



# Royal Conservatoire *of* Scotland

Research Excellence Framework 2021

# Code of Practice

The Royal Conservatoire of Scotland welcomes a diverse population of staff and students. We are committed to promoting equality in all of our activities and we aim to provide a performing, learning, teaching, working and research environment free from unlawful discrimination against applicants, staff and students on the grounds of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex and sexual orientation.

Copies of this document are available in large print and on the Royal Conservatoire Portal. It will also be emailed to all academic members of staff.

## Part 1: Introduction

The Research Excellence Framework or REF is a process that assesses the quality and impact of the research undertaken in Higher Education Institutions across the UK. Research for the REF is broadly conceived, including innovative creative work like performances and compositions alongside more traditional forms of research like journal articles or books – therefore the REF has a wide relevance and strategic significance across both Schools of the Royal Conservatoire.

For REF 2021, institutions submit a range of research undertaken by all members of staff who are judged to have significant responsibility for research, along with other contextual information. This Code of Practice sets out the principles and processes that will govern the Royal Conservatoire's submission to REF, including the processes by which staff members with significant responsibility for research will be identified, drawing on the criteria set out in the REF Guidance on Submissions and taking account of our particular context and staff profile. It also identifies how individual research outputs will be selected for inclusion, and how the process will take account of individual staff circumstances.

The Code applies equally to all eligible members of staff, across the institution, and has therefore been written for a general audience. Based on an Equalities Impact Assessment, it also meets a requirement of the REF process that such a Code of Practice be developed, promoted and enacted, and intersects with a range of existing institutional policies.

The Conservatoire's processes for preparing the REF submission will be:

- Transparent
- Consistent
- Accountable
- Inclusive

This Code of Practice is part of the process of **transparency**. It has been written to set out how the processes will work, especially those for identifying staff to be included; what special individual circumstances may be taken into account, and how you can appeal any decisions that are made in the process of our preparations. It will be **consistently** applied to all eligible staff, and it will help to ensure **accountability** by explaining who is making decisions relating to REF and on what basis. Finally, while recognising that not all staff will take part, it sets out how we will make the process **inclusive** by setting out clear criteria for inclusion and robust procedures to handle the individual circumstances of all relevant staff.

This Code of Practice takes account of developments in the requirements for REF since 2014 and of the Academic Workload Model that has been developed simultaneously with the Code to assist the Conservatoire in meeting the requirements for REF 2021 with due regard to the principles above.

**Further information on the REF and the 'Guidance on Submissions' which shapes the procedures outlined in this Code, may be found at [www.ref.ac.uk](http://www.ref.ac.uk). If there is anything in this Code of Practice that you do not understand, please contact a member of the REF Working Group. Contact details are in Appendix A.**

## Part 2: Identifying staff with significant responsibility for research

### 2.1 Policies and procedures

All academic staff at the Royal Conservatoire of Scotland have a standard contract that identifies a range of potential responsibilities that may be part of a professional academic's activities, including research. This does not in itself mean that all staff have a 'significant responsibility for research' according to the criteria for REF.

The Royal Conservatoire will identify staff with significant responsibility for research (SRR) by applying consistent criteria to all eligible staff. Staff with SRR at the Royal Conservatoire will:

1. Hold a relevant contract of 0.2 FTE or greater
2. Have a specific workload allocation for research equal to or greater than 250 hours, pro-rata according to the thresholds set out in the Conservatoire's Academic Workload Model.

Relevant contracts are those that make a particular staff member 'Category A Eligible' according to the Guidance on Submissions for REF 2021<sup>1</sup>: at the Royal Conservatoire of Scotland, this means academic staff on a full time, or a pro-rata contract greater than 0.2 FTE.

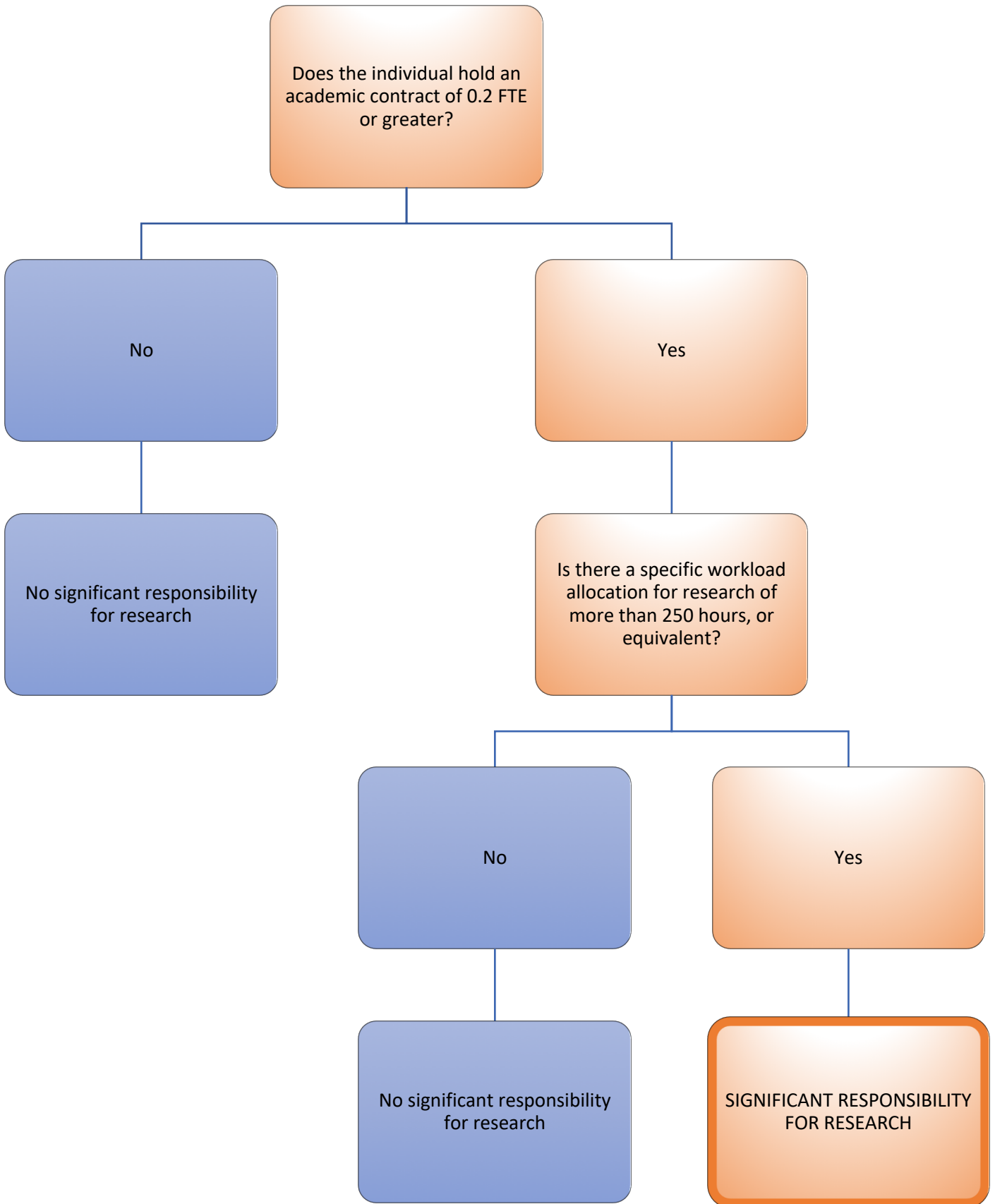
To ensure that all holders of a relevant contract will have an agreed workload allocation for each of the activities that are an expectation of their role, a new Academic Workload Model has been developed; this will set out specific time for research for all independent researchers, normally 250 hours or equivalent for part time staff. More details of the Conservatoire's Academic Workload Model may be found in Appendix C.

In assessing eligibility for REF, the two criteria will be applied in turn: firstly, the contractual eligibility will be determined; then the specific workload allocation for research will be confirmed. With due regard to any particular circumstances that may apply to individual staff (see Part 4 below), ALL staff that meet the two criteria for SRR and are also independent researchers on the census date will be included in the Royal Conservatoire's REF submission.

The following flowchart sets out the process:

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<sup>1</sup> Category A Eligible staff are all those returned to HESA as 'Teaching and Research' or 'Research Only'. Staff returned to HESA 'Teaching Only' are not Category A eligible.



### 2.3 Development of processes

The process set out above, and the Academic Workload Model, were first drafted for consideration by the Royal Conservatoire's Research and Knowledge Exchange Committee, which has primary oversight of research matters. The Research and Knowledge Exchange Committee includes representation from both Schools of the Conservatoire as well as the Directorate of Research and Knowledge Exchange; members of the committee are drawn from a range of academic grades, including Lecturer, Head of Department and Director.

The Research and Knowledge Exchange Committee agreed a draft for consideration by the Academic Board of the Conservatoire at its meeting on 7 February 2019, which approved a Consultation Draft. The Royal Conservatoire does not formally recognise a union, and it was agreed at the Academic Board meeting of 7 February 2019 that formal approval of the Code on behalf of staff would be made through the agency of the elected academic staff representatives on the Conservatoire's Academic Board, in a separate vote at its May 2019 meeting.

That draft was subject to a six-week consultation period. At the outset, it was sent directly to all academic staff, who were invited to respond to the specific consultation questions and make any other general comments on the Code through an online survey; it was possible to make responses anonymously. Three one-hour drop-in consultation sessions for staff were arranged during the consultation period, at different times in the working day to take account of colleagues' varied working patterns. The draft Code also received formal consideration at the Conservatoire's Academic Management Team and a very small number of eligible staff ( $n < 5$ ) who were on leave for the duration of the consultation were contacted individually and invited to respond to the anonymous survey.

Following the period of consultation, and drawing on the feedback received from that consultation, the final Code and Academic Workload Model were prepared for consideration by the Research and Knowledge Exchange Committee at its meeting of the 2 May 2019. A summary of the changes made to the Code as a result of the consultation process is provided in Appendix D.

The elected academic staff representatives on the Academic Board approved the Code on behalf of staff at its meeting of Wednesday 8 May 2019, with the full Board subsequently approving the Code for submission in a separate vote at the same meeting.

### 2.4 Staff, committees and training

The REF Working Group (REFWG), supported by the Human Resources, Equality and Diversity Group (HREDG), is responsible for the formal identification of staff with significant responsibility for research. Details of these groups, including role descriptions, terms of reference and record-keeping procedures, together with how these groups fit into wider institutional structures and the training that has been provided to members, are provided in Appendix A.

### 2.5 Appeals

The formal process for pursuing an appeal against a decision of the REFWG in respect of an individual holding 'significant responsibility for research' is set out in Appendix B. The

existence of an appeals process will be noted in all correspondence relating to decisions of the REFWG, with a link to this section of the Code.

## 2.6 Equality Impact Assessment

The most significant potential impact on equalities in the identification of staff with 'significant responsibility for research' lies in the determination of research independence, which is considered in the next section. Nonetheless, the particular eligibility criteria for REF, and the intersection of those criteria with Royal Conservatoire institutional practice, has been assessed for equality impact.

As in previous REF exercises, the threshold for inclusion is a contract for teaching and research, or research only, of 0.2 FTE or greater. At the Royal Conservatoire, the proportion of male and female staff on eligible contracts greater than 0.2 FTE is (53:47); this compares to a ratio of (51:49) for all academic contracts. The Royal Conservatoire has very high proportions of academic staff working part-time, either on pro-rata or hourly-paid contracts. Historically, the Conservatoire has submitted those on hourly-paid contracts to HESA as teaching only, as this broadly reflects their responsibilities; these staff are therefore ineligible to participate in REF. The proportions of male and female staff who are paid hourly is (49:51); this compares to a ratio of (53:47) for those on a pro-rata or full time contract, indicating that female staff are slightly more likely to be paid hourly, returned to HESA as teaching only, and be ineligible for inclusion in REF.

A similar analysis of data on disabilities indicates that the proportion of hourly-paid staff declaring a disability is (3:97) whereas the proportion of pro-rata or full time staff declaring a disability is around (5:95), indicating that the eligibility criteria have limited implication for equalities around disability.

Much more significantly, the proportion of hourly-paid staff reporting an ethnicity other than 'white' is (28:72), which compares poorly with the proportion of those on a pro-rata or full time contract, where the equivalent proportion is (3:97). This indicates that the eligibility criteria for REF will have a strong differential impact on colleagues who report an ethnicity other than 'white'; while our approach here must mirror the requirements of the Guidance on Submissions, we will reflect on the wider implications for equalities in the Conservatoire, in the specific context of research development of these results, paying particular attention to potential impact around ethnicity.

## Part 3: Determining research independence

### 3.1 Policies and procedures

An independent researcher is one who has the training and experience to direct their own research activities unsupervised. The distinctive context of the Royal Conservatoire, with its strongly vocational education and close links to the professions, means that a significant proportion of academic staff are not independent researchers, but practitioners working across the higher education and professional contexts. Bearing this in mind, the Royal Conservatoire will pay particular attention to the identification of independent researchers according the principles of transparency, consistency, accountability and inclusivity that underpin this Code.

To take account of the distinctive context of the Conservatoire, and to ensure that the principles of transparency, consistency, accountability and inclusivity are embedded throughout the process, the research independence of all 'Category A Eligible' staff will be assessed according to the criteria set out below, in accordance with paragraph 199 of the Guidance on Submissions for REF.

In previous exercises, where research independence was the key consideration in the identification of Early Career Researchers, the Royal Conservatoire used date of PhD completion as the usual verifiable date for a researcher becoming independent. Given that research at the Royal Conservatoire resides in a single Unit of Assessment that lies squarely in the arts and humanities, this approach broadly reflects sectoral norms. Bearing in mind the principle of inclusivity, and the fact that the Conservatoire's distinctive developing research environment means staff may have pursued a variety of routes to research independence, further criteria identify those independent researchers who have not completed a PhD.

The Royal Conservatoire of Scotland will identify independent researchers by applying consistent criteria to all eligible staff. Independent researchers at the Royal Conservatoire will:

EITHER Hold a PhD or equivalent;

OR meet at least two of the following criteria:

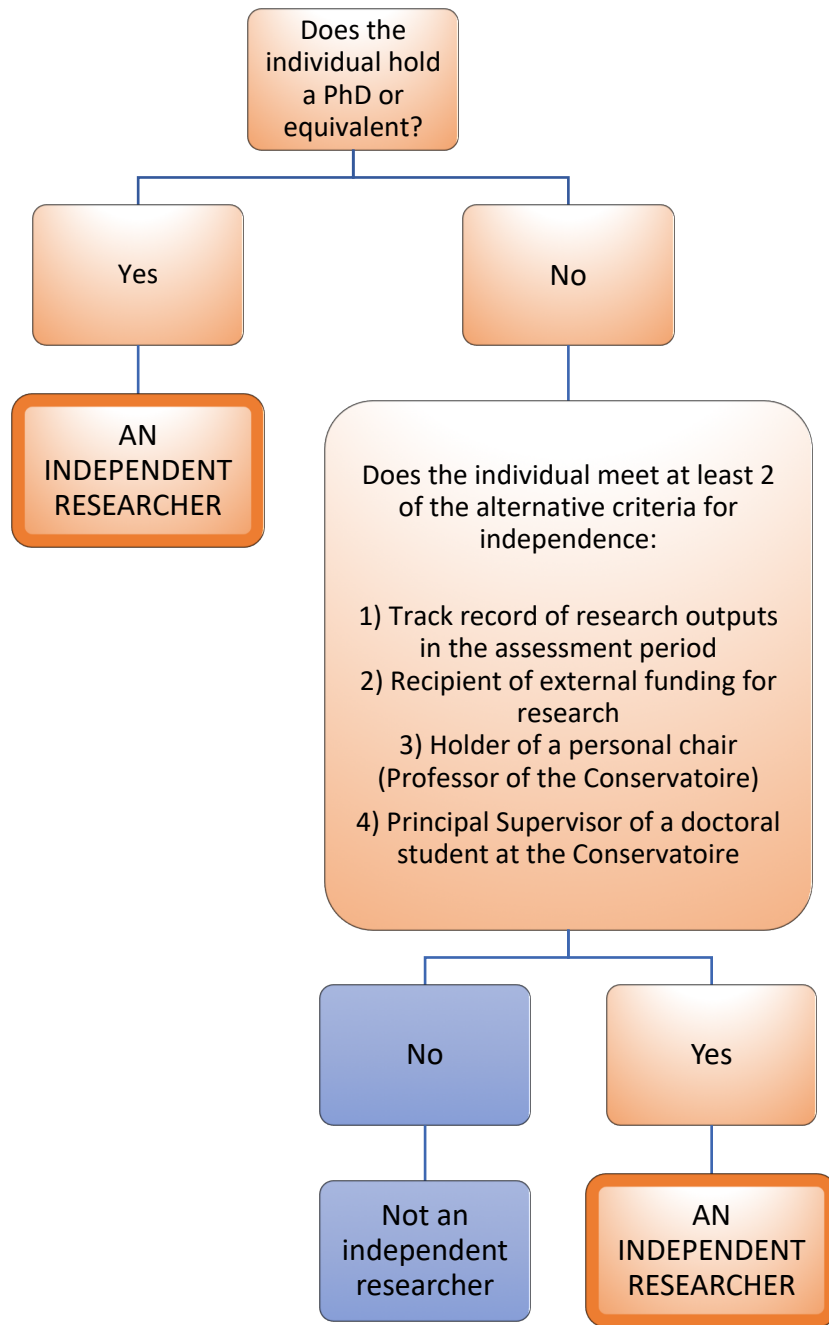
- a) Have an established track-record of research outputs in the assessment period
- b) Have been awarded external funding for research (whether as Principal or Co-Investigator) in the assessment period<sup>2</sup>
- c) Hold a personal chair (Professorship) awarded by the Conservatoire
- d) Having acted as Principal Supervisor of a doctoral student undertaking a programme of study at the Conservatoire during the assessment period

The existence of a track record in research will be assessed by the REFWG, with such a track record being deemed to exist where an individual has produced at least 2 outputs in the assessment period that meet the REF definition of research. No consideration will be given to the quality of these outputs in terms of significance, originality or rigour; they should simply meet the threshold of adherence to the REF definition of research.

The holding of a PhD, a personal chair at the Conservatoire, external funding for research, or acting in the capacity of Principal Supervisor of a doctoral student at the Conservatoire, will be subject to documentary verification that will be held for audit purposes.

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<sup>2</sup> HESA definitions for research funding will apply.





### 3.2 Staff, committees and training

The REF Working Group (REFWG), supported by the Human Resources, Equality and Diversity Group (HREDG), is responsible for assessing the independence of researchers. Details of these groups, including role descriptions, terms of reference and record-keeping procedures, together with how these groups fit into wider institutional structures and the training that has been provided to members, are provided in Appendix A.

### 3.3 Appeals

The formal process for pursuing an appeal against a decision of the REFWG in respect of an individual's research independence is set out in Appendix B. The existence of an appeals process will be noted in all correspondence relating to decisions of the REFWG, with a link to this section of the Code.

### 3.4 Equality Impact Assessment

The potential impact on equalities of the process set out above for the identification of independent researchers has been carefully considered. The most important determinant of research independence is the holding of a PhD. The Royal Conservatoire does not yet hold comprehensive data on staff holding PhDs, but a review of the available data indicates that the proportion of female to male staff holding an academic contract and a PhD is approximately 46:54 (n(F)=13; n(M)=15). Of these, all but one (F) staff member holds an eligible contract. This compares with a gender balance (F:M) across all eligible contracts of 47:53. We are therefore reasonably confident that this criterion, which will be the main indicator of research independence, does not present a significant impact on gender equalities. The data currently available does not permit us to assess the impact on equalities relating to ethnicity or disability, or other equalities; this will be reviewed as we establish consistent data on staff holding PhDs.

The secondary 'basket' of criteria for research independence is to some extent shaped by the need to establish transparent and consistent criteria that are amenable to audit, and we are mindful of the potential for a greater impact on equalities in determining independence via this route. Data on Conservatoire professorships indicates that holders of personal chairs are more likely to be male: for those holders of a professorship who are NOT also holders of PhDs, the proportion of men is higher at 66:34, though the numbers are very small (n(M)=6; n(F)=3). Data on principal supervisors indicates that principal supervisors who do not themselves hold a PhD are also more likely to be male in the proportion 60:40, though again the numbers are very small (n(M)=3; n(F)=2). In applying these and other criteria in respect of research independence, we shall be especially careful to keep any impact on equalities under careful scrutiny.

## Part 4: Selection of outputs

### 4.1 Policies and procedures

All staff with significant responsibility for research will be assigned a member of the REFWG to work with them to gather initial information about that staff member's research outputs, based on the individual's profile on the Conservatoire's current research information system PURE. This information will encompass, as a minimum:

- All eligible research outputs
- Date of publication for each (or the date it was first in the public domain)
- Indicators of quality, taking account of the criteria of
  - Significance
  - Originality
  - Rigour
- Any Indicators of impact, taking account of the criteria of
  - Reach
  - Significance
- Any other information considered important by the member of staff, or the assigned member of the REFWG.

Any outputs without a record in PURE will be added at this point, together with any additional notes or indicators uncovered in this initial discussion.

#### *Initial decisions*

REFWG will then make an initial selection of outputs, based on the information provided by researchers (working with a REFWG member), and the summary report from HREDG. In making this selection, REFWG will refer to:

- The quality of each proposed output
- The contribution of a given output to a cohesive submission
- The 'fit' with the wider institutional research strategy

If necessary, the REFWG may refer to additional external specialists in making their initial judgement.

In the minute of the initial decisions meeting(s), the rationale for each decision will be formally noted, in relation to the terms of reference given above. After the initial decisions have been made, the provisional results will be referred back to the HREDG for an Equality Impact Assessment (EIA). When the EIA has been completed, the initial selection of outputs will be confirmed by REFWG in a further minuted meeting and staff will be individually informed of the initial decision. At this stage, any member of staff who wishes to appeal the initial decision of the REFWG should contact the convener of the REF Appeal Panel (see below).

#### *Detailed Data Gathering*

Following the initial decision of the REFWG, and in parallel with any appeal processes, the REFWG will work with all staff with significant responsibility for research, and the HREDG, to gather the detailed information on outputs required for the submission.

### Final Decisions

Following the detailed data gathering, the REFWG will confirm the draft final submission decisions of the institution. If any revisions are made to the initial decisions, the rationale for each revision will be formally noted according to the terms of reference given above. Following the draft final decision, the HREDG will complete an Equality Impact Assessment (EIA). When the EIA has been updated, the draft final selection of outputs will be confirmed by REFWG in a further minuted meeting and staff will be individually informed of the decision.

At this stage, any member of staff who wishes to appeal the decision of the REFWG will have a final opportunity to do so by contacting the convener of the REF Appeal Panel (see below).

### 4.2 Staff, committees and training

REF Working Group (REFWG) is responsible for selecting outputs for the submission. Details of this group, including role descriptions, terms of reference and record-keeping procedures, together with how the group fits into wider institutional structures, and the training that has been provided to members, are provided in Appendix A.

### 4.3 Appeals

The formal process for pursuing an appeal against a decision of the REFWG in respect of the selection of individual outputs is set out in Appendix B. The existence of an appeals process will be noted in all correspondence relating to decisions of the REFWG, with a link to this section of the Code.

### 4.5 Disclosure of circumstances

Concurrent with this, each member of staff with Significant Responsibility for Research will be assigned a member of the HREDG who will contact them to ensure that they have the opportunity to disclose voluntarily any relevant personal circumstances that may have impacted on their ability to produce the minimum of a single research output during the assessment period. Drawing on the REF 2021 Guidance on Submissions and the thresholds set out therein, HREDG will compile a summary report on each member of staff with significant responsibility for research, to include:

- Where relevant, a note of any clearly-defined personal circumstances that apply, and the related implications for:
  - Any potential reduction in the total number of outputs required in the submission as a whole; or
  - The waiving of the requirement for a minimum of 1 output.
- Where relevant, a note that more complex personal circumstances may apply and the HREDG view on an appropriate response to these circumstances (*N.B. details of these personal circumstances will remain confidential to HREDG at all times.*)

### 4.4 Equality impact assessment

The Royal Conservatoire is not in a position to undertake 'mock' REFs or similar, so we are unable to point to specific evidence at this stage regarding the potential impact on equalities of the proposals above. Nonetheless, we would wish to select a body of outputs

that broadly reflects the characteristics of all staff with 'significant responsibility for research' and for this reason, will complete a full EIA when the draft submission has been finalised (see above), using the results of this assessment to inform the final submission.

## Appendix A: REF Staff and Committees

This section sets out detailed information on the groups that will take part in the submission process, explaining their role, constituent personnel, how the group was formed and the training that underpins their activities.

A key consideration in the design of the Royal Conservatoire's approach to the REF submission is the small specialist nature of our institution, where individual members of staff often perform multiple roles that in larger institutions would be carried by central departments.

The three groups are therefore small, but have clearly defined roles, and special care has been taken to ensure that the appeals process is entirely independent of the main decision-making process.

### REF Working Group (REFWG)

#### Rationale

The REFWG has general responsibility for coordinating the Royal Conservatoire's REF submission, identifying independent researchers with significant responsibility for research and making the judgments on quality that inform the decision to include individual outputs, according to the terms of reference in Section 4 of this Code. It reports via the Research and Knowledge Exchange Committee to the Academic Board of the Royal Conservatoire, convened by the Principal. All meetings will be minuted: an unreserved minute of matters that do not relate to individuals will be published on the Conservatoire's portal; a reserved minute of matters relating to individuals will be stored securely and the relevant sections made available to the individuals concerns on request.

#### Personnel

Professor Stephen Broad (Director of Research and Knowledge Exchange)

[s.broad@rcs.ac.uk](mailto:s.broad@rcs.ac.uk) 0141 270 8329

Dr Lois Fitch (Assistant Principal (Academic))

[assistantprincipal@rcs.ac.uk](mailto:assistantprincipal@rcs.ac.uk) 0141 270 8312 (PA, Monica McMahon)

Dr Laura Bissell (Lecturer in Research and Contemporary Performance Practice)

In attendance: A member of the HREDG.

#### How the group was formed

The REFWG comprises of a group of staff with previous experience of research assessment processes and a breadth of academic expertise that covers the range of the (single) UoA that the Royal Conservatoire will submit to – Broad coordinated the Conservatoire's submission to REF 2014. Broad is chair of the Royal Conservatoire's Research and Knowledge Exchange Committee. Fitch brings expertise in music research across musicology, performance studies and performance, and experience from previous research assessment exercises; Bissell brings expertise in theatre and drama studies, contemporary performance practice and practice research. The REFWG may seek further expertise and nominations for the further members will be received and considered by the Research and Knowledge Exchange Committee.

## Defined Roles

The members of REFWG have a range of disciplinary expertise and will be the first point of contact for staff from their respective areas of expertise. They will therefore work with staff to resolve queries about the REF, to gather initial information on researchers and outputs, and to take an expert view on the quality of individual outputs and output profiles. Broad will convene the group, ensuring objectivity and consistency across the submission. Notwithstanding these respective responsibilities, the decisions of the REFWG will in all cases be taken jointly.

## Training

Broad is a member of the REF Scottish Managers Group and will take overall responsibility for training REFWG members. All members of the REFWG will receive further specific training from the Royal Conservatoire's Equality and Diversity Officer to ensure that they are fully aware of the implications of the Equality Act 2010 on the decision-making process; this training will draw on the training material produced by the Equalities Challenge Unit, and on the training provided by AdvanceHE and delivered in Edinburgh in April 2019.

## Human Resource, Equality and Diversity Group (HREDG)

### Rationale

The HREDG has general responsibility for supporting the Royal Conservatoire's REF submission by providing and processing data on staff, and ensuring that processes and decisions take full account of all relevant personal circumstances and fully meet the requirements of the 2010 Equality Act. All meetings will be minuted: an unreserved minute of matters that do not relate to individuals will be published on the Conservatoire's portal; a reserved minute of matters relating to individuals will be stored securely and the relevant sections made available to the individuals concerns on request.

### Personnel

Mrs Jackie Russell (Director of Human Resources)

[j.russell@rcs.ac.uk](mailto:j.russell@rcs.ac.uk) 0141 270 8338

Ms Lydia Demaison (Deputy Director of Human Resources)

[l.demaison@rcs.ac.uk](mailto:l.demaison@rcs.ac.uk) 0141 270 8228

Ms Roz Caplan (Equality and Diversity Officer)

[r.caplan@rcs.ac.uk](mailto:r.caplan@rcs.ac.uk) 0141 270 8228

In Attendance: A member of the REFWG

### How the group was formed

The HREDG comprises of a group of staff with significant experience in human resources, equality and diversity. Russell and Demaison are the senior HR officers of the institution, while Caplan is the institution's designated Equality and Diversity Officer. Russell, Demaison and Caplan are also members of the institution's Equality and Diversity Forum.

## Defined Roles

Demaison and Caplan bring expertise in human resources and equalities and will take principal responsibilities in these areas respectively. Demaison will therefore take responsibility for coordinating all relevant human resource data (including information on

contracts and hours and declared personal circumstances) while Caplan will be responsible for ensuring that all steps of the REF submission process comply with the relevant legislation. Russell will convene the group, ensuring objectivity and consistency in the group's deliberations. Notwithstanding these respective responsibilities, the decisions of the HREDG will in all cases be taken jointly.

#### Training

Caplan is responsible for the training of other staff involved in the process, and draws on more than 20 years of experience as an equality and diversity specialist. In preparing for REF 2014, she attended the REF and Equality event (24 November 2011, Edinburgh) and has supplemented this with participation in AdvanceHE training provided in April 2019.

#### REF Appeal Panel (REFAP)

##### Rationale

The REFAP will oversee and form a judgment on any staff appeals of the decisions of the REFWG. To ensure that the appeal is considered independently of the REFWG's original decisions, there is no overlap in the membership of these groups. The REFAP operates within the terms of reference set out in Sections 4 and 5 of this Code.

##### Personnel

Professor Jeffrey Sharkey (Principal)

[principal@rcs.ac.uk](mailto:principal@rcs.ac.uk) 0141 270 8227 (PA, Helen Boocock)

The Director of the relevant School or Unit

Dr Gordon Munro (Director of Music), or

[g.munro@rcs.ac.uk](mailto:g.munro@rcs.ac.uk) 0141 270 8304 (PA, Rachel McKean)

Professor Hugh Hodgart (Director of Dance, Drama, Production and Film)

[h.hodgart@rcs.ac.uk](mailto:h.hodgart@rcs.ac.uk) 0141 270 8320 (PA, Dawn Forrest)

Mr Andrew Comrie (Director of Fair Access)

[a.comrie@rcs.ac.uk](mailto:a.comrie@rcs.ac.uk) 0141 270 8275 (PA, Monica McMahon)

One other member of the academic staff of the relevant School not otherwise involved in the process.

##### How the group was formed

The REFAP comprises of senior academic staff who are not otherwise involved in the process of selection.

##### Defined Roles

Sharkey will convene the panel. There are no further defined roles on the REFAP.

#### Training

Members of the REFAP will receive training on the REF requirements from the convener of the REFWG, and from the Royal Conservatoire's Equality and Diversity Officer, to ensure that they are fully aware of the implications of the Equality Act 2010 with respect to the REF (this training will draw on the training material produced by AdvanceHE)..

## Appendix B: Code of Practice for Appeals relating to REF matters

Members of staff may appeal any decision of the REFWG by applying, in writing, to the convener of the REF Appeal Panel (REFAP). There is no overlap in the membership of the REF Appeal Panel with either the REFWG or the HREDG. In making its decision, the REFAP may take evidence from the member of staff, the REFWG and the HREDG.

Three grounds for appeal will be considered by the REFAP:

1. Appeal on the grounds that **the judgement of the REFWG was based on incomplete information**. In such cases, the member of staff should set out the additional information that they consider relevant to the decision of the REFWG.
2. Appeal on the grounds that **due process was not followed**. In such cases, the member of staff should set out the deviation from due process given in this document.
3. Appeal on the basis of **actual or perceived discrimination** relating to a relevant 'protected characteristic' according to the Equality Act 2010.

Decisions of the REFAP will be communicated to staff timeously, in writing.

A timeline will set out the main period in which we expect any appeals to be considered – after the initial decisions of the REFWG. However, it is recognised that a member of staff may appeal at any stage in the process, and the following tables summarizes the deadlines for appeal and how long the process will take.

Stage	Deadline	Response
Following initial decisions	2 weeks after intimation of initial decision	Within 4 weeks of receipt of appeal
Following final decisions	1 week after intimation of final decision	Within 2 weeks of receipt of appeal

Membership of the REFAP is given in Appendix A.



## Appendix C: Outline of proposed Academic Workload Model

The proposed Academic Workload Model identifies numbers of hours (or proportion of total hours) in each of five categories of activity. The Academic Workload Model is not an activity plan, but a means of identifying the broad categories of activity, and time allotted to these, for the purposes of planning and management.

Proposed activity types:

- Teaching (all class and 1-2-1 teaching, lecturing, and research supervision)
- Research (work that meets the REF definition of research)
- Teaching-related Administration (assessment and feedback, module and course coordination)
- Leadership (management of programmes, staff and units)
- Professional Activity (scholarship, research development, CPD etc.)

All staff will have 175 hours per annum, pro rata, allocated for Professional Activity.

All independent researchers will normally have an allocation for research. Allocations of 250 hours or more for full time staff will indicate 'significant responsibility for research' for the purposes of HESA and REF returns, and will be granted contingent on the member of staff producing an annual research plan. Thresholds for pro-rata staff are given in the table below.

Proposed 'flags'

- Significant Responsibility for Research (SRR) – 250 hours or more allocated to research for FT staff, or according to the thresholds in the table below for pro-rata staff.
- Significant Responsibility for Teaching (SRT) – 250 hours or more allocated to teaching for FT staff, or according to the thresholds in the table below for pro-rata staff.
- Significant Responsibility for Leadership (SRL) – 250 hours or more allocated to management for FT staff, or according to the thresholds in the table below for pro-rata staff.

Proposed 'profiles'

- SRR only – e.g. Research Fellow or similar
- SRT only – e.g. Lecturer in a professional study
- SRL only – e.g. Programme Leader not engaged in research
- SRR-SRT – e.g. Lecturer engaged in teaching and research
- SRR-SRL – e.g. Programme Leader with research profile
- SRR-SRT-SRL – e.g. Head of Department or Programme engaged in teaching and research
- SRT-SRL – e.g. Head of Department or Programme not engaged in research

Thresholds for proposed 'flags'

<b>FTE</b>	<b>THRESHOLD FOR SIGNIFICANT RESPONSIBILITY (RESEARCH; TEACHING; LEADERSHIP)</b>	<b>HOURS FOR PROFESSIONAL ACTIVITY</b>
<b>1.0</b>	250	175
<b>0.9</b>	230	158
<b>0.8</b>	210	140
<b>0.7</b>	190	123
<b>0.6</b>	170	105
<b>0.5</b>	150	88
<b>0.4</b>	130	70
<b>0.3</b>	110	53
<b>0.2</b>	90	35

## Appendix D: Development of the Code and Academic Workload Model

The principles and processes set out in this Code of Practice and the associated Academic Workload Model were subject to a six-week consultation period during which staff provided feedback on the proposals and suggested refinements and clarifications. This appendix summarises the outcomes of that consultation and sets out the changes made to the Consultation Draft as a result of staff feedback.

The Consultation Draft was sent to all academic staff of the Royal Conservatoire of Scotland, together with a link to an online form to gather feedback on key consultation questions, and wider comments on the Code and Workload Model. All academic staff were also invited to attend one of three consultation events, which were scheduled at different points in the working day to take account of the different working patterns of Conservatoire staff.

28 respondents completed the formal online consultation. Of these:

- 93% considered the proposed approach to identifying staff with Significant Responsibility for Research to be appropriate to our operating context, with 90% considering the proposed approach to meet the key criteria of transparency, accountability, consistency and inclusivity;
- 72% considered the proposed threshold for Significant Responsibility for Research to be appropriate to our operating context;
- 6 offered specific comments on this part of the process, with most of these concerning what would be considered an appropriate quantity of output for the allocated hours, and some suggesting that strict pro-rating from the full-time threshold may not be appropriate (see below);
- 86% considered the proposed approach to identifying independent researchers to be appropriate to our operating context, with 90% considering the proposals to meet the key criteria of transparency, accountability, consistency and inclusivity;
- 5 offered specific comments on this part of the process, with most of these testing the proposed criteria and seeking clarifications (see below);
- 83% considered the proposed approach to selecting outputs to be appropriate to our operating context, with 83% also considering the proposed approach to meet the key criteria of transparency, accountability, consistency and inclusivity;
- 6 offered specific comments on this part of the process, with most of these seeking detailed clarification of points that are the locus of the Guidance on Submissions. The clarity of the proposals was welcomed by 2 respondents ('Easy to follow and understand; transparent in comparison to experiences at other institutions');
- 86% considered the proposed approach to appeals to be appropriate to our operating context, with 86% also considering the proposals to meet the key criteria of transparency, accountability, consistency and inclusivity;
- 82% considered the proposed Academic Workload Model to be appropriate to our operating environment, with 76% agreeing that the thresholds for Significant Responsibility were appropriate, and 79% considering the proposals to meet the key criteria of transparency, accountability, consistency and inclusivity;

- 9 offered specific comments on the Academic Workload Model, with the majority of these relating to the specific allocations proposed and to the implementation of the model in practice.
- 3 offered general comments on the Code and Academic Workload Model: each of these was positive and supportive of the processes set out: ‘The Code and its processes take very good account of the specific staff profiles and work activities of the Conservatoire which are significantly different from other academic areas. It is clear, not too complex, and is intelligible, as well as transparent, consistent and inclusive’.

16 academic staff attended a consultation event, 6 from the Research and KE department; 6 from the School of Music and 4 from the School of Drama, Dance, Production and Film.

Discussion at these events centred on:

- Criteria for research independence, particular the incorporation of further indicative criteria (see below);
- The thresholds for ‘significance’ in the draft Workload Model (see below).

Discussion at a specially-convened meeting of the Academic Management Committee centred on procedural details and enhancing consistency across the Consultation Draft document and the processes it set out (see below).

#### Principal amendments to the Consultation Draft made as a result of staff feedback

Section	Amendment	Why
3.1	‘Basket’ of additional criteria for Research Independence extended to include supervision of doctoral students.	Feedback from staff attending consultation event.
3.1	Time ranges for individual criteria within the ‘basket’ made consistent by reference to the assessment period.	Feedback from Academic Management Team.
3.1	Criterion on ‘External research funding’ made more precise by footnoted reference to HESA definitions.	Feedback from Academic Management Team.
3.1	Criterion on personal chairs made more precise by explicit reference to these being awarded by the Royal Conservatoire of Scotland.	Feedback from Academic Management Team.
4.5	Language relating to process for disclosing personal circumstances revised to reflect the proposed approach more clearly.	Feedback from the Equality and Diversity Officer.
Appendix A	Constitution of REF Appeal Panel amended to take account of	Feedback from Academic Management Team.

additional academic unit (Directorate of Fair Access).

<b>Appendix C</b>	Workload Model retitled 'Academic Workload Model' to reflect its purpose more precisely.	Feedback from Academic Management Team.
<b>Appendix C</b>	All thresholds for 'significance' in the Academic Workload Model made consistent where they were initially differentiated.	Feedback from staff attending consultation event; and from survey responses; and from the Academic Management Team.
<b>Appendix C</b>	Thresholds for 'significance' for part-time staff restructured from a simple pro-rating in the Consultation Draft, to ensure that the hours are genuinely 'significant' for staff on smaller fractional contracts.	Feedback from staff attending consultation event; and from survey responses.