made redundant.

The RCM has no plans to submit outputs from former members of staff as part of the RCM's REF2021 submission, unless in exceptional circumstances, where former staff have made a substantial contribution to the RCM's research portfolio and whose research reflects the current research ambitions of the RCM. This will be kept under review.

The census date for staff being submitted to REF2021 is 31 July 2020.

An ORCID is strongly encouraged, by the funding bodies, and will be provided for all RCM Category A eligible staff in REF2021.

## 2.1 Criteria for determining research independence of staff on research only contracts

The criteria that the RCM will use to determine the research independence of staff on research only contracts for the purposes of REF2021 are as set out in the Guidance on Submissions: 'For the purposes of REF, an independent researcher is defined as an individual who undertakes self-directed search, rather than carrying out another individual's research programme (p.41, paragraph 131).

To be considered an independent researcher, and therefore meet the definition of Category A eligible for REF 2021, staff must fulfil at least two of the following criteria:

- Leading or acting as principal investigator or equivalent on an externally funded research project.
- Holding an independently won, competitively awarded fellowship where research independence is a requirement.
- Leading a research group or a substantial or specialised work package.
- Acting as a Co-Investigator on an externally funded research project.
- Significant input into the design, conduct, and interpretation of the research (rather than carrying out another individual's research programme).
- Producing single-authored works in peer-reviewed journals and as monographs OR Practice underpinned by or embodying a significant research question that is presented in national and/or international contexts.

While we note the 'Guidance on submissions' document stipulates that 'a member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more outputs' (paragraph 131), we have included in our list of possible indicators both written and practice-based publications that constitute typical outputs in the field of music, vocal & opera studies and which are indicative of an individual meeting the definition of research independence.

In accordance with the Guidance on Submissions, each indicator may not individually demonstrate independence and multiple factors may need to be considered.

## 2.2 Process to be followed

The assessment process for determining whether a member of staff fulfils the definition of a Category A researcher will involve reviewing relevant information including job description, nature and scope of the research grants and externally-funded research fellowships held; and as required, the assessment will be

based 'upon the expectations of the staff as a function of employment, and not upon the quality or volume of what has been delivered as a result of that employment function'.

## 2.3 Communication of decisions and timescale

In the majority of cases, independent researcher status is a precondition of appointment and all staff in this category were told on commencing employment that they were deemed to be independent researchers under the draft and subsequently confirmed criteria. All key decisions made for the exercise and the criteria used to arrive at them will be clearly communicated to staff individually, to ensure consistency and transparency.

### 2.3.1 Notification of Inclusion in REF 2021

The final schedule of members of staff likely to be included in REF 2021 will be confirmed by the Director of Research by the date of the first meeting of the Research Committee of the 2019/20 academic year (that is, 12 November 2019). Prior to the Research Committee meeting, a personal letter will be sent by email to each member of staff it concerns; this communication will include full information about how to disclose circumstances that may have affected output productivity (see below, Part 5).

Where the likely indication communicated is changed, this change will be communicated by the Director of Research individually to the member(s) of staff involved.

Outcomes of the appeals process entered into by any individuals who believe the process and criteria set out in this Code of Practice were not applied appropriately in judging their research independence or other factor affecting their inclusion in the REF submission will be communicated at the time of the decision. Please see PART 4, below, for more information about the RCM's REF 2021 Appeals Process.

## Part 3: Example tables, graphs & charts

### 3.1 Roles and responsibilities of committees and staff

This Part 3 sets out the roles and responsibilities of staff and RCM committees involved in the preparation, decision-making and approval of the submission for REF2021. It focuses on responsibilities in respect of the inclusion or non-inclusion of individual staff members within the RCM's submission.

All those involved in REF 2021 decision making and submission will receive appropriate E&D Training, which is also relevant to the REF. Outcomes of the appeals process entered into by any individuals who believe the process and criteria set out in this Code of Practice were not applied appropriately in judging their research independence or other factor affecting their inclusion in the REF submission will be communicated at the time of decision. Please see paragraph 3.6 below for more information about the RCM's REF 2021 Appeals Process.

Further details on the RCM's governance and management arrangements for Research, including the remit and membership of the Research Committee, are set out in the excerpts from the RCM Committees Handbook (Appendix E).

#### 3.1.1 REF Working Group

The RCM established a REF Working Group in 2018 to lead preparation for REF 2021. The group has met regularly and fed into RCM Directorate and Research Committee. The Director of Research has and will continue to meet with research staff individually and staff have also been able to access information on the Code of Practice via the RCM Intranet and Learn.rcm.

The REF Working Group is a sub-committee of RCM Directorate. It consults Research Committee at key points in the submission cycle. The REF Working Group is both an advisory and decision-making group.

#### Membership

- Director of Research (Chair)
- Director
- Area Leader for History
- A Research Professor
- Head of Composition
- Head of Centre for Performance Science
- Research and Knowledge Exchange Manager (Secretary)

In attendance, as required:

- Hazel Pudney, Head of HR & Organisational Development

#### Decision-making responsibilities

- Management of all aspects of the preparation of the RCM submission to REF2021, including the assessment and determination of staff with significant responsibility for research, research independence and the selection of outputs.
- Recommendation of key policies and procedures.
- Recommendation of the final REF submission to Directorate.

#### Terms of reference

- Ensure that the REF2021 submission represents the best overall view of the RCM's research profile.
- Ensure that equality and diversity are continuously monitored and firmly embedded in processes for submitting staff and outputs.
- Maintain transparency in decision-making.
- Prepare and submit all required documentation to REF according to timetable.

The membership and terms of reference of the REF Working Group will be noted by the College Research Committee and communicated to staff through the RCM website, as detailed in paragraph 1.6.

### 3.1.2 Staff involved in decision making

The Director of Research is responsible for:

- Providing leadership in preparation for the REF2021.
- Chairing the REF Working Group.

The Director is responsible for:

- Liaising with the Director of Research on the preparation of REF2021 submission.
- Selecting and appointing external assessors, if required.
- Approving the REF2021 submission.

Head of HR & Organisational Development will be responsible for:

- Assisting with the preparation of the Code of Practice.
- Assisting with the communications of the Code of Practice and the staff circumstances process.
- Overseeing the voluntary declaration of staff circumstances processes.
- Providing advice & guidance on equality and diversity matters.
- Managing the EIA process, ensuring that findings are reported to the relevant groups and that the EIAs inform the development of the Code of Practice.

Co-opted Senior Member(s) of Academic & other Staff will be responsible for:

- Assisting with REF preparations including information gathering, output and data collection.
- Advising the Director of Research as required.

External assessors, if required, will be responsible for:

- Acting in an advisory capacity only to the REF Working Group on aspects of the College's submission, including the quality of outputs, impact case studies or the RCMs environment statement.

## 3.2 Equalities training

All staff involved in the selection of staff members for inclusion in the REF submission will have equalities training relative to their role and responsibilities. Such training will be in accordance with directives specified for REF2021 by the Equality and Diversity Advisory Panel (EDAP).

Unconscious Bias training will be delivered by ACAS. The content of the 3 hour session will provide participants with an introduction to identifying unconscious biases, the effects it can have on the institution and decision making, and develop techniques to minimise or mitigate that impact.

A separate session focussing on the Equality Act 2010 will be delivered by the Head of HR & Organisational Development. It will be designed to ensure that all those involved in implementing this code are well informed about their own, and the RCM's legal obligations regarding equality and will also include explanations in respect of the key terminology relevant to equality and diversity.

This training is mandatory for all members of the REF Working Group.

## 3.3 Decision-making process

The following processes for making decisions on submission to the REF will apply across the RCM. Those responsible for making such decisions will:

- a) endeavour to ensure that they have all the relevant facts relating to the individual or outputs about whom they will make a decision;
- b) ignore irrelevant information;
- c) ensure that any relevant individual circumstances are fully considered and taken into account;
- d) keep full records of all decisions which affect individuals.

Decisions on REF inclusion remain distinct from support for research activities, and involve different criteria. Decisions relating to the REF submission will not be used to inform the RCM's appraisal and promotion procedures.

## Part 4: Appeals process for all aspects of the RCM REF 2021

The RCM's general approach to complaints and grievances is that attempts are made to resolve issues as quickly and informally as possible. The RCM shall endeavour to respond to and manage appeals within the timescales outlined in this section. On occasion it may be necessary to revise these deadlines due to circumstances outside the control of the RCM. In such cases these deadlines will be communicated clearly to all parties both verbally and in writing, and in any case resolved by the submission date. Therefore, any appeals must be submitted in accordance with this process by the 31 August 2020, although individuals will be encouraged to submit any appeals as near to communication of the decision as possible.

This section specifically sets out the procedure through which the RCM will respond to any appeal arising out of decisions about eligibility for REF2021. It should be noted that there is no right of appeal against the academic or strategic judgement of those responsible for identifying staff members for inclusion in the REF submission unless there are grounds for thinking that the judgement was exercised unfairly or in contravention of the principle of equality.

The RCM will ensure that staff members have the opportunity to appeal decisions made in the REF submission on the grounds of decisions taken about research independence; potential bias or discrimination (i.e. on the grounds of race, sex, work pattern) following feedback; and also the procedure through which the RCM will respond to any appeal arising out of non-inclusion in REF2021, investigating them in a fair, thorough and transparent manner.

All appeals and consequential outcomes will be monitored and reported through the Director of Research to the REF Working Group, see paragraph 3.1.

All Category A eligible staff will be formally notified of their inclusion in the RCM's REF2021 submission in winter 2019.

### 4.1 Appeals process

Therefore, to ensure that any complaint of discrimination or unfairness during the REF2021 process is addressed thoroughly, fairly and resolved by the submission date the RCM will adopt the following appeals process:

#### Stage 1

Having regard to paragraph 3.2, any individual who believes that they have grounds to have their status as an 'independent researcher' reviewed, or a decision about any output selected for submission must

write to the Director of Research in the first instance clearly stating the reasons for the appeal and requesting a review.

This written appeal should be submitted within 10 working days of being informed of the decision against which they are appealing. The written appeal should contain details of the grounds for the appeal, referring to the criteria for staff selection in this Code of Practice and any supporting evidence. The request will be considered by the Director of Research and the Director, supported by a member of HR staff (normally the HR Manager), within 15 working days, and the decision conveyed to the appellant within a further 3 working days.

## Stage 2

Where resolution has not been possible under Stage 1, an individual may then appeal formally to the RCM REF Appeals Panel, which will be convened by the Director of Research within 15 working days of receipt of the appellant's intention to proceed to Stage 2 of the process.

The Appeals Panel shall comprise of three senior members of Academic Staff nominated by the Director of Research, and appropriately supported by HR (normally the Head of HR & Organisational Development), who meet the following criteria:

- reflect an appropriate gender balance
- have received equalities/unconscious bias training
- have relevant expertise
- have not previously otherwise been involved in the process

The individual making the appeal will be invited to appear in person before the Panel and may be accompanied by a work colleague or trade union representative.

Any request for review at Stage Two must be made on one or more of the following grounds:

- a) That the provisions of this Code of Practice were not correctly applied;
- b) That the final outcome is manifestly unjust and cannot be reasonably sustained;
- c) That evidence has become available that could not reasonably have been presented at Stage One of the process, and that may arguably have led to a different outcome.

Please note that in respect to (b) above, a case must be made for the decision being manifestly unjust; the staff member simply disagreeing with the outcome is not sufficient.

The Chair of the REF2021 Appeals Committee will consider the case made by the appellant, and may seek additional evidence, either from the parties to the appeal or from any other source.

The RCM REF Appeals Panel may uphold an appeal, in which case the REF Working Group will be directed to review their original recommendation, or may dismiss an appeal, in which case the original recommendation will stand.

The outcome of any appeal will be conveyed in writing to the appellant within 5 working days of the appeal hearing taking place and as the RCM's final decision. There will be no further right of appeal under this REF Appeals Process.

There is no other complaint or appeal procedure open to staff members in regard to exclusion from the REF submission.

## Funding bodies' complaints process

The funding bodies will develop an independent complaints process for appeals regarding the implementation of higher education institutions' codes of practice which cannot be satisfactorily resolved through the institution's appeals process. The funding bodies will provide further details on this process in autumn 2019. Individuals (whether directly affected by the non-implementation of the institution's code of practice or not) who believe that an institution has breached its approved code of practice will be able to make complaints and provide information confidentially. Please note that this process will not accept individual complaints that challenge the adequacy of the approved code of practice itself.

## 4.2 Equalities impacts assessments (EIA) monitoring

The RCM will monitor the equality profile of eligible staff members included or not included in REF submission as it develops. The RCM will also monitor this equality profile in the context of all RCM academic staff. The RCM will investigate should any prima facie imbalance be found.

An EIA will be conducted at key stages throughout the process to monitor any differential impact on groups with protected characteristics. The EIA will be conducted by the Head of HR & Organisational Development and reviewed with a member of the REF Working Group.

The monitoring process is an important way of determining whether anti-discrimination measures taken, such as this Code of Practice, are effective. It plays an important part in ensuring that equality of opportunity is a reality within the RCM.

Ongoing data monitoring and review will be carried out by the HR Team on the protected characteristics as defined in the Equality Act 2010, with this data being considered by the REF Working Group. Information will be gathered sensitively, and in accordance with our duties under the Equalities Act, the Data Protection Act 2018 and the General Data Protection Regulations 2018. As necessary, the RCM will explain the purpose of monitoring and use the information gathered to create positive change.

The EIAs will be incorporated into the Code of Practice as an Appendix A with details of the impact assessments and will be an iterative process.

Complex circumstances, include but are not limited to disability, ill-health and injury:

- i) any disability to which the Equality Act 2010 applies;
- ii) ill health or injury;
- iii) constraints related to pregnancy or maternity, in addition to a clearly defined period of maternity leave;
- iv) childcare or other caring responsibilities;
- v) gender reassignment.



## Part 5: Selection of outputs

### 5.1 Criteria for selection of outputs

Submissions to REF2021 are intended to be institutional submissions, reflecting the quality of the institution's research and culture as a whole, rather than the quality of any individual research. However, the REF Working Group will communicate to the RCM Research Committee as appropriate, the final list of outputs included in the RCMs REF2021 submission.

REF 2021 requires that all submitted staff provide a minimum of one and a maximum of five research outputs for assessment. Determination as to which outputs to submit will be based upon the quality of research alone, as defined by REF criteria and subject to the minimum/maximum requirements. RCM decisions on this will be made through the REF Working Group and approved by the Directorate.

As stated in paragraph 3.1 The RCM does not intend to submit outputs from former members of staff who have been made redundant.

The RCM has no plans to submit outputs from former members of staff for the RCM's REF2021 submission, unless in exceptional circumstances, where former staff have made a substantial contribution to the RCM's research portfolio and whose research reflects the current research ambitions of the RCM. This will be kept under review.

## Part 6: Disclosure of circumstances

As a key measure to support equality and diversity in research careers, the funding bodies (including HEFCE) have put in place processes to recognise the effect that an individual's circumstances may have on their research productivity. Following advice by the Equality and Diversity Advisory Panel (EDAP), the following equality related circumstances have been identified that, in isolation or together, may significantly constrain the ability of submitted staff to produce outputs or to work productively throughout the assessment period:

- a) Qualifying as an Early Career Researcher (ECR)
- b) Absence from work due to secondments or career breaks outside the HE sector
- c) Qualifying periods of family-related leave
- d) Circumstances with an equivalent effect to absence, which require judgement about the appropriate reduction in outputs are:
  - i) Disability
  - ii) Ill-health, injury, or mental health conditions
  - iii) Constraints relating to pregnancy, or maternity, in addition to a clearly defined period of maternity leave
  - iv) Other caring responsibilities (such as caring for an elderly or disabled family member)
  - v) Gender reassignment
  - vi) Other circumstances related to the protected characteristics outlined under the 'Equality and Diversity' section of this Code of Practice, or relating to activities protected by employment legislation

For staff who have experienced individual circumstances that have affected their ability to produce research outputs during the REF2021 period (1 January 2014 to 31 December 2020), it may be possible to



remove the requirement to submit a minimum of one output to REF2021. This would be the case if the staff member's circumstances meant that they had not been able to produce any eligible outputs during the submission period.

An 'eligible' output' is one that meets the REF2021 definition of research and the requirements for submission, and is not a reference to the quality of the output. If staff have experienced circumstances that meet the criteria above, but have nevertheless been able to produce at least one eligible research output within the required timeframe, then it will not be possible to remove the requirement to submit the minimum of one output, regardless of the quality of that output.

## Impact of COVID-19

In addition to the list of circumstances listed under d), above, the minimum of one output requirement may be removed for a Category A submitted staff member that has not been able to produce an eligible output<sup>1</sup>, where the following circumstances apply:

- a. Output(s) in the process of being produced have been affected by COVID-19 during the assessment period (1 January 2014 to 31 July 2020). This includes effects due to applicable circumstances (such as ill health, caring responsibilities); other personal circumstances related to COVID-19 (such as furloughed staff, staff resource diverted to other priority areas within the HEI in response to COVID-19); and/or external factors related to COVID-19 (for example, restricted access to research facilities); and
- b. The overall impact of the COVID-19 effects, combined with other applicable circumstances affecting the staff member's ability to research productively during the assessment period, for example, where a staff member is an early career researcher, or has held a fractional contract for a significant proportion of the assessment period, and has experienced COVID-19 related disruption to the production of an eligible output.

## 6.1 Process for disclosure of staff circumstances

The RCM will use the standard REF2021 template for disclosing circumstances (Appendix C).

The HR team will oversee the declaration of voluntarily and confidentially submitted circumstances that may have affected an individual's ability to produce research outputs within the REF2021 timeframes.

The template will be issued to all staff (including to those staff who are absent from College for whatever reason).

HR will provide background information including what the disclosure of circumstances is for, how it will be used, who will see it, what the deadline is, and other relevant information.

HR will send periodic reminders to all staff about the declaration form and process up until the deadline (to account for any staff who join after the initial email is sent).

Staff will be able to email their completed forms confidentially to HR, or to submit them in person to HR, whichever is most appropriate.

All forms will be provided in strictest confidence to a small sub-group of the REF Working Group, led by the Head of HR & Organisational Development. This sub-group will assess the effect that the declared circumstances may have had on the ability of individual staff members to research productively throughout the period, in order to determine if a request should be made for the removal of the minimum requirement of one output, in accordance with the REF2021 Guidance on Submissions document.

Any staff who are determined to have experienced circumstances which have affected their ability to research productively throughout the period and who have no eligible outputs will be notified of the

removal of the requirement of a minimum of one output as soon as the REF Working Group has reached a decision and this has been approved by the funding bodies' REF team. For some complex circumstances, the REF Working Group may need to seek further advice and approval from the funding bodies' REF team before the decision can be communicated.

The RCM will ensure that even if declaration of individual circumstances does not result in an application for a removal of the requirement for one output, the RCM will, where necessary, still adjust any expectations of staff and provide support for them. This will be kept under review by HR.

The RCM will submit to a single unit of assessment (UoA33: Music, Dance, Drama, Performing Arts, Film and Screen Studies). The final submission will be of a sufficient size to allow the College to absorb any reductions in output at the individual staff level.

We therefore do not intend to seek any unit-wide reductions in the number of outputs we are required to submit to REF2021.

## 6.2 Communication about the voluntary disclosure of individual circumstances

Drop-in sessions will be offered by HR and the Research Office at which they will explain the REF disclosure process and offer staff the opportunity to have a confidential 1:1 discussion with whomever they feel most comfortable discussing their questions and/or concerns.

All associated guidance and documentation in respect of individual circumstances will be found on MUSE and learn.rcm, with any initial enquiries being directed to the Director of Research or Head of HR & Organisational Development as appropriate.

If you would like to insert a table or graph, some example templates have been created below. Grey rows in the table have been shaded manually to make alternating colours easier to handle in complex tables.

## 6.3 Fixed-term and part-time staff

In accordance with this Code of Practice and the RCM's commitment to equality of opportunity for those on fixed-term and part-time contracts (including those on variable time contracts), any selection criteria will take account of individual circumstances relating to staff members on fixed-term and part-time contracts, including contract research staff members, in the decision-making procedure for submission. This will relate to the proportion (FTE) of time in post across the REF assessment period as a whole, and how this might have affected an individual's capacity to produce the expected volume of research outputs.

## 6.4 Confidentiality

The RCM will protect the confidentiality of a staff member who discloses clear or complex individual circumstances as part of the REF2021 and will safeguard any information disclosed voluntarily within the regulations set by the General Data Protections Regulations, as incorporated into UK law through the Data Protection Act 2018. The information disclosed will be used to decide on the removal of the minimum requirement of one output for the staff member concerned and will be shared only with the minimum necessary number of those members of staff who have decision-making responsibilities for REF2021 as outlined in section paragraph 3.1.1 above.

## Part 7: Review of the Code of Practice

The effectiveness of this Code of Practice will be reviewed, as required, by the REF Working Group and may be amended from time to time in response to external drivers.

When statutory employment law changes, this Code of Practice is held automatically to have been amended by that change, and it will be updated as soon as practically possible.

## Part 8: Further information

Further information concerning REF can be found in the following documents:

- REF 2019/02 Panel criteria and working methods <https://www.ref.ac.uk/publications/panel-criteria-and-working-methods-201902/>
- REF 20189/01 Guidance on submissions <https://www.ref.ac.uk/publications/guidance-on-submissions-201901/>

Persons seeking guidance or further information regarding any of the issues covered in this Code of Practice are kindly requested to contact:

REF 2021

Professor Richard Wistreich, Director of Research, [richard.wistreich@rcm.ac.uk](mailto:richard.wistreich@rcm.ac.uk)

Equality and Diversity issues

Hazel Pudney, Head of HR & Organisational Development, [hazel.pudney@rcm.ac.uk](mailto:hazel.pudney@rcm.ac.uk)

## Part 9: Appendices

### Appendix A

#### Equality Impact Assessment (EIA) – Interim

The EIA at Appendix A is an initial interim EIA. The process of conducting EIAs is an iterative one and will be completed throughout the REF process and a final EIA conducted and submitted with the RCMs final submission to REF2021 in November 2020

### Appendix B

#### REF2021 Provisional Timeline (subject to minor amendment and clarification)

### Appendix C

#### Declaration of Individuals Staff Circumstances Form

### Appendix D

#### RCM Grievance Procedure

### Appendix E

Excerpts from the RCM Committee Handbook relevant to REF2021 Code of Practice & Submission.

## Appendix A: REF 2021 Equality Impact Assessment (EIA) – Interim

### Stage One: Initial Screening Assessment Form

For use once it has been decided that a specific strategy, policy or project requires an initial screening.

Name of strategy, policy or project    Research Excellence Framework (REF) 2021 Code of Practice on the Selection of Staff  
Department/s    Human Resources  
Assessment completed by    Hazel Pudney, Head of HR & Organisational Development

#### The strategy, policy or project

- |   |                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                         |
|---|-----------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1 | What is the main purpose of the policy? | To ensure all staff are treated fairly and in accordance with the principles of equality, when considering whether they should, or should not be submitted as an active researchers in the Research Excellence Framework (REF) 2021 audit of HE research.                                                                                                                                                                               |
| 2 | List the main activities of the policy? | HEFCE requires that each institution submitting to REF will write and enact a Code of Practice (CoP) on the Selection of Staff. This is for approval by HEFCE. The RCM's CoP has been written to ensure that: <ul style="list-style-type: none"><li>• all staff are treated fairly in accordance with the principle of equality</li><li>• there is consistency of process across the RCM</li><li>• the process is transparent</li></ul> |
| 3 | Who implements the policy?              | Director of the RCM.                                                                                                                                                                                                                                                                                                                                                                                                                    |
| 4 | Who will be affected by the policy?     | All staff who are eligible for selection for inclusion in the RCM's submission for REF. The eligibility criteria are described in the HEFCE REF documentation as well as the College's CoP.                                                                                                                                                                                                                                             |

## The strategy, policy or project

5	What outcome do you want to achieve, why and for whom?	To ensure that all staff are treated fairly in accordance with the principles of equality, in the College's processes for selection of staff for inclusion in the REF, and to ensure that no discrimination occurs.
6	Does the CoP contribute to advancing equality of opportunity	The application of the CoP required E&D training for all staff involved in the selection of staff for REF2021, with the aim of improving awareness and reduce the potential for discrimination and to advance equality.
7	Are there any existing assessments?	No, this is the Stage One screening for REF2021.
8	Who have you consulted on the policy?	REF Working Group, Research Committee & Academic staff.
9	Who are the main beneficiaries of the policy?	Academic staff.

When carrying out the impact assessment we considered the following questions:

- Could the policy have an adverse impact on equality of opportunity for any of the protected groups? In other words, does it put some protected groups at a disadvantage?
- Is the adverse impact, if any, unavoidable? Could it be considered to be unlawful discrimination? Can it be justified by the policy's aims and importance? Are there other ways in which our aims can be achieved without causing an adverse impact on a protected group?
- Can the adverse impact be reduced by taking particular measures?
- Is further research or consultation necessary? Would this research be proportionate to the importance of the policy? Is it likely to lead to a different outcome?

The impact	Tick the boxes which apply for each 'target group'					
Equality areas	Positive impact		Neutral impact	Negative impact		Reason/comment
	High	Low		High	Low	
Gender						
Women			✓			
Men			✓			
Transgender			✓			
Race						
White			✓			
BME			✓			
Disability						
Declared disability			✓			
Not declared disability			✓			
Age						
Under 35			✓			
35-54			✓			
Over 55			✓			

The impact	Tick the boxes which apply for each 'target group'					
Equality areas	Positive impact		Neutral impact	Negative impact		Reason/comment
	High	Low		High	Low	
Contract type						
Open ended			✓			
Fixed term			✓			
Mode of employment			✓			
Full time			✓			
Part time			✓			

### Further action

Does the policy have a negative impact on any of the equality target groups? Is the negative impact assessed as being of high significance? If so, you will need to proceed to Stage 2?

No, as the policy is designed to ensure equality, the impact on all groups is neutral.

The assessment is that the policy/practice is robust. There is no evidence of potentially unlawful discrimination and all reasonable opportunities to advance equality and foster good relations are being taken.

There is a clear rationale for the RCM's policy in respect of staff selection.

Is progression to Stage 2: Full Assessment required?

No



Signed (Completing Officer):



Hazel Pudney, Head of HR & Organisational Development

Date: 20 May 2019

Signed (REF Working Group Chair):

Date:

Actions arising from initial screening

Issue	Action required	Lead officer	Timescale	Resource implications	Comments

## Appendix X

Name of strategy, policy or project

Department/s

Assessment completed by

### Part 1

- |   |                                                                                                                                                              |                                                                                        |
|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------|
| 1 | In what areas are there concerns that the policy could have a negative impact?<br>Please tick the relevant group/s opposite                                  | Gender(including transgender) Race<br>Disability<br>Sexual Orientation<br>Age<br>Faith |
| 2 | Summarise the likely negative effect                                                                                                                         |                                                                                        |
| 3 | As a result of this assessment and available evidence, should the College commission research on this issue or carry out further monitoring/data collection? |                                                                                        |
| 4 | What consultation has taken place/or is planned with affected equality target groups?                                                                        |                                                                                        |
| 5 | What consultation/communication has taken place/or is planned with staff?                                                                                    |                                                                                        |

Part 2

6 As a result of this assessment and available evidence collected, state what changes are proposed to your policy? Gender(including transgender) Race  
Disability  
Sexual Orientation  
Age  
Faith

7 Will the changes planned ensure that the negative impact is legal and of low impact?

8 What monitoring and evaluation will you introduce to further assess the impact of the policy on the equality target groups?

Signed (Completing Officer):

Date:

Signed (EDSG):

Date:

## Appendix B: Provisional timeline (subject to minor amendments and clarification)

	REF timetable	RCM timetable
September 2017	Publication of 'Initial decisions on the Research Excellence Framework' by the funding bodies, following consultation on implementation of the Stern review recommendations (REF 2017/01)	
January-February 2018		Individual REF research planning meetings between Director of Research and research staff to identify potential outputs – round 1
October 2018	Publication of 'Roles and recruitment of expert panels' (REF 2017/03)	REF Working Group (WG) established; information on criteria for eligibility of staff for REF2021 published on RCM intranet and communicated through all staff e mail. RCM Code of Practice drafting process begun, led by Head of HR.
November 2018		Identification of potential Impact Case Studies; external readers nominated
December 2018-March 2019		First round of individual REF research planning meetings between Director of Research and research staff to identify potential outputs
February 2019		EIA process documented and commenced. REF-specific Equality & Diversity Training, including Unconscious Bias, delivered to all RCM staff involved in REF decision-making and advisory capacities.
January-February 2019	Publication of final 'Guidance on submissions' and 'Panel Criteria'	Draft CoP published on intranet and all-staff e-mail sent out with link to CoP Informal internal quality assessment of possible outputs

REF timetable		RCM timetable
February 2019		REF process briefing for Research Committee by Director of Research
March-April 2019		Selected outputs sent to external readers.
April-May 2019		Workshops for all Category A researchers to explain REF process including process for reporting circumstances Workshops for composers and performers on presenting composition as research on accompanying portfolios and 300-word descriptors
May 2019		RCM Code of Practice draft finalised and approved by REF WG CoP published on intranet and all staff e-mailed with link. CoP submitted
12 noon, 7 June 2019	Institutions intending to make submissions to the REF submit their codes of Practice	
30 July 2019	Institutions invited to complete 'REF Survey of Submission Intentions'	
August 2019	By 16 August Funding bodies notify institutions that the CoP meets REF requirements or requests re-submission of the CoP by 20 September 2019	
September 2019	Invitation to request multiple submissions, case studies requiring security clearance, and exceptions to submission for small units; beta versions of the submission system will be available in both test and live environments for institutions to use	First external readers' reports received Initial informal selection of potential outputs. Final selection of Impact Case Studies; working groups begin drafting.

	REF timetable	RCM timetable
Autumn 2019	Pilot of the REF submission system; survey of submissions intentions opens; proposed date for inviting reduction requests for staff circumstances (the proposed deadline is March 2020)	Final external readers' reports received; preparation continues of outputs, impact case studies and environment statement.  Equality Impact Assessment undertaken to coincide with research independence discussions with staff on research-only contracts. Director of Research / Head of HR meet with staff on research-only contracts (following training) to discuss REF eligibility (research independence).  Following approval by the funding bodies communicate final Code of Practice to staff
November 2019		Category A staff advised of status and intention to submit them to REF. Category A staff invited to voluntarily disclose to HR individual circumstances which may significantly constrain their ability to produce outputs or work productively during the assessment period. Deadline for disclosure 31 January 2020.
December 2019	Survey of submissions intentions complete; deadline for requests for multiple submissions, case studies requiring security clearance, and exceptions to submission for small units; publication of approved Codes of Practice	Survey of Submission Intentions agreed and submitted
31 January 2020		Deadline for staff to voluntarily disclose individual circumstances <sup>1</sup>
28 February 2020		Completion of preliminary appeals processes

	REF timetable	RCM timetable
Early 2020	Formal release of the submission systems and accompanying technical guidance; invitation to HEIs to make submission; invitation to nominate panel members and assessors for the assessment phase; deadline for staff circumstance requests	Preliminary selection of outputs and reserve outputs; construction of portfolios to support practice-based outputs Portfolio and 300-word descriptor training continues
Mid 2020	Appointment of additional members and assessors to panels	Final checking of Category A staff details Selection of outputs and reserve outputs, including proposals for double weighting and reserve outputs (Director, in consultation with REF WG). Impact Case Studies second drafts reviewed by REF WG Submission portal tested
31 July 2020	Census date for staff; end of assessment period (for the research environment, and data about research income and research doctoral degrees awarded)	Further drafting of Impact Case Studies; audit evidence assembled Final date for submission of any appeals under CoP Paragraph 4.1
August-October 2020		Equality Impact Assessment to be undertaken to coincide with final output selection Final drafting of submissions; final assembly of outputs; data checking
9 October 2020	Deadline for submitting revised Code of Practice	
18 September 2020		Communication to all Category A staff whose outputs are eligible for submission to REF2021 concerning revised timetable and declaration of special circumstances relating to COVID-19



REF timetable		RCM timetable
1 December 2020		Deadline for declaring special circumstances relating to COVID-19:
31 December 2020	End of publication period (cut-off point for publication of research outputs, and for outputs underpinning impact case studies); end of impact assessment period	
31 January 2021		Completion of appeals process relating to submission of special circumstances relating to COVID-19
31 March 2021	Closing date for Submissions.	Final Equality Impact Assessment to undertaken to coincide with final submission
1 June 2021	Date for providing corroborating evidence for impact case studies	
May 2021 – March 2022	Panels assess submissions	
April 2022	Publication of outcomes	
Summer 2022	Publication of submissions, panel overview reports and sub-profiles	

## Appendix C: Declaration of individual circumstances template

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

- To enable staff who have not been able to produce a REF-eligible output during the assessment period to be submitted to REF without the minimum requirement of one output where they have;
  - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
  - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
  - two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether there are any Units of Assessment where the proportion of declared circumstances is sufficiently high to warrant a request to the higher education funding bodies for a reduced required number of outputs to be submitted.

### Applicable circumstances

- Qualifying as an ECR (started career as an independent researcher on or after 1 August 2016)
- Absence from work due to secondments or career breaks outside the HE sector
- Qualifying periods of family-related leave
- Disability (including chronic conditions)
- Ill health, injury or mental health conditions
- Constraints relating to family leave that fall outside of the standard allowances
- Caring responsibilities
- Gender reassignment
- COVID-19 related circumstances (REF6a only)<sup>2</sup>

If your ability to research productively during the assessment period has been constrained due to one or more of the following circumstances, you are requested to complete the attached form. Further information can be found paragraph 160 of the [Guidance on Submissions \(REF 2019/01\)](#). Completion and return of the form is voluntary, and individuals who do not choose to return it will not be put under any pressure to declare information if they do not wish to do so. This form is the only

---

<sup>2</sup> As well as effects due to applicable circumstances (such as ill health, caring responsibilities), this includes other personal circumstances related to COVID-19 (such as furloughed staff, staff resource diverted to other priority areas within the HEI in response to COVID-19); and / or external factors related to COVID-19 (for example, restricted access to research facilities).

means by which the RCM will be gathering this information; we will not be consulting HR records, contract start dates, etc. You should therefore complete and return the form if any of the above circumstances apply and you are willing to provide the associated information.

#### Ensuring Confidentiality

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

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

#### Changes in circumstances

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

To submit this form, you should email it to the Head of HR&OD

Name:

Department:

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

Yes

No

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

Circumstance	Time period affected
Early Career Researcher (started career as an independent researcher on or after 1 August 2016).  <i>Date you became an early career researcher.</i>	
Career break or secondment outside of the HE sector.  <i>Dates and durations in months.</i>	
Family-related leave; <ul style="list-style-type: none"><li>• statutory maternity leave</li><li>• statutory adoption leave</li><li>• Additional paternity or adoption leave or shared parental leave lasting for four months or more.</li></ul> <i>For each period of leave, state the nature of the leave taken and the dates and durations in months.</i>	
Disability (including chronic conditions)  <i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i>	

<p>Mental health condition</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	
<p>Ill health or injury</p> <p><i>To include: Nature / name of condition, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	
<p>Constraints relating to family leave that fall outside of standard allowance</p> <p><i>To include: Type of leave taken and brief description of additional constraints, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	
<p>Caring responsibilities</p> <p><i>To include: Nature of responsibility, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	
<p>Gender reassignment</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	
<p>COVID-19 (Applicable only where requests are being made for the removal of the minimum of one requirement)</p> <p><i>To include: periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p> <p><i>The overall impact of the COVID-19 effects should be considered in combination with other applicable circumstances affecting the staff member's ability to research productively throughout the period.</i></p>	

<p>Any other exceptional reasons e.g. bereavement.</p> <p><i>To include: brief explanation of reason, periods of absence from work, and periods at work when unable to research productively. Total duration in months.</i></p>	
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

Please confirm, by ticking the box provided, that:

- The above information provided is a true and accurate description of my circumstances as of the date below
- I realise that the above information will be used for REF purposes only and will be seen by Hazel Pudney (Head of Human Resources and Organisational Development and Professor Richard Wistreich, Director of Research
- I realise it may be necessary to share the information with the REF team, the REF Equality and Diversity Advisory Panel, and main panel chairs.

I agree

Name: Print name here

Signed: Sign or initial here

Date: Insert date here

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

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

I would like to be contacted by:

Email  Insert email address

Phone  Insert contact telephone number

## Appendix D: Royal College of Music staff grievance procedure

It is the College's policy to ensure that any member of staff who feels they have a grievance relating to their employment can use a procedure which can help to resolve grievances as quickly and as fairly as possible.

A grievance is a concern, problem, complaint or issue raised by a member of staff concerning their employment. If you have a grievance about your employment or your employment situation, where you can, you should first discuss it informally with your line manager or immediate supervisor. We hope that the majority of concerns will be resolved at this stage.

### Application and scope

1. This procedure will apply to grievances brought by members of staff in relation to matters affecting them personally as individuals (and should be read in conjunction with the College's Behaviour at Work Policy) where:
  - it has not been possible to resolve the grievance informally (with a line manager or immediate supervisor or with another member of staff in his or her place) or
  - the issues raised are sufficiently serious to make informal resolution inappropriate.
2. This procedure will cease to apply after the contract of employment of the member of staff bringing or seeking to raise a grievance has terminated, irrespective of the reason.
3. A member of staff bringing a grievance may withdraw the grievance at any stage.
4. At any stage the person(s) dealing with the grievance may, at his/her/their discretion, defer consideration of the grievance pending further investigations and/or the outcome of other relevant issues.

## General provisions

5. Members of staff whose grievance is considered under this procedure have the right to be accompanied and represented at any meeting by a trade union representative or work colleague. The member of staff's chosen companion can take a note of the proceedings, address the meeting/hearing, respond on behalf of the member of staff to any views expressed at the meeting and confer with the member of staff but may not answer questions on his/her behalf or prevent the line manager (or other College representative as appropriate) explaining his or her position.
6. Members of staff should make every effort to attend meetings, as requested. Where a member of staff is repeatedly unable or unwilling to attend a meeting without good cause, the College will make its decision on the evidence available to it.
7. It is expected that all staff involved in this process will maintain the confidentiality of the process and of College documents. Any breach of confidentiality by the member of staff may be treated as a disciplinary offence. This is subject to an individual's right to seek and obtain appropriate confidential legal advice or make a disclosure under the Public Interest Disclosure Act 1998 or otherwise as required by law or any statutory authority.

## The procedure

8. The member of staff will set out the full details of his or her grievance in writing (including any relevant facts, dates and names of individuals involved) to his or her line manager. If the grievance concerns his or her line manager, the member of staff should write to the Directorate member responsible for that department/area. If the grievance concerns the Directorate member responsible for that department/area, the member of staff should write to the Deputy Director or to the Director (if the grievance concerns the Deputy Director) or to the Chairman of Council (if the grievance concerns the Director).
9. The member of staff will provide further written amplification or clarification on any aspect of the grievance if requested at any time to do so.
10. In some, especially complex, cases it may be appropriate to appoint an investigator who has had no prior involvement with the grievance to carry out an investigation.
11. The person in receipt of the grievance, as set out in paragraph 8 (or his or her nominee), ('the manager'), will without unreasonable delay write to invite the member of staff to a meeting to discuss the grievance. Members of staff and their representatives should make every effort to attend the meeting. This meeting will normally also involve a Directorate member and/or a member of HR staff.



12. The meeting may be adjourned if there is a need to carry out a further investigation.
13. The manager chairing the meeting may arrange for a representative from HR to attend to take a note and to be a witness to what is said at the meeting. In certain cases the manager may arrange for an interpreter. The manager may also make reasonable adjustments for a member of staff who is disabled or his or her companion.
14. After the meeting and without unreasonable delay the member of staff will be informed, in writing by HR, of the decision in relation to the grievance and the reasons for that decision. Where appropriate, the member of staff will be informed of what action will be taken to resolve the grievance. The member of staff will also be informed of his/her right of appeal.

## Appeals

15. The member of staff will have the right to appeal against any decision under this procedure. The grounds of appeal must be in writing and sent to the Head of HR within 10 working days of the date of the decision letter.
16. The appeal will be heard without unreasonable delay at a time and place that will be notified to the member of staff in advance. The member of staff will be reminded of his /her right to be accompanied.
17. The appeal will be heard by a panel comprising one or two independent members of Council, appointed by the Chairman or the Deputy Chairman of Council. The appeal will consider the grounds of the appeal; it will not be a full rehearing of the grievance.
18. The decision following the appeal will be notified to the member of staff in writing without unreasonable delay and will be final and cannot be further appealed internally.

Policy approved by RCM Council  
16 July 2009

## Appendix E: Royal College of Music committee handbook 2019-20

Excerpts relevant to REF 2021 Code of practice and submission

### Senate

- Approval of academic regulations for recommendation to Council
- Approval of revisions to quality assurance procedures
- Approval of external examiner appointments
- Approval of initial programme approval and review events
- Approval of annual monitoring reports
- Approval of reviews of performance standards
- Overview of professional development
- Approval of revisions to DMus regulations

### Decision-making responsibilities

- Approval of academic regulations for recommendation to Council
- Approval and review of quality assurance procedures
- Approval of admissions policy
- Approval and removal of external examiner appointments
- Approval of initial programme approval and review events
- Approval of annual programme monitoring reports
- Approval of faculty reviews
- Overview of professional development
- Approval of revisions to doctoral regulations
- Approval and review of strategies relating to learning and teaching, artistic policy, research and quality enhancement
- Approval of Strategic Plan and annual strategic planning documents for recommendation to Council
- Approval of academic collaborative provision and partnerships
- Revoking academic qualifications and other distinctions
- Consideration of recommendations for honorary awards to Council

### Terms of reference

The Senate shall have the following functions:

1. To contribute to the development and review of the College's strategic plan and its associated sub-strategies and to take the lead in the development and review of the College's academic strategic plans

2. To lead, approve and have oversight of academic policy and procedure and to approve and keep under review general student and academic regulations. The latter will include oversight of the operation of student complaints, appeals, discipline and cheating and plagiarism procedures
3. To approve and have oversight of the College's research strategy
4. To approve admissions, access and widening participation strategies and policies and to receive reports on their operation and outcomes
5. To be the lead body for academic quality assurance, standards and quality enhancement, including:
  - Approval and review of quality assurance procedures
  - Approval and removal of external examiner appointments
  - Approval of initial programme approval and review events
  - Approval of annual programme monitoring reports
  - Approval of faculty reviews
  - Overview of professional development
  - Approval and review of teaching and learning strategy
  - Approval and review of quality enhancement strategy
  - Approval and review of artistic strategy
  - Approval of academic collaborative provision and partnerships
6. To lead the College's preparation for QAA (and its successors) and other external academic institutional audit and related exercises and to have oversight of the College's compliance with national and appropriate international academic codes of practice, frameworks, infrastructure, and guidance
7. To establish arrangements, including through other delegated committees and boards, to award, confer and revoke degrees, diplomas, certificates, and other distinctions in its own name and/or jointly with other higher education institutions which have the power to award such qualifications and to revoke such academic awards
8. To establish procedures for the award and revocation of personal chairs and readerships
9. To advise the Council's Nominations Committee on external nominations for honorary awards
10. To periodically review its own effectiveness and that of its committees
11. To undertake such other matters as Council may from time to time refer

## Membership

Director	Colin Lawson (Chair)
Deputy Director	Kevin Porter
Artistic Director	Stephen Johns
Director of Programmes	Diana Salazar
Director of Research	Richard Wistreich
Head of Undergraduate Programmes	Christina Guillaumier
Head of Postgraduate Programmes	Natasha Loges
Head of Keyboard	Vanessa Lata arche

Head of Strings	Mark Messenger
Head of Woodwind	Simon Channing
Head of Brass	Nigel Black
Head of Percussion	David Hockings
Head of Vocal Studies	Nick Sears
Head of Composition	William Mival
Head of Historical Performance	Ashley Solomon
Librarian	Peter Linnitt
Museum Curator	Gabriele Rossi Rognoni
Head of the Junior Programmes	Miranda Francis
Head of Centre for Performance Science	Aaron Williamon
Student Services Manager	Lynnette Easterbrook
President of the Students' Union	Joel Wilson
Up to five professors elected by the professors	Patricia Rozario (elected to August 2020) Janis Kelly (elected to August 2020) Gary Ryan (re-elected to August 2021) Wiebke Thormählen (re-elected to August 2020) Gabrielle Lester (elected to August 2022)
Academic Registrar	Elly Taylor (Secretary)

## Research Committee

### Decision-making responsibilities

- Advisory committee

### Terms of reference

On behalf of the Senate and in the light of national and international developments in music research and national policies for research funding:

1. To maintain oversight and advise on the development of the College's research strategy.
2. To maintain oversight and advise on the development of the College's knowledge exchange strategy.
3. To allocate internal research funding.
4. To advise on the preparation of external research reports and external applications for research funding.

5. To review the outcomes of research funded both externally and by the College.
6. To receive reports from CPS and Collections.

## Membership

Director of Research	Richard Wistreich (Chair)
Director	Colin Lawson
Head of Postgraduate Programmes	Natasha Loges
Head of Composition	William Mival
Head of Centre for Performance Science	Aaron Williamon
Curator of the Museum of Music	Gabriele Rossi Rognoni
Librarian	Peter Linnitt
Research & Knowledge Exchange Manager	Emma Hewett
Head of Historical Performance	Ashley Solomon
Doctoral student representatives (rotating)	tbc, tbc, tbc

## Members of teaching and research staff:

Area Leader, MMus in Performance	Ingrid Pearson
Research Fellow	Tania Lisboa
Research Fellow	Rosie Perkins
Area Leader in History	Wiebke Thormählen
Area Leader in Music Education	Jennie Henley
Research Professor	Richard Langham Smith

## In attendance

Assistant to the Director of Research	Jordan Stockdale (Secretary)
---------------------------------------	------------------------------

Other members of staff involved in research will be invited to join the Committee to discuss particular projects.

## Directorate

### Decision making responsibilities

- Approval of plans for the deployment of resources

- Approval of programme resource statements

## Terms of reference

To be responsible for the management of the College, in the context of the Strategic Plan and mission statement. This will encompass:

1. Review and up-dating of the College's Strategic Plan and subsidiary strategies and the mission statement and the production of annual planning statements and reviews, for consideration by the Senate and the Finance & General Purposes Committee and for approval by Council, as appropriate
2. Oversight of the implementation of the Strategic Plan, subsidiary strategies and annual planning statements
3. Resource planning and management, including deployment of staff and physical resources, student number planning, and the consideration of programme resource statements
4. Implementation of policies on risk management and internal control; identification and evaluation of the significant risks faced by the College for consideration by the Finance & General Purposes Committee; providing information to the Council and its committees on the status of risks and controls; undertaking an annual review of effectiveness of the system of internal control and providing a report to the Finance & General Purposes Committee
5. Monitoring management accounts and financial forecasts; oversight of annual budgeting, including proposals for capital expenditure
6. Oversight and review of plans for the estates strategy and estates management
7. Oversight and review of health and safety policy and of its implementation
8. Oversight and review of catering strategy
9. Oversight of IT infrastructure and software policy and of its implementation
10. Review of the internal audit strategy and of internal audit reports, monitoring implementation of recommendations from internal audits
11. Monitoring targets for and promotion of equal opportunities and diversity
12. Monitoring professional development plans and activity
13. Oversight and review of internal and external communication policy
14. Oversight and review of policies for development and fund raising
15. Oversight of compliance with the College's legal commitments.

## Membership

Director	Colin Lawson (Chair)
Deputy Director	Kevin Porter (Deputy Chair)
Director of Finance	Marcus McDonald
Director of Estates	Aida Berhamovic
Artistic Director	Stephen Johns
Director of Programmes	Diana Salazar

Director of Research	Richard Wistreich
Director of Development & Alumni Engagement	Lily Harriss
Director of Communications	Talia Hull

## REF2021 Management Group

REF2021 Management Group is a sub-committee of Directorate. It consults Research Committee at key points in the submission cycle.

### Decision-making responsibilities

- Management of all aspects of the preparation of the RCM submission to REF2021
- Recommendation of key policies and procedures and the final submission to Directorate

### Terms of Reference

- Ensure that the REF2021 submission represents the best overall view of the RCM's research profile
- Ensure that equality and diversity are continuously monitored and firmly embedded in processes for submitting staff and outputs
- Maintain transparency in decision-making
- Prepare and submit all required documentation to REF according to timetable

### Membership

Director of Research	Richard Wistreich (Chair)
Director	Colin Lawson
Area leader for History	Wiebke Thormählen
Head of Composition	William Mival
Head of Centre for Performance Science	Aaron Williamon
Research and Knowledge Exchange Manager	Emma Hewett
Professor of Music Research	Professor Trevor Herbert

### In attendance

Assistant to the Director of Research	Jordan Stockdale (Secretary)
Head of HR & Organisational Development	Hazel Pudney (as required)