

# ROYAL CENTRAL

SCHOOL OF SPEECH & DRAMA · UNIVERSITY OF LONDON

## CODE OF PRACTICE FOR REF 2021

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# THE ROYAL CENTRAL SCHOOL OF SPEECH AND DRAMA, UNIVERSITY OF LONDON

## CODE OF PRACTICE FOR REF 2021

### **1. INTRODUCTION**

The purpose of this document is to make clear to academic staff at The Royal Central School of Speech and Drama, University of London (henceforth Central) the basic principles, aims, policies, criteria, and governance structures that will lead to the School's submission to the Research Excellence Framework in 2021. The Code of Practice has been arrived at through an open process of consultation with those staff. It was developed during 2019 building on discussions, initiatives and changes undertaken during the REF 2021 census period and further revised in September 2020 accounting for the delays and amendments necessitated by the impact of COVID-19.

#### **1.1 Context of REF 2021**

Central has taken part in all research excellence exercises since 1996, including the Research Assessment Exercise (RAE) in 2008 and the Research Excellence Framework (REF) in 2014. Like its predecessors, the Research Excellence Framework (REF) 2021 is the process of assessing the quality of research carried out in all UK Higher Education Institutions (HEIs). It is undertaken by the UK's four higher education funding bodies: Research England; the Scottish Funding Council; the Higher Education Funding Council for Wales; and the Department for the Economy, Northern Ireland. Apart from having the aim of ensuring the UK's research base remains dynamic and world-class across the whole spectrum of subject areas, the REF has three principal policy objectives:

- (1) to provide accountability for public investment in research and to provide evidence of its wider benefits;
- (2) to provide benchmarking information and establish reputational yardsticks;
- (3) to inform the selective allocation of quality research (QR) funding to UK HEIs.

The assessment is carried out by a process of expert peer review through a number of sub-panels corresponding to each of the 34 discipline-based 'units of assessment' (UOAs). Four broader main panels provide leadership and guidance to the sub-panels. Institutions are invited to make submissions to each of the UOAs/sub-panels as per their disciplinary specialisms. Each submission is then assessed in terms of the quality of research outputs, the wider impact of research, and the vitality and sustainability of the submitting unit's research environment. The overall REF quality profile for the institution is comprised of the scores for these three sub-profiles: outputs (60%), impact (25%), and environment (15%). Because Central is a single-subject institution, we will be submitting to one UOA (33 – 'Music, Drama, Dance, Performing Arts, Film and Screen Studies') under Main Panel D. We will be guided by the provisions related to Main Panel D in the 'Guidance on submissions'.

It is a requirement of the REF that each submitting institution develops and disseminates internally a Code of Practice that ensures the fair and transparent identification of staff with significant responsibility for research; and ensures that decisions taken when identifying

independent researchers and the selection of outputs to be included in the School's submission adhere to the REF's four core principles of transparency, consistency, accountability, and inclusivity.

## 1.2 The Purpose of Central's Code of Practice

Central needs to identify the group of staff to be included in the School's submission, along with evidence of the research produced during the publication period, examples of impact underpinned by research in the unit, and the structures and environment that support research and its impact. The purpose of the Code of Practice is to document the core principles, policies, procedures, criteria, and governance structures underpinning these decisions.

Where academic staff have a contractual obligation to undertake research, Central is required to submit 100% of Category A eligible staff. Category A eligible staff are defined as academic staff with a contract of employment of 0.2 FTE or greater, including fixed-term and part-time staff, on the payroll of the submitting institution on the census date, and whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff on 'research only' contracts must meet the definition of an independent researcher. Staff meeting either definition will form the group of eligible staff who will be submitted to REF 2021. The Code of Practice will therefore address the means by which the School will:

- Determine research independence of staff on research only contracts;
- Determine academic researchers under the REF's definition of Category A eligible staff;
- Select outputs for submission.

The principles of transparency, consistency, accountability, and inclusivity that govern these three processes are described in the Code of Practice (see section 1.4). The Code is also written in accordance with Central's Single Equality Scheme (2015) — the umbrella document that brings together in one place all of its policies regarding equality of opportunity and the diversity of the School's community (see Annex A). It is designed to ensure that in all our decision-making regarding staff with significant responsibility for research (including the selection of outputs and the preparation of impact case studies) we both follow and are seen to promote best ethical practice and adhere to the four principles governing REF 2021.

## 1.3 Actions Taken Since 2014

Both at an institutional level and within the structures of the Research department, Central has sought to embed equality and diversity within all its policies and activities.

### 1.3.1 *Equality and Diversity at Institutional Level*

Central has had the following institutional committees for EDI since 2014. **Equality and Diversity Committee (EDC, 2008–2018); Access, Participation, Progression, and Inclusion Committee (APPI, 2018–present, shortened to Inclusion Committee from July 2019 with revised Terms of Reference from 7 October 2020 [hereafter, for the purposes of this document, referred to as Inclusion Committee]); Diversity and Inclusion Committee (2019–present).** Central's Equality and Diversity Committee, in operation between 2008 and 2018, replacing the earlier Equal Opportunities Monitoring Committee chaired by the then Deputy Principal (Academic) and operating across the whole School, had representation from the Research department. The current Chair of the Research Ethics and Integrity Sub-committee served as Chair of the Equality and Diversity

Committee between 2013 and 2016. Reporting annually to the Board of Governors, the Committee took a lead in promoting a culture of diversity which values equality of opportunity throughout the School, introducing the Single Equality Scheme and a series of statements on Equality (see Annex A) in 2015, embedding equality and diversity more closely into the School's committee structures — all committees now have standing equality and diversity agenda items, identifying and promoting best practice across the School (including a working party structure to review work on gender diversity, mental health, and socio-economic factors in education), and closely reviewing the School's equality and diversity data to ensure legal compliance (see Appendix 3 for 2016 Terms of Reference). Following the outcome of an effectiveness review (Autumn 2017) and recommendation from the School's Executive Management Group, on 13 May 2018 the School's Board of Governors approved the terms of reference for the new Access, Participation, Progression, and Inclusion Committee (shortened to Inclusion Committee from July 2019). In addition to operational matters — promoting and embedding effective equality and diversity practice within the School — between 2018 and September 2020 the Inclusion Committee oversaw the development and implementation of Widening Participation and Access (see Appendix 4). The Inclusion Committee was also tasked with safeguarding the School's legal compliance with the Equality Act 2010. Chaired by the Director of Operations until September 2020, the Inclusion Committee provided an annual report to the Executive Management Group and the Board of Governors, commenting on training offered to staff and students, advising on the management, compliance and success of equality, diversity and inclusivity, and monitoring equality and diversity statistics.

In 2018, the Board of Governors commissioned a report on race equality at Central (the Halpin Partnership Report). The Halpin Partnership Report acknowledges 'positive activities taking place across disability, gender, race, and LGBTQ+ equality', and 'that many of these had improved and/or expanded in recent years'. Good practices were identified in unconscious bias training; equality, diversity, and inclusion in staff appraisal; a range of race and ethnicity PhD initiatives; and a research project to gather evidence from Black and Global Majority students in the School to identify obstacles to Black and Global Majority PhD study. An Equality, Diversity and Inclusion Specialist began work in January 2020 to further embed and enhance equality, diversity, and inclusion within all aspects of the School's work, and further consideration was given to refining the committee structure to ensure the embedding of EDI work at all levels of the institution.

As of the commencement of the 2020/21 academic year, EDI work at Central is overseen by three committees: the (Governors') Diversity and Inclusion Committee, which provides monitoring and oversight of all equality, diversity, participation, and inclusion work at the School; the Inclusion Committee, which oversees strategic and operational EDI work; and the Independent Equity Committee, formed of external industry professionals and academics, which acts as an external consultation for all EDI work.

In March 2019, to provide assurance to the Governing Body in relation to the effective promotion and progression of equality, diversity, participation, and inclusion across the entire institution, the Governing Body introduced a new Diversity and Inclusion Committee (see Appendix 7). The (Governors') Diversity and Inclusion Committee, of which the Chair of the Equality Impact Assessment (EIA) panel is a member, receives regular updates from the Inclusion Committee and has a remit to monitor progress against approved actions and targets, to scrutinise data and provide recommendations. The Diversity and Inclusion Committee is part of the reorganisation of governance committees and their memberships across the School introduced in 2019 to widen discussion on key areas of strategic priorities and to further improve transparency and inclusivity in line with the new regulatory environment. In its monitoring role, the Diversity and Inclusion Committee recommended changes to the Inclusion Committee in the Summer of 2020 to ensure initiatives to repair the curriculum, recommended in the Halpin Report, were met through an enhanced system

of oversight and accountability which could be effectively overseen by the Governors' Diversity and Inclusion Committee.

Revised and expanded Terms of Reference for the Inclusion Committee from October 2020 (see Appendix 5), reflect Central's increased commitment to ensuring greater focus on inclusivity in all its forms. Recommendations from the Halpin Report were supplemented by work developed from January 2020 related to repairing the curriculum, instituting far-ranging pedagogical change and attending to School-wide structures, including academic recruitment processes. An anti-racist statement and action plan published in June 2020 demonstrates Central's commitment to working with staff, students and alumni to achieve these goals.

As a consequence, the Inclusion Committee is now comprised of a number of working groups and projects, including: the Access and Participation Working Group; Prevention of Sexual Harassment and Safe Reporting Working Group; Global Majority Staff Network; Inclusion Committee; Repairing the Curriculum Working Group; Inclusion Surgeries.

Finally, an Independent Equity Committee (see Appendix 6), appointed from 1 October 2020, comprised of 'critical friends' from the theatre, film and television industry and academics with a proven record in anti-racist practice, ensures external consultation and oversight on equality, diversity and inclusion strategies.

The chart below indicates the current structure of EDI committees at Central.

<p><b>(Governors') Diversity and Inclusion Committee (D&amp;I)</b> (see Appendix 7) Oversight, accountability and assurance of all EDI issues at Central</p>	
<p><b>Inclusion Committee</b> (see Appendix 5) The IC is an internal committee responsible for EDI strategies in consultation with the IEC and reporting to the D&amp;I</p> <p>Working Groups report to the IC</p>	<p><b>Independent Equity Committee</b> (see Appendix 6) The IEC is formed of industry professionals and academics external to the university and provides external consultation and accountability in the role of 'critical friends' to the institution. The IEC reports directly to the D&amp;I</p>

### Staff training

Staff have been provided with a wide range of training since 2014. Termly faculty days have offered specific training in a number of areas including: working with care leavers (in house delivery, 2014); mental health, boundaries, and referral workshop (delivered by MIND, 2015 and part of Central's support for the Mental Health Charter for the Arts); 'working with shame' (delivered by a psychologist from the University of Roehampton, 2015); trans awareness (delivered by MIND, 2017); Responding to Victims of Sexual Assault (delivered by USV React 2018, 2019). Unconscious bias training was delivered to all staff by AdvanceHE's Equality Challenge Unit in 2018. On 22 March 2019, Central introduced an online module for staff (provided by Epigeum) on 'Responding to Disclosures of Sexual Harassment and Violence' (Epigeum, [www.epigeum.com/courses/support-wellbeing/responding-disclosures-sexual-violence-guidance-staff](http://www.epigeum.com/courses/support-wellbeing/responding-disclosures-sexual-violence-guidance-staff)). Developed in collaboration with an international range of higher education experts and professional practitioners, it provides interactive and comprehensive training on the first response to disclosures. Central introduced mandatory anti-racist training sessions for all staff, on

microaggressions and allyship, delivered by Dr. Muna Adbi of Sheffield Hallam University beginning in July 2020 and running through to November 2020. Central also introduced the Employee Assistance Programme (EAP) at the beginning of the 2016–17 academic year. This is a 24-hours-a-day, 7-days-a-week, 365-days-a-year service to support staff with personal, health, and wellbeing issues.

### **Initiatives beyond Central**

Central, as a member of both Conservatoires UK and the Federation of Drama Schools is working alongside institutions within its sector to benchmark and compare actions. Staff have also been involved in a range of further initiatives outside Central: as a member of the Working Group convened by the Standing Conference of University Drama Departments to provide guidelines on sexual harassment; leading workshops with LGBTQ+ communities; running the Department of Feminist Conversations at Tate Exchange and the Royal Court Theatre (2019); leading workshops on women's suffrage and feminist participation in the public sphere; co-authoring equality and diversity policies and action plans for artistic organisations; developing policies on dignity and respect at work and safeguarding; and acting as Equality and Diversity Champion(s) in governance roles in the charity sector. In 2018 Central researchers delivered long table events at the Association for Theatre in Higher Education and American Society for Theatre Research annual conferences exploring material and structural inequalities in areas of care, ethnicity and motherhood. The appointment of a Visiting Research Fellow with expertise in the development of Arts Council England's creative case for diversity has also allowed for three salon events in 2018–19 bringing in external guests with experience of developing arts practice with an equality and diversity agenda to promote initiatives and discuss sector best practice. In 2018–19, annual appraisal forms were amended to include targets related to equality, diversity, and inclusion for all staff.

### **Specialist dyslexia tutors**

Staff benefit from the expertise of a team of specialist dyslexia tutors based at the institution. In 2017, this team won the Institutional Award at the ADSHE (Association of Dyslexia Specialists in HE) in recognition of their contribution to the promotion, support, diagnosis, or recognition of dyslexia, learning differences, and neurodiversity within the institution.

### **Gender pay gap statement**

In March 2018, Central published its first Gender Pay Gap Statement. The mean Gender Pay Gap was 2.5%. Central's mean Gender Pay Gap was 11.6% lower compared to the HE sector average of 14.1%. In March 2019, the School published its second Gender Pay Gap Statement. The mean Gender Pay Gap was 1.1%; this represents a 1.4% reduction compared to the March 2018 statement that confirmed a mean Gender Pay Gap of 2.5%. In comparison to the rest of the HE sector, Central's mean Gender Pay Gap is 12.6% lower compared to the sector average of 13.7% (see Annex B). For 2020, Central's mean Gender Pay Gap of 4.95% is 9.75% lower compared to the English sector average of 14.7% and 12.35% lower compared to the Office for National Statistics (ONS) Annual Survey of Hours and Earnings (ASHE) of 17.3%.

### **The Health and Safety Management Committee (HSMC)**

The School's Health and Safety Management Committee (HSMC) is responsible for monitoring staff and student health and wellbeing (see Appendix 8). As part of the annual monitoring process, department heads are invited to comment on accidents and health related incidents, and on staff and student absences within their areas of responsibility. A sub-group of the HSMC reviews the monitoring statements and makes recommendations to the full Committee for discussion and approval. With regards to improving mental health and wellbeing, examples of previous recommendations include: mental health awareness training for staff (delivered by MIND); review of the School's work related stress risk assessment in liaison with HSE guidance and active participation in National awareness

raising campaigns such as Mental Health Awareness week (usually in May each year) and World Mental Health day (usually in October each year). Responsible training in this area has worked towards promoting a responsible understanding of mental health issues, reducing discrimination, and better promoting a culture of inclusivity within the School. Staff also have access to ACA PPP Healthcare's 24/7/365 personal health and wellbeing advice and support service which offers access to specialist counsellors. HSMC provides an annual report on the management and compliance of health, safety, and wellbeing to the School's Executive Management Group (EMG) and to Audit Committee, a governors' committee that reports directly into the Board of Governors. Following review and recommendation from the Audit Committee, the Board of Governors approves the annual Health, Safety, and Wellbeing Report. Health, safety and well-being is a standing item on Board agendas.

### **The Conferment of Academic Titles Committee (CATC)**

The Conferment of Academic Titles Committee (CATC) is the authority for the conferment of Academic Titles, which confirms the expertise element that forms part of Central's Promotion and Reward Policy (see Annex C), implemented from the 1 August 2012, following consultation with all staff. CATC introduced a revised template for all applications in 2017 in line with recommendations made in the HEFCE Metric Tide report (Wilsdon, 2015, [re.ukri.org/news- events-publications/publications/metric-tide/](http://re.ukri.org/news-events-publications/publications/metric-tide/)) to ensure a fair, transparent, and consistent promotion process for all applicants and to better promote equality of opportunity. Each application is assessed on its own merits and assessed according to the criteria at each level (Senior Lecturer, Principal Lecturer/Reader, Professor). The Committee now allows applicants on fractional contracts or those with applicable circumstances to submit a reduced number of outputs. Applicable circumstances may include periods of absence from work for any number of equality-related circumstances which should be outlined in the application. Criteria are provided for all levels on both the Teaching and Research and the Teaching and Scholarship pathways, and these have been refined for 2019/20 and again for 2020/21 in line with feedback from the three external members of the Committee in 2018/19 and 2019/20.

### **The Promotions and Reward Committee (PRC)**

Central's Promotions and Reward Committee (PRC) is related to but operates separately from CATC and is designed to follow it. All posts paid in accordance with the national Framework Agreement are subject to job evaluation. The outcome of the job evaluation process confirms the grade for the post. Central implemented the Higher Education Role Analysis (HERA) job evaluation scheme in 2006. HERA is the most recognised and widely used job evaluation scheme in the sector. The purpose of HERA is to ensure equal pay for work of equal value for all roles paid on the national pay scale.

All applications eligible for grade promotion must submit factual evidence to PRC. The evidence must be in keeping with the approved grade profile. The most recent role profiles were reviewed and updated during the academic year 2016/17 to better ensure equality of opportunity. The review included a 'sense check' on evidence required to demonstrate higher graded duties in order to ensure particular requirements were not biased towards one particular staff group and/or activity.

In addition, and as part of their duty to monitor employment Key Performance Indicators, the outcome of the Promotions and Reward Committee is reported to the Finance and Employment Committee (with effect from March 2019, the outcome will be reported to the Human Resources Committee). Members of the Committee receive a breakdown of all applications by role, gender, ethnicity status, and known disability. This information helps the Committee identify any potential barriers or trends with the application process.

To gain grade promotion, all staff must submit evidence of meeting approved graded role



profiles. See Appendix 9 for Terms of Reference for both CATC and PRC.

### *1.3.2 Equality and Diversity at Departmental Level*

#### **Revision of the Committee structures**

The appointment of a full-time Director of Research in 2015 allowed for a widespread review of systems, processes, and personnel in relation to research that have placed equality, diversity, and inclusion at the fore. Moreover, this led to the development of clear lines of responsibility that has brought increased transparency, accountability, and consistency to research at Central and its decision-making structures: the appointment of an Associate Director of Research and a Head of Research Services; bringing the Research Degrees programme within the remit of Research Services; developing a more integrated committee structure including a Research Ethics and Integrity Sub-committee and Research Degrees Sub-committee reporting to Research Committee; a Research Committee and Sabbatical and Awards Committee reporting to Academic Board. Membership of all these committees is now rotational and includes non-ex-officio members (with representation from Early Career Researchers) and a commitment to inclusivity, specifically with reference to the protected characteristics laid out in the government's Equality Act 2010 (see Appendix 1 for the summary provided by Research England in the 'Guidance on codes of practice', Table 1, pp. 6– 11):

- age
- disability
- gender reassignment
- marriage and civil partnership
- political opinion
- pregnancy and maternity
- race
- religion and belief
- sex
- sexual orientation.

The appointment of the previous Chair of the Equality and Diversity Committee (2013–16) to the Chair of the Research Ethics and Integrity Sub-committee indicates a recognition that equality and diversity issues cannot be disentangled from ethics and integrity.

#### **Transparent internal funding schemes**

The introduction of clear, transparent internal funding schemes has allowed all staff on Teaching and Research pathways, including those on fractional and fixed-term contracts, to apply for funding for the pump priming, development, and realisation of projects. (A parallel system, with differently delineated but equivalent criteria, exists for those on Teaching and Scholarship pathways.)

The establishment of a Sabbatical and Awards Committee has allowed for transparent decision making.

#### **Research Assessment and Responsible Metrics Policy (2018)**

A Policy on Research Assessment and Responsible Metrics (see Annex D) was introduced in November 2018 to embed the recommendations of the HEFCE Metric Tide report (Wilsdon, 2015, [re.ukri.org/news-events-publications/publications/metric-tide/](http://re.ukri.org/news-events-publications/publications/metric-tide/)) into our approaches to assessing and evaluating research performance for the purpose of staff recruitment, probation, promotion, appraisal, and research support/internal funding decisions. The decision to implant these recommendations within a consideration of ethical peer review recognises that objectivity is a contested concept, but that it can be aimed for by

vouchsafing the rigorous adherence to stated assessment criteria, the fair and consistent treatment of all assessed work, and the declaration of any potential conflict of interest at the outset.

### **Equality, Diversity, and Inclusion Initiatives**

Since 2014, research at Central has significantly developed its support systems for staff through a series of initiatives targeting equality, diversity, and inclusion. Staff expertise has been promoted through focused funding in a range of areas relating to arts and health. Equality initiatives have also encompassed specific on-the-ground research projects around Black and Global Majority, LGBTQ+, and other interest groups in the School: work with equality and inclusion agendas in areas of health, housing, environment, and technologies of violence in the Global South; Black and Global Majority histories, trans, and queer communities; industry co-financed projects identifying and understanding the root causes of gender imbalance in theatre, dance, and opera organisations, and the challenges faced by theatre workers with caring responsibilities and their employers in British theatre.

A fundamental investment at the base of research activity has helped us focus equality, diversity, and inclusion beyond specific projects, with the effect of engendering it as part of the context in which we work. Such activities include: professional updating through interactions with leading experts in specialist research fora (as with the International Federation of Theatre Research's Queer Futures Working Group and International Black Theatre Summit, Dartmouth USA); equality, diversity, and inclusion forming part of the institutional research structure (PhD recruitment, supervisors' meetings, the work of the Research Ethics and Integrity Sub-committee); visiting research fellows with a focus on diversity from the USA, the West Indies, Australia, and South Africa to work with academic staff on promoting best practice; the appointment of a visiting research fellow to work on embedding the creative case for diversity into all our activities; targeted investment in supporting staff returning from periods of maternity leave (including the funding of teaching relief, conference attendance, and research assistance); support for staff with disclosed disabilities (through academic mentoring, writing support from a specialist dyslexia tutor, specialist copy-editing, and research assistance). Crucially, we have not introduced a 'one size fits all' approach to support but rather ensured that through regular meetings with staff — 23% of our Teaching and Research pathway staff have a disclosed disability — we have been able to monitor and shape support through direct and regular feedback from the researchers themselves.

### **Early Career Researchers**

Central recognises and values its Early Career Researchers (ECRs). We operate an open and transparent recruitment process to attract the very best researchers in the field, and on appointment, support their development as researchers and teachers, with a recognition of both individual (career development) and civic responsibilities (contribution to the discipline and institutional culture). Our strategy for supporting ECRs has involved: the introduction of advisors to ensure ECRs on both permanent and fixed-term contracts benefit from the advice of established researchers who work with them through our advising scheme, reading and feeding back on work in progress, assisting with the development of one-year and five-year plans, providing enhanced support and guidance in grant writing; encouraging and supporting nominations for prizes and awards; additional financial support (accelerated sabbaticals, teaching relief, enhanced support for attending conference and completing outputs). By meeting with them, the Director and Associate Director of Research try to provide a bespoke package of support to help them develop ethical research trajectories where they proactively engage in their own career development and lifelong learning. ECRs have a role on all Research department committees.

## 1.4 General Principles

Central is committed to its public sector equality duty as set out in Section 149 of the 2010 Equality Act. It operates due regard to the following in the exercise of all our activities:

- The elimination of unlawful discrimination;
- Advancing equality of opportunity between people who share a protected characteristic and those who do not;
- Fostering good relations in order to tackle prejudice and promote understanding between different groups, including those who share a protected characteristic and those who do not.

This duty informs the devising and delivery of all activities relating to research at Central, including its REF strategy. Further, as a leading research-intensive conservatoire, Central's REF decisions are guided by two considerations that are paramount: first, by the need to present a fully rounded picture of our research and its quality through our eventual submission — in the spirit of the Stern Review (2016); and second, by the need to ensure that decisions are taken in a transparent, consistent, accountable, and inclusive way. Additionally, the School is committed to the principle that participation or non-participation in REF 2021 be entirely non-prejudicial in relation to matters of individual staff development and career progression. Decisions taken by the REF 2021 Strategy and Delivery Group regarding the inclusion of individual researchers or decisions apropos the indicative scoring of outputs by the independent reviewers and their selection cannot be taken by School committees as either positive or negative factors when considering issues of promotion, progression, or extension of contract. (Please note: the REF 2021 Strategy and Delivery Group only receives and reports anonymised data and individual assessments are confidential, so cannot be used in promotion. The assessment of outputs for promotion is undertaken by referees selected by the applicant and reviewers selected by the School outwith the REF assessment process.) Please also note that the use of indicative scores cover the following processes: decisions regarding the composition of our REF submission, decisions determining outputs that meet the REF definition of research, and discussions with staff regarding expectations of their choice of pathway (see section 1.5 — i.e., 'pathway' refers here to staff progression via *either* the teaching and scholarship route *or* the teaching and research route).

Finally, to ensure that key policy decisions regarding staff and the selection of outputs are taken in an appropriate, fair, consistent, and ethical way, Central's REF 2021 Strategy and Delivery Group (see section 3.5) will observe the following four principles as advocated by the REF:

- a. **Transparency:** All processes for identifying staff with significant responsibility for research, determining research independence, and selecting outputs for inclusion in REF submissions should be transparent. This means: decision-making processes and policy will be based on published REF criteria; the Code of Practice will be drawn up in consultation with staff by a representative group of researchers constituting the REF 2021 Strategy and Delivery Group and published in an easily accessible format; the final Code of Practice will be communicated to all academic staff across the institution, including on the staff intranet, and to those absent from work; it will also be made publicly available on the Research pages of the School's website; all internal processes will be documented and effectively communicated to staff — a strategy for communicating how decisions are arrived at is included in the Code of Practice; processes of identifying staff with significant responsibility for research, determining research independence and the selection of outputs will be explained to staff through the programme of communication as documented in the Code (see section 1.5 below).

- b. **Consistency:** The principles governing the processes covered by the Code of Practice will be consistently applied across the institution: this means, the REF 2021 criteria will be objectively and fairly applied to all Category A eligible staff, regardless of seniority, pay- grade, or length of contract. The Code of Practice stipulates the principles to be applied to all aspects and stages of the process and at all levels within the institution where decisions will be taken.
- c. **Accountability:** The Code of Practice requires that all decisions be made accountable to the School by those responsible for them. This means that responsibilities for key decision-making will be governed by mechanisms, policies, and structures of oversight, as set out and defined in the Code of Practice, including appeal procedures related to non- academic matters of judgement. All individuals and committees involved in decisions regarding the identification of staff with significant responsibility for research, determining research independence, and selecting outputs for submission to the REF must be identified by role. All those with decision-making responsibilities will have training provided, particularly around issues of equality and diversity and unconscious bias (see section 3.5). Terms of Reference and core operating criteria for individuals, committees, and advisory groups involved with these processes will be readily available to all individuals and groups concerned (see Appendices to this Code of Practice).
- d. **Inclusivity:** The School's aim is to create an inclusive submission. This means that in identifying staff with a significant responsibility for research, and in selecting their outputs, the REF 2021 Strategy and Delivery Group will actively promote an inclusive environment to ensure that excellent work produced by *all* eligible staff, including those from underrepresented groups within the Higher Education sector, form part of our submission to REF 2021. Much of Central's research is conducted in areas where EDI is an intrinsic part of the research process.

The application of these principles is detailed in the sections below, where they are expanded on in the specific context of key policies covering the identification of staff, determining research independence, the selection of outputs for submission, appeals procedures, and the use of Equality Impact Assessments (EIAs).

## 1.5 Programme of Communication and Consultation

Communication and consultation with Central's academic staff are essential to the effective implementation of the Code of Practice and characterises our open approach to REF 2021 overall. Our Code of Practice was developed in the first instance through discussion with members of the REF 2021 Strategy and Delivery Group, open Research meetings held in March and May 2019, individual meetings with staff held by the Director and Associate Director of Research from January to May 2019, and a meeting of the Research Committee in March 2019. The Code of Practice has developed further through ongoing consultation after submission to Research England in June 2019 to reflect changes within the institution (including staffing changes and the impacts of COVID-19). Membership of the REF 2021 Strategy and Delivery Group — as laid out in Appendix 12 — is designed to be representative of different staff constituencies and interests, and includes representatives for ECRs, those on fixed- and part-time contracts, Black and Global Majority representation, staff with applicable circumstances such as maternity leave and staff with disclosed disabilities, Human Resources, as well as a staff representative group representing 90% of those with significant responsibility for research, the UCU. The process of consultation across the School, through designated staff research meetings, offers all staff the opportunity to comment on and contribute to the development of the Code of Practice prior to submitting the final draft for approval firstly through Research Committee and then at Academic Board during May 2019.

This continues a period of consultation that began in November and December 2016, when

Central opened up consultation with staff on academic role pathways, ratified through a voluntary process of self-selection, in order to determine which members of staff have significant responsibility for research. While we hold scholarship to be of equivalent value to research in the School, for the purposes of consistency, transparency, accountability, and inclusivity, we define research active staff specifically as those who are responsible for producing outputs that meet the REF definition of research understood as ‘a process of investigation leading to new insights, effectively shared’ (‘Guidance on submissions’, Annex C, p. 90). Through the consultation, detailed role profiles were developed which were designed to ensure parity in terms of rigour, opportunity, and support between the Teaching and Research and Teaching and Scholarship contract pathways. 72% of staff responding to the consultation agreed that the respective pathways provided parity in terms of rigour, opportunity, and support. 60% of staff responding agreed with the management proposal that staff should self-select which contract pathway they wished to be placed on. The Academic Board endorsed the conclusions of the consultation. Key points included:

- The new roles profiles be adopted and implemented with effect from 1 August 2017.
- The role profiles would be reviewed after 3 years.
- Clear guidance to be given to staff considering remaining on the Teaching and Research contract pathway about the expectations in terms both of the definition of research, the quality and number of outputs required, and the process by which judgements might be made internally as to whether research is likely to meet this threshold.
- Clarification that being on a Teaching and Scholarship contract does not prevent research activities, but can enable the development of those scholars who have aspirations to develop a research profile. In addition, staff on the Scholarship pathway would access funding support as do those on the Research pathway, specifically through the development of a Teaching Excellence Awards scheme that mirrors our Research Sabbatical and Awards scheme for projects meeting the REF definition of research.
- Clarification that teaching excellence remains central to both contract pathways.

The Board of Governors approved the implementation of the contract pathways with effect from 1 August 2017. Following self-selection, all academic staff were assigned to either a Teaching and Research or Teaching and Scholarship contract pathway with effect from 1 August 2017. Staff assigned to the Teaching and Research contract pathway are identified as having significant responsibility for research. This has been determined in full consultation with staff.

#### *1.5.1 Communications Strategy*

Our communications strategy comprises the following elements:

- Consultation processes — including through committee structures (Research Committee and Academic Board) and through all staff Research department meetings (these are held termly at Central);
- The publication of the Code of Practice on Central’s staff Intranet;
- The publicising of the Code of Practice via the School’s newsletter, communicating its key headlines;
- The use of Research department communications to ensure the Code of Practice is sent to any staff member on long-term leave of absence (including maternity and paternity leave), sabbatical or to anyone who may be working overseas;
- Communication with *all* staff on Teaching and Research and Research only contracts both directly through individual annual feedback meetings with the School’s Director of Research or Associate Director of Research and via email;

- Open office hours for consultation during the summer term 2019 with the Director of Research and Associate Director of Research and ongoing open office hours with the Director of Research through 2020, with flexible arrangements for staff to ensure that those involved in Central's management of REF were available for meetings and consultation with researchers.

Communications cover all aspects of REF decision-making relevant to staff, including both eligibility of individuals and selection of outputs. A communication plan detailing the development of the Code of Practice and the implementation of the entire REF 2021 submission for the School is detailed in Appendix 2 and incorporates changes made in relation to revisions to the Code of Practice undertaken in 2020. With COVID-19 we introduced a more flexible arrangement for the Director of Research and Head of Research Services' office hours to ensure that all staff with significant responsibility for research had access to research management to enable an effective updating of concerns, issues and changes to individual circumstances on a regular basis. This flexibility has enabled targeted support — research assistance, teaching buy out — to assist staff whose research and impact plans had been adversely affected by COVID-19. The staff feedback form was revised to ensure we were able to document the impacts of COVID-19 on all staff. Following advice from the Chair of the EIA panel, planning matters on REF 2021 were delegated to the core group of the REF 2021 Strategy and Delivery Group between March and August 2020. (For details on the Composition, Responsibilities and Roles of the REF 2021 Strategy and Delivery Group, see 3.5.1.) Work on the paper-based submission of the EIAs was suspended during this time, in response to academic staff concerns around increased workloads due to the move to online teaching as well as through the identification of EDI issues related to the impact of COVID-19 on staff with declared disabilities and those with caring responsibilities. Fortnightly meetings between the Chair of the REF 2021 Strategy and Delivery Group and the Chair of the EIA panel were introduced from 20 March 2020 to monitor the effects of COVID-19, and then to log those issues to understand their short-, mid- and long-term impacts and devise strategies to ameliorate them. These logs are feeding into the EIA panel meetings which recommenced in September 2020. The revisions made to this Code of Practice were undertaken in the summer of 2020 and draw on communication with academic staff following the initial submission of the document to Research England in June 2019 – through Research department mailings, Faculty Research meetings and targeted communications. We are satisfied we have done everything possible to ensure staff have received, read, and had the opportunity to feedback into the revised document.

## **1.6 Framework of Governance and Compliance**

The development and implementation of the REF 2021 strategy is delegated to the REF 2021 Strategy and Delivery Group (for Terms of Reference, see Appendix 12). Its purpose is to oversee and review the development of systems, policies, processes, strategy, and delivery in relation to the School's submission to the 2021 Research Excellence Framework. It is therefore the responsibility of the group to draft the Code of Practice and to ensure that — in accordance with the principles enumerated above — it is consistently applied throughout the entire implementation phase of REF 2021 (including identification of independent researchers, the selection of outputs, and final submission).

To ensure compliance with the School's Equality and Diversity policies, a smaller grouping of staff have formed an Equality Impact Assessment panel (EIA panel). The EIA panel comprises the Director of Operations, who served as Chair of the Inclusion Committee until September 2020); a member of the REF 2021 Strategy and Delivery Group who is also an ECR; and a co-opted research member of academic staff on a Teaching and Research pathway at Central, who is not involved in the Strategy and Delivery Group. The EIA panel will be responsible for developing an updated EIA pro forma (see section 4.2) and ensuring

that iterative EIAs are carried out during the selection period. The EIA panel conducts impact assessments in line with sector best practice: it circulates equality impact findings as and when they arise and seeks remedy through action as early as possible. The EIA panel advises both researchers and members of the REF 2021 Strategy and Delivery Group on a regular basis. The EIA panel's findings are shared with the REF 2021 Strategy and Delivery Group through the EIAs and verbal updates from the Chair of EIA panel which include assessment of REF processes and analysis of their impacts and any related actions that arise from them. The EIA written reports inject data driven insights into the developing submission profile as well as providing a means of documenting work already undertaken in relation to equality impacts (as they have arisen).

The REF 2021 Strategy and Delivery Group is itself a sub-group of the School's Research Committee, which reports in turn to Academic Board. Consequently, the overarching structures of governance for the School's REF submission recur to the School's Research Committee and its Academic Board, and it is these two bodies that will give final approval to the Code of Practice.

Executive responsibility for Central's REF 2021 submission is delegated to the School's Research Committee by Academic Board. Research Committee and Academic Board have no day-to-day operational involvement in REF — their role is to offer oversight and approval of the work of the REF 2021 Strategy and Delivery Group. It is the overriding responsibility of the Strategy and Delivery Group to ensure that the selection of the highest quality outputs for the School's submission is conducted in a responsible and ethical manner, following the four principles of transparency, accountability, consistency, and inclusivity and is in full compliance with the School's policies on Equality and Diversity (incorporating the Equality Act of 2010) and its Ethical Framework. All School policies related to the Code of Practice can be found in the Annexes A-F, including:

- Single Equality Scheme and accompanying policy statements (2015) (A)
- Gender Pay Gap Statement (2019) (B)
- Promotion and Reward Policy (2017) (C)
- Research Assessment and Responsible Metrics Policy (2018, revised 2019) (D)
- Open Access Policy (E)
- Research Output(s) Assessment Policy (F)

Membership and Terms of Reference for all relevant committees can be found in Appendices 3–11.

- Equality and Diversity Committee (EDC) (3)
- Access, Participation, Progress, and Inclusion Committee (APPI, shortened to Inclusion Committee for 2019/20 academic year) (4)
- Inclusion Committee (IC) [expanded remit from 7 October 2020] (5)
- Diversity and Inclusion Committee (DI) (7)
- Health and Safety Management Committee (HSMC) (8)
- Conferment of Academic Titles Committee (CATC) and Promotions and Rewards Committee (PRC) (9)
- Research Committee (RC) and its sub-committees (Research Degrees Sub-committee, RDSC, and Research Ethics and Integrity Sub-committee, REISC) (10)
- Academic Board (AB) (11)

Membership and terms of reference for the REF 2021 Strategy and Delivery Group can be found in Appendix 12 and a diagram of the Framework of Governance and Compliance (as it pertains to research at Central and committees referenced in the Code of Practice) in Appendix 13.

## **2. IDENTIFYING STAFF WITH SIGNIFICANT RESPONSIBILITY FOR RESEARCH**

Central will submit 100% of Category A staff.

## **3. DETERMINING RESEARCH INDEPENDENCE**

### **3.1 Introduction**

Central currently has 33 staff (27.9 FTE) on Teaching and Research pathways and seven (4.3 FTE) on 'research only' contracts (six post-doctoral researchers and one Research Fellow). The purpose of this section is to identify individuals who are classified as 'research only' staff; to lay out the governance structures behind the decision-making processes, communications, and training for individuals involved in REF planning. Central has a small number of ECRs including postdoctoral researchers working on funded projects, and it is primarily these staff who fall under the REF definition of 'research only', i.e., who are contracted *only* to conduct research.

### **3.2 Policies and Procedures: Selection Criteria**

To determine who is eligible for submission to the REF 2021 among individuals working on 'research only' contracts, Central needs to transparently and consistently distinguish between those individuals who are engaged in self-directed research and those who are employed as research assistants on a funded project. Only the former are classified by REF as having research independence. By 'research independence' REF 2021 means any member of staff who has significant responsibility for research — in other words, someone for whom explicit time and resources are made available to engage actively in independent research, and where 'self-directed' research ('rather than carrying out another individual's research programme') is an expectation of their job role. However, since it is unlikely that research independence can be determined by a single indicator, to determine — on the basis of the principles of transparency, consistency, accountability, and inclusivity — whether or not a colleague meets the REF criteria as an independent researcher, we take into account the *extent* to which an individual's job description and actual roles include a *combination* of the indicators of research independence listed in the 'Guidance on submissions'.

The key indicators include a combination of the following:

- Leading or acting as a Principal Investigator or equivalent on an externally funded research project;
- Holding an independently won, competitively awarded fellowship where research independence is a requirement;
- Acting as a Co-Investigator on an externally funded research project;
- Leading a research group, or leading a substantial work package within a research group;
- Significant input into the design, conduct, and interpretation of the research;
- Producing single-authored works in peer-reviewed journals and as monographs;
- 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 performance and theatre studies and which are indicative of an individual meeting



the definition of research independence.

### **3.3 Policies and Procedures: Process of Applying Criteria**

Staff are identified as Research only, firstly, on appointment. The process of identifying independent researchers happens through the writing of the job specification and interview (in the case of postdoctoral research assistants funded through UKRI grants) or a self-directed application to external funders (independently won and competitively awarded postdoctoral fellowships through the British Academy and the Leverhulme Trust). Central has further allocated QR investment to supporting fixed-term postdoctoral researchers with external match funding from industry partners. In one further case, a Teaching and Research staff member requested a transfer to a part-time Research only contract in order to take up industry opportunities.

For those where the job description is clear that they are research assistants working to support the project of a Principal Investigator, the line manager explores research ambitions and project delivery to determine if research independence is applicable, achievable, or desirable before an agreement is reached that they do not meet the core criteria for an independent researcher. These decisions are monitored through probationary meetings and appraisal targets and QR funding is made available to support these ambitions.

Secondly, for those with clearly identified self-directed projects, research advisors are appointed. These may or may not be their line managers. Research advisors identify further training opportunities for them (e.g. Hostile Environment training, specialist language learning, PhD supervision training) and agree research targets which are reviewed annually. These may include a contribution to PhD research methods training sessions, output completion, peer review for journals and publishers. All research only staff identified as independent researchers are subject to the same research governance structures (e.g. Ethics procedures, annual meetings with the Director or Associate Director of Research) as those on the Teaching and Research pathways.

These guidelines for identifying independent researchers have been reviewed by the REF 2021 Strategy and Delivery Group. When the research independence of a research only staff member is identified, it is logged and confirmed via the HR system (JANE).

### **3.4 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. A report with recommendations on independent researcher status was provided to the REF 2021 Strategy and Delivery Group in September 2020 on all postdoctoral researchers working as project assistants on UKRI-funded projects, including those appointed after the initial Code of Practice was submitted to Research England in June 2019. All decisions and the criteria used to arrive at those recommendations have been clearly communicated to all individuals concerned to ensure consistency and transparency.

### **3.5 Staff Committees and Training**

As noted above, the REF 2021 Strategy and Delivery Group is responsible for all operational decisions regarding the identification of staff as research independent and the selection of outputs.

The group comprises three forms of membership, building into its structure a robust system of checks and balances to ensure accountability, transparency, consistency, and inclusivity.

The first two comprise *ex officio* members: the core group, responsible for decision-making initiatives; and a wider advisory group, responsible for testing decisions, providing key input around specialist expertise as necessary, and ensuring thoroughgoing consultation with the wider School (see section 3.5.1 below).

A smaller and partially independent panel oversees the delivery of EIAs (see below).

### *3.5.1 Composition, Responsibilities and Roles of the REF 2021 Strategy and Delivery Group*

The REF 2021 Strategy and Delivery Group has a threefold structure, composing:

1. A nucleus, comprising the core group:
  - The Director of Research, with overall responsibility for research at Central, development of research environment, strategy, and the delivery of the REF submission;
  - The Associate Director of Research (Research Degrees), with responsibilities covering the Research Degrees Programme and deputising for the Director of Research;
  - Head of Research Services, responsible for non-academic management of research and the technical delivery of the submission.

The core group constitutes the key decision-makers of the REF 2021 Strategy and Delivery Group responsible for initiating the School's REF strategy and developing, consulting on, and drafting and revising the Code of Practice.

2. A wider advisory group with a responsibility to ensure transparency, accountability, consistency, and inclusivity throughout the process, and who also provide key input at a secondary level, determined by particular foci, areas of expertise, and interests:
  - the Chair of the Research Ethics and Integrity Sub-committee, who is chair of the team responsible for running the EIAs;
  - the Director of Operations and former Chair of the Inclusion Committee, also part of the team responsible for delivering the EIAs and for advising on HR matters and HR data;
  - a delegated UCU representative, who ensures the implementation of Central's REF is fairly delivered;
  - the Open Research Access Academic Lead, with expertise in the open access and digital agenda, responsible for ensuring Research department oversight of the School's digital environment;
  - a KE Fellow, advising on matters relating to impact in both the case studies and environment narrative;
  - two Teaching and Research pathway staff members — one Mid-Career Research representative and one ECR — responsible for ensuring the viewpoints of all academic levels of seniority are included.

Membership of the group has ensured that due consideration is given to equality and diversity with Black and Global Majority and disability representation, expertise from staff working on gender equality and with LGBTQ+ issues, fixed-term and part-time staff and researcher(s) who have had one or more periods of maternity leave during this REF cycle.

3. Co-opted members responsible for specific input — the Head of Library Services (with responsibility for the management of the repository) and Impact Manager (to advise on data in relation to impact).

The membership of the advisory group was decided on the basis of three imperatives: to provide **support** to the core group by providing specific areas of expertise; to maintain an open and consultative process, ensuring the **responsiveness** of the core group to any concerns and issues raised; and to ensure Central's REF 2021 submission be as **representative** of Central's research and researchers as possible.

### *3.5.2 The EIA Panel*

The EIA panel's role is to deliver the programme of EIAs, as detailed in section 3.7 below. It comprises four members of staff:

- Chair of the Research Ethics and Integrity Sub-committee;
- Director of Operations and former Chair of the Inclusion Committee;
- A research active member of staff, independent of the REF 2021 Strategy and Delivery Group, who has expertise around issues of applicable circumstances as presented in paragraph 151ff in the 'Guidance on submissions' document;
- An ECR member of academic staff who is also on a fractional contract.

### *3.5.3 Training of REF 2021 Strategy and Delivery Group*

All members of the REF 2021 Strategy and Delivery Group have undertaken and will further undertake mandatory training, particularly tailored to take account of the EIAs.

#### **Training undertaken:**

- The Chair of the EIA panel has undertaken Equality and Diversity training in relation to EIAs and the Code of Practice delivered by AdvanceHE.
- Individual role specific forms of training, undertaken by the Director of Research and the Associate Director of Research, including specialist training and workshops on the Code of Practice and Equality and Diversity delivered by Research England and GuildHE.
- Further training in unconscious bias from the Royal Society (<https://royalsociety.org/topicspolicy/publications/2015/unconscious-bias/>) has also been circulated to all the Group members with relevant literature on the subject.
- All members of the group have completed Project Implicit: (Harvard University, <https://implicit.harvard.edu/implicit/>).
- Training on sexual harassment delivered by USV React in 2018 to the Chair of the REF 2021 Strategy and Delivery Group, Chair of the EIA team, and Director of Operations.
- The Director of Research has had unconscious bias training delivered by Pearn Kandola in 2018 and 2020, and Good Governance training delivered by the Executive Director of the Independent Theatre Council in July 2020.
- The Director of Operations has had unconscious bias training delivered by AdvanceHE in 2018.
- One member of the REF 2021 Strategy and Delivery Group has taken part in Aurora – a leadership and development programme for women, and another member undertook a UCU training course on representing individual members: an introduction to case work in 2020.
- The Director of Operations has completed the AdvanceHE Achieving Race Equality in Higher Education Programme during the 2018 summer term.
- During 2013/14 the Director of Operations completed the Aurora Programme and became an Aurora Champion/Role Model in 2016. The Director of Operations regularly attends equality and inclusion training events and workshops managed by

UCEA – most recent events include: Managing the Gender Pay Gap; Mental Health Wellbeing in the HE; Workplace and Flexible and Fair: managing variable hours and atypical contracts.

- The Director of Operations attended training in relation to EDI and the REF organised by GuildHE and delivered by AdvanceHE in 2019.
- Training on Equality legislation was provided to the REF 2021 Strategy and Delivery Group in May 2019 by a barrister specialising in equality and diversity issues.
- The Director of Research and the Chair of the EIA panel had additional Unconscious Bias Training in May 2019.

#### **Ongoing and forthcoming training:**

- Briefings on equality and diversity matters (including sector-wide best practices and existing equality and diversity policy in the School) will be delivered to the Group by the Chair of the EIA panel.
- Ongoing individual briefings to individuals and the group.

### **3.6 Appeals Mechanism for Staff**

The decisions made by the REF 2021 Strategy and Delivery Group can be appealed should any staff member not be satisfied that the criteria or processes, as laid out in the Code of Practice, have been appropriately applied. It should be noted that the right to appeal is strictly limited to non-academic matters of judgement, and does not cover selection of outputs. Grounds of appeal include: applicable circumstances, i.e. circumstances affecting an individual's performance where new evidence or factual information comes to light that was not previously known to the REF 2021 Strategy and Delivery Group; procedural irregularity; evidence of bias on the part of decision-makers; and misapplication of criteria for research independence.

The staff member should submit their appeal in writing to the Appeals Panel Secretary no later than 11 January 2021 (in order to ensure that the appeal process can be completed prior to the revised submission deadline and in consideration of issues relating to late completion/publication of outputs relating to the impact of COVID-19). An Appeals Panel will be convened that comprises individuals who are independent of Central's REF preparations. The panel will be chaired by the Academic Registrar, with membership including one senior member of academic staff with significant responsibility for research from within Central, a second member from an external HEI, and the Appeals Panel Secretary. The Appeals Panel will review the case and confirm whether or not the process specified in this Code of Practice has been followed. The Appeals Panel will be briefed on the Code of Practice and the REF process by the Chair of the REF 2021 Strategy and Delivery Group. All members of the panel will also receive or have undertaken unconscious bias training. Any hearing conducted by the Appeals Panel will be minuted by the Appeals Panel Secretary and notes of the meeting distributed to all parties concerned. The appellant will have the right to appear before the Appeals Panel in person, to be accompanied by a trade union representative or work colleague (with no identified conflict of interest), or to not attend the panel in person.

Should an individual appeal be upheld, then it is the responsibility of the Appeals Panel to make their recommendation to the REF 2021 Strategy and Delivery Group. The decision of the Panel will be binding. The panel therefore has the authority to overturn a contested decision should compelling evidence be submitted to support such an outcome. The Chair of the Appeals Panel will notify the appellant of the panel's decision within five working days of the panel meeting.

### 3.7 Equality Impact Assessment

Central will undertake a thorough and systematic data-driven equality assessment of all REF-eligible staff in order to construct a benchmark for determining the differential impact of decisions around both research independence and our REF sample through selection of outputs on particular groups falling under the category of protected characteristics. This benchmark data will be used as the basis for conducting a number of iterative EIAs during the period. A planned review for Autumn 2019 (delayed to early 2020) drew on Central's baseline quantitative data, the Intention of Submission data, submitted to Research England in November 2019, and reports of advisory actions undertaken during this period. Preliminary baseline findings were shared with the core nucleus of the REF 2021 Strategy and Delivery Group in February 2020 along with on-going actions generated with advice from the EIA panel. The full report was circulated to the REF 2021 Strategy and Delivery Group in September 2020. A further review in October 2020 draws on more complete data from the census date of 31 July 2020, examining the implementation of the recommendations of the first EIA and providing further recommendations. Importantly, the second EIA will explore the impact of COVID-19 on submissions, research culture and individual researchers, and will highlight and make recommendations focusing on how the pandemic negatively impacted specific groups in the research community at Central. A third review will take place with the proposed December draft of the submission, offering advice before final submission in March 2021. Drawing on the first two, it will ensure the EIA panel's recommendations have been met and that the submission reflects the EDI requirements of the submission, as mapped across baseline data and equality criteria. A final review will take place after submission, which will scrutinise how effective the iterative cycle of EIAs have been and draw conclusions about the final submission. This final EIA will be published in line with REF 2021 guidance. Central is committed to submitting the most representative and inclusive sample of research that is possible to REF 2021 and will use the equality assessment as a means of informing decision-making around the selection of outputs. The process is led by the EIA panel (with authority delegated to the Chair of the EIA panel during the March to August 2020 period), who will ensure that any potential for discrimination is immediately identified and that best practice around the implementation of the School's policy on Equality and Diversity is adhered to by the REF 2021 Strategy and Delivery Group. The mechanism for identifying potential issues and responding to them is specified below in section 4.4; with delineated changes indicated as the selection policy is implemented. In addition to monitoring the process and ensuring that data from equality assessments informs the ratio of selected outputs to produce as representative and inclusive sample as possible, the EIA panel has also engaged in processes of consulting with staff from protected groups to help inform the development of the EIAs and to brief the REF 2021 Strategy and Delivery Group on best practice.

EIAs will be used specifically when:

- Determining research independence;
- Selecting outputs for submission;
- Considering appeals should they arise;
- Preparing the final submission.

The EIA panel will prepare the final version of the School's EIA following the submission deadline. This will include: summative analysis of all data collected when comparing characteristics of staff where applicable, and the final analysis of data following an examination of the distribution of submitted outputs across staff at Central. The report will also be reflective, including discussion of policies designed during the REF period to prevent discrimination and to advance equality during the submission period, and the impact those policies had on the outcome. It will reflect on any issues relating to any perceived differential impact on staff identification, decisions taken, as well as output

selection processes may have had on particular groups; finally, it will provide information of the positive impact of the EIA process on equality and diversity issues during the period of submission.

The final EIA will be made publicly accessible on the School's website following submission to REF 2021.

## **4. SELECTION OF OUTPUTS**

### **4.1 Eligibility**

#### *4.1.1 Staff Eligibility*

Category A eligible staff at Central include:

- All members of staff on the Teaching and Research pathway;
- All staff who have been identified as independent researchers and who are on a research only contract, as specified in the process outlined above in Part 3.

All submitted staff will have been in post or appointed during the Census period, up to and including the census date of 31 July 2020, and have a contract of at least 0.2FTE.

All policies and procedures for the selection of outputs are delineated in the sections below (4.1.2-4.4).

#### *4.1.2 Output Eligibility*

The pool of eligible outputs that Central anticipates submitting to REF 2021 will be determined by the principles of representativeness, inclusivity, and avoiding discrimination as outlined above in section 3.7 on EIAs, and by the broad range of research practices undertaken at Central by its staff. Outputs will include both print-based outputs such as journal articles, edited collections, and monographs as well as a significant number of practice research projects conducted by staff at Central during the census period.

All outputs must meet the eligibility criteria as set out in the 'Guidance on submissions' (paragraphs 197–212) and the 'Guidance on Revisions to REF 2021' (paragraphs 28–40). Included in these criteria are:

- The output must be a product of research, as defined by the REF 'as a process of investigation leading to new insights, effectively shared';
- The output must have been brought into the public domain during the publication period (1 January 2014–31 December 2020, or meet the eligibility criteria that the output was expected in the public domain by 31 December 2020, and/or that the appearance of the final version in the public domain was delayed due to the effects of COVID-19);
- It must be attributable to a current or former member of staff — specifically, to a Category A submitted staff member, whether single or joint-authored or co-produced.

All eligible articles and conference papers with ISSNs accepted after 1 April 2016 must be deposited in Central's online institutional Repository as soon as possible after acceptance and no more than three months after publication. From 1 April 2018, all eligible journal articles and conference papers with ISSNs must be deposited in Central's online institutional Repository three months from acceptance.

The pool of eligible outputs will include a minimum of at least one output by all current REF-eligible staff and no more than five. In addition, the output pool can include outputs produced by colleagues who have left Central during the REF period, but where those outputs were published or made while the staff member was on a REF-eligible contract at the School. This includes: staff members who retired during the REF census period, and any staff on fixed-term contracts — for example, Research Fellowships. Inclusion of any former member of Central staff in our REF submission is based on the principle of fully informed consent. The School would not submit any former staff member made compulsorily redundant during the period unless they specifically indicated they wished to be included in the exercise.

#### 4.2 Output Review and Timescale

The project plan for developing Central’s 2021 REF submission includes a number of key points and processes. For information on the review and independent scoring of outputs, section 4.3. The process involves a number of key points of review:

Date	Activity	Notes
End of May 2019	Conclusion of preliminary meetings with all REF-eligible staff about potential outputs to be submitted	
7 June 2019	Submission of the Code of Practice to Research England	
April–December 2019	Consult EIA form from REF 2014. Develop new EIA pro forma, circulate and discuss proformas. Gather baseline equality data (June 2019), in preparation for first draft of submission. Discuss emerging equality impacts with stakeholders.	EIA panel (EIA panel meetings held April, May, June, July, October and December 2019.)
December 2019	Confirmation of pro forma. Begin first EIA cycle. Share emerging issues with Chair of REF 2021 Strategy and Delivery Group for immediate support.	EIA panel

March–August 2020	Second cycle of EIA postponed as a result of COVID-19. Fortnightly meetings instituted between the Chair of the EIA panel and the Chair of the REF2021 Strategy and Delivery Group to ensure oversight of the impact of COVID-19 on researchers and ensure compliance with EDI commitments.	Chair of EIA panel
April–October 2020	Individual meetings with staff to determine the effects of COVID-19 on impact, environment and outputs with particular attention to EDI. Mapping of circumstances related to COVID-19 to feedback to REF 2021 Strategy and Delivery Group.	Director and Associate Director of Research Chair of EIA panel
April–July 2020	Support of staff on output completion and addressing challenges to realising impact activities related to the impact of COVID-19.  Monitoring of progress on outputs.	Fortnightly meetings of core nucleus of REF 2021 Strategy and Delivery Group.
Ongoing until February 2020	Drafting of Impact Case Studies	Preliminary selection of case studies
March–September 2020	Rewriting of Impact Case Studies	
October 2020	Final decisions on Impact Case Studies	REF 2021 Strategy and Delivery Group
October 2020	Second EIA undertaken	EIA panel
December 2020	Third EIA undertaken	EIA panel
Ongoing until January 2021	Process of external review of published materials/outputs	Either reviewed in final print form or in copy-edited or proofing stages
11 January 2021	Deadline for submission of appeals in writing to Appeals Panel Secretary	Academic Registrar (Chair of Appeals Panel)



Ongoing until submission	Practice outputs — three monthly review cycle	Practice research coordinators and critical readers meeting with staff members
Six-monthly until submission	Reports from impact coordinator and practice research coordinators	Received at REF 2021 Strategy and Delivery Group meetings
February–March 2021	Sign off of submission by relevant groups and committees	REF 2021 Strategy and Delivery Group; Research Committee
31 March 2021	REF submission	Submitted by Head of Research Services, and signed off by Principal of the School
April–June 2021	Summative EIA produced and submitted to Research England	EIA panel

See Appendix 2 for a more detailed REF2021 planning outline.

### 4.3 REF Criteria and Scoring Outputs

All outputs produced during the census period have — or will have — undergone a process of internal auditing and external peer review, as per our Research Output(s) Assessment Policy (September 2017, modified February 2019) (see Annex F). This process is designed to assess, first, whether an output constitutes research under the REF criteria, and, second, the quality of the research as measured against the REF system of scoring outputs. For REF 2021, Central will not conduct a mock REF exercise, and so all submission decisions are informed by the result of the process of external peer review, designed to build as much objectivity into the indicative scoring process as is possible. All outputs (see Annex F) are assessed separately by at least two independent peer reviewers (external to Central) who have been selected on the basis of:

- Their expertise, seniority and standing in the field and its relevance to the School;
- Their knowledge of the REF, its processes and systems of assessment.

The scoring of outputs by external peer reviewers is indicative and is intended to identify the *likely* score the output will achieve in the actual REF exercise. The School will submit those outputs that, in the opinion of the external reviewers, are most likely to score well against the criteria (of originality, significance, and rigour) outlined in the REF 2021 ‘Guidance on submissions’ document (see Annex A: Assessment Criteria and Level Definitions, table A1, p. 84) and REF 2021 ‘Panel criteria and working methods’ document (see paragraphs 190–196 and 204–205).

External peer reviewers submit their written recommendation to the Director of Research or the Head of Research Services. Where there is a conflict of interest, and where scores differ significantly, a further process of internal peer review by the core group (see section 3.5.1 above) takes place to attain a final indicative score which is logged by the Head of Research Services; as the peer review process results in only an *advisory* recommendation, the ultimate decision on whether an output is included or excluded will be determined by the REF 2021 Strategy and Delivery Group (see below).

As indicated in sections 1.5 and 4.2 above, all researchers will receive feedback regarding the assessment of their outputs. Feedback will be given in a way that respects the individual staff member's accomplishment, regardless of the indicative score; it should be:

- Constructive in tone;
- Explain how its score relates to the relevant REF criteria;
- Be summarised in writing.

All submitted members of staff will receive this feedback in the first instance through a face-to-face meeting with the Director of Research or the Associate Director of Research, and then in writing.

#### **4.4 Selecting Outputs**

The indicative scoring exercise conducted above will provide the basic data for beginning the process of selecting outputs for Central's REF submission. These decisions will be made by the core group identified in section 3.5, and in discussion with the EIA panel and the open access academic lead as and when appropriate. To ensure transparency, consistency, and accountability, the wider REF 2021 Strategy and Delivery Group will offer feedback and suggestions on the recommendations before the final selection is made.

Our selection will be guided by two aims: first, to select outputs that maximise Central's research profile and quality; second, to ensure that the selection process is fair and transparent, and results in as representative a sample of submitted research as is possible. For example, where there is a choice between two equivalently scored outputs, we will ensure representativeness and inclusion by drawing on the equality and diversity assessment of the staff pool to inform the decision over which of the two outputs to select. The use of the EIAs is designed to ensure that in our selection process, unconscious bias is not 'in play', and that it prioritises a truly inclusive submission.

Selection procedures will begin with:

- I. Attributing to each individual in the submission pool, a 'first' output, ensuring each individual has one output attributed to them in such a way as to maximise the quality profile of the submission;
- II. Selecting from the remaining output pool, the highest scoring outputs from the indicative scores and distributing them according to the requirement of the REF's multiplier of 2.5 outputs per FTE and the limit of no more than 5 outputs per individual member of staff.

Following an initial selection, the EIA panel will be invited to assess the selection in terms of how representative it is of the submitting staff cohort. Where selections can be changed without diminishing the quality profile of the overall submission, changes will be made based on the EIA panel's recommendation. In this sense, the selection of outputs is made according to two interlocking sets of criteria: (1) according to the highest indicative score insofar as it indicates the quality of the output; (2) in light of Central's commitment to ensuring the representativeness of the REF submission according to the distribution of protected characteristics within the submitting cohort. We also take into account the administrative load of senior managers and the nature of fractional posts where external commitments may have impacted on the number of outputs produced by individuals during the census period.

Once a final decision is arrived at, regarding which outputs will be included in the School's submission, all individuals will receive notification of the Strategy and Delivery Group's decision and their reasons by email; where staff wish to further clarify those decisions, then

they will be invited to meet with the Director of Research and/or the Associate Director of Research. We anticipate that this process will conclude by December 2020.

Staff have a right to appeal the decision where the substance of the appeal concerns issues of equality and diversity, but not in terms of the academic judgement of the quality of the output. See above, section 3.6 on appeals.

Decisions on double-weighting will be made by the REF 2021 Strategy and Delivery Group from recommendations made by the Director and Associate Director of Research. All recommendations will have been agreed by the researchers who have produced the output and fit the criteria for double-weighting identified in the REF 2021 'Panel criteria and working methods', paragraphs 237–47.

The Reserve list of outputs will be prepared according to the two interlocking sets of criteria identified above.

#### **4.5 Staff, Committees, and Training**

Please refer to section 3.5 above.

#### **4.6 Staff Circumstances**

Central recognises the different modes of working and different levels of productivity that are present in the research environment of our HEI. We do not expect all staff to contribute the same number of outputs to the submission pool and recognise that a range of factors come into play in the selection of outputs. While we are clear that quality is a key criterion, we have explained to staff that expectations on productivity vary depending on fractional positions, ECR status, disclosed disabilities, and other applicable circumstances that we take into account when discussing research plans and outputs (see section 4.4).

Central uses the definition of applicable circumstances provided in the 'Guidance on submissions' document (paragraph 160) as follows:

- a. Qualifying as an ECR for REF 2021 (on the basis set out in paragraphs 148 and 149 and Annex L, pp. 114–16).
- 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, that require a judgement about the appropriate reduction in outputs, which are:
  - i. Disability: this is defined in Table 1 of the REF 'Guidance on codes of practice' under 'Disability' (p. 7).
  - ii. Ill health, injury, or mental health conditions.
  - iii. Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of — or justify the reduction of further outputs in addition to — the allowances set out in Annex L of the REF 'Guidance on submissions' (pp. 114– 16).
  - iv. Other caring responsibilities (such as caring for an elderly or disabled family member).
  - v. Gender reassignment.
  - vi. Other circumstances relating to the protected characteristics listed in the 'Guidance on codes of practice', Table 1) or relating to activities protected by employment legislation.

This process for the disclosure of applicable circumstances was developed in association with a cross-section of staff on Teaching and Research contracts. All eligible staff have had the opportunity to disclose circumstances through the Director of Research and/or the Associate Director of Research. These have been logged — on a confidential form held by the Director of Research — and possible courses of action have been discussed with the Director of Research (see Appendix 14, revised in the wake of COVID-19). All eligible staff also have the opportunity of disclosing via a third party (line manager or HR representative) should they prefer. Staff are also aware of the REF Declaration of Individual Staff Circumstances Form; we have, however, adapted this form to make it more suitable given the small scale of the institution (Appendix 15). Meetings on individual circumstances have been taking place between individual staff and the Director of Research since 1 January 2016 and these have shaped how researchers have been supported during this period.

For all staff with applicable circumstances, it has been made clear in one-to-one meetings with the Director of Research or Associate Director of Research that the expectation is that they produce no more than 1 output. Were this not to prove possible, the decision would have been taken to submit an application in March 2020 for the reduction of the minimum output; or, alternatively, if the proposed reduction of the minimum output is related to COVID-19, a decision will be taken to follow the guidance for removing the ‘minimum of one’ requirement presented in paragraphs 20–27 in the ‘Guidance on Revisions to REF 2021’ document. Disclosure of circumstances is confidential: no individuals are named and discussion will only take place in relation to numerical data around circumstances rather than around specifics of individuals or conditions. This data is held securely by the Director of Research and is anonymised before it is received and discussed by the REF 2021 Strategy and Delivery Group. All submitted declarations will be destroyed on completion of the REF assessment phase (December 2021).

#### **4.7 Appeals**

Any staff member has the right to request that the decisions that have been taken about their research outputs and/or individual circumstances be reconsidered. We have delineated the appeals process for this in section 3.6.

#### **4.8 Equality Impact Assessment**

Please refer to section 3.7 above.

**5. APPENDICES AND ANNEXES**

Appendix		Page numbers
1	Summary of equality legislation, from Guidance on codes of practice (REF 2019/03), Table 1, pp. 6–11	28–32
2	Communication and Consultation Plan detailing the development of the Code of Practice and the REF2021 Plan to submission for the School	33–35
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Annex		Page numbers
A	Single Equality Scheme and accompanying policy statements (2015)	66–93
B	Gender Pay Gap Statement (2019)	94–98
C	Promotion and Reward Policy for all Staff Paid on Central's 56 Point Pay Scale (2017)	99–106
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F	Research Output(s) Assessment Policy (2017, revised 2019)	119

Table 1: Summary of equality legislation

<b>Age</b>	<p>All employees within the HE sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be, for example, people of the same age, the under 30s or people aged 45-50. A person can belong to a number of different age groups.</p> <p>Age discrimination will not be unlawful if it is a proportionate means of achieving a legitimate aim. However, in the context of the REF, the view of the funding bodies is that if a researcher produces excellent research an HEI will not be able to justify not selecting their outputs because of their age group.</p> <p>It is important to note that early career researchers (ECRs) are likely to come from a range of age groups. The definition of ECR used in the REF (see 'Guidance on submissions', paragraphs 148 to 149) is not limited to young people.</p> <p>HEIs should also note that, given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
<b>Disability</b>	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination, victimisation and harassment relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who has a disability (for example, if they are responsible for caring for a family member with a disability).</p> <p>A person is considered to have a disability if they have or have had a physical and/or mental impairment which has 'a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities'. Long-term impairments include those that last or are likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive/degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An impairment which is managed by medication or medical treatment, but which would have had a substantial and long-term adverse effect if not so managed, is also a disability.</p>

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

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

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

- sensory impairments
- impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy
- progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer
- organ specific impairments, including respiratory conditions and cardiovascular diseases
- developmental impairments, such as autistic spectrum disorders and dyslexia
- mental health conditions such as depression and eating disorders
- impairments caused by injury to the body or brain.

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

Equality law requires HEIs to anticipate the needs of people with disabilities and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a researcher's impairment has affected the quantity of their research outputs, the submitting unit may return a reduced number of outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances').

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

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

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<b>Gender reassignment</b>	<p>The Gender Recognition Act 2004 gave enhanced privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual may commit a criminal offence if they pass the information to a third party without consent.</p> <p>Consequently, staff within HEIs with responsibility for REF submissions must ensure that the information they receive about gender reassignment is treated with particular care.</p> <p>If a staff member's ability to work productively throughout the REF assessment period has been constrained due to gender reassignment, the unit may return a reduced number of research outputs (see 'Guidance on submissions', Part 3, Section 1, 'Staff circumstances'). Information about the member of staff will be kept confidential as described in 'Guidance on submissions', paragraph 195.</p> <p>HEIs should note that the Scottish government recently consulted on, and the UK government is currently consulting on, reform of the Gender Recognition Act 2004, which may include streamlining the procedure to legally change gender.</p>
<b>Marriage and civil partnership</b>	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination, harassment and victimisation on the grounds of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
<b>Political opinion</b>	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not inadvertently discriminate against staff based on their political opinion.</p>

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**Pregnancy and maternity** Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination, harassment and victimisation related to pregnancy and maternity.

Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because of pregnancy and/or maternity, the submitting unit may return a reduced number of research outputs, as set out in 'Guidance on submissions', paragraphs 169 to 172.

In addition, HEIs should ensure that female researchers who are pregnant or on maternity leave are kept informed about and included in their submissions process.

For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.

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**Race** The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination, harassment and victimisation connected to race. The definition of race includes colour, ethnic or national origins or nationality. Individuals are also protected if they are perceived to be or are associated with a person of a particular race.

HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their race or assumed race (for example, based on their name).

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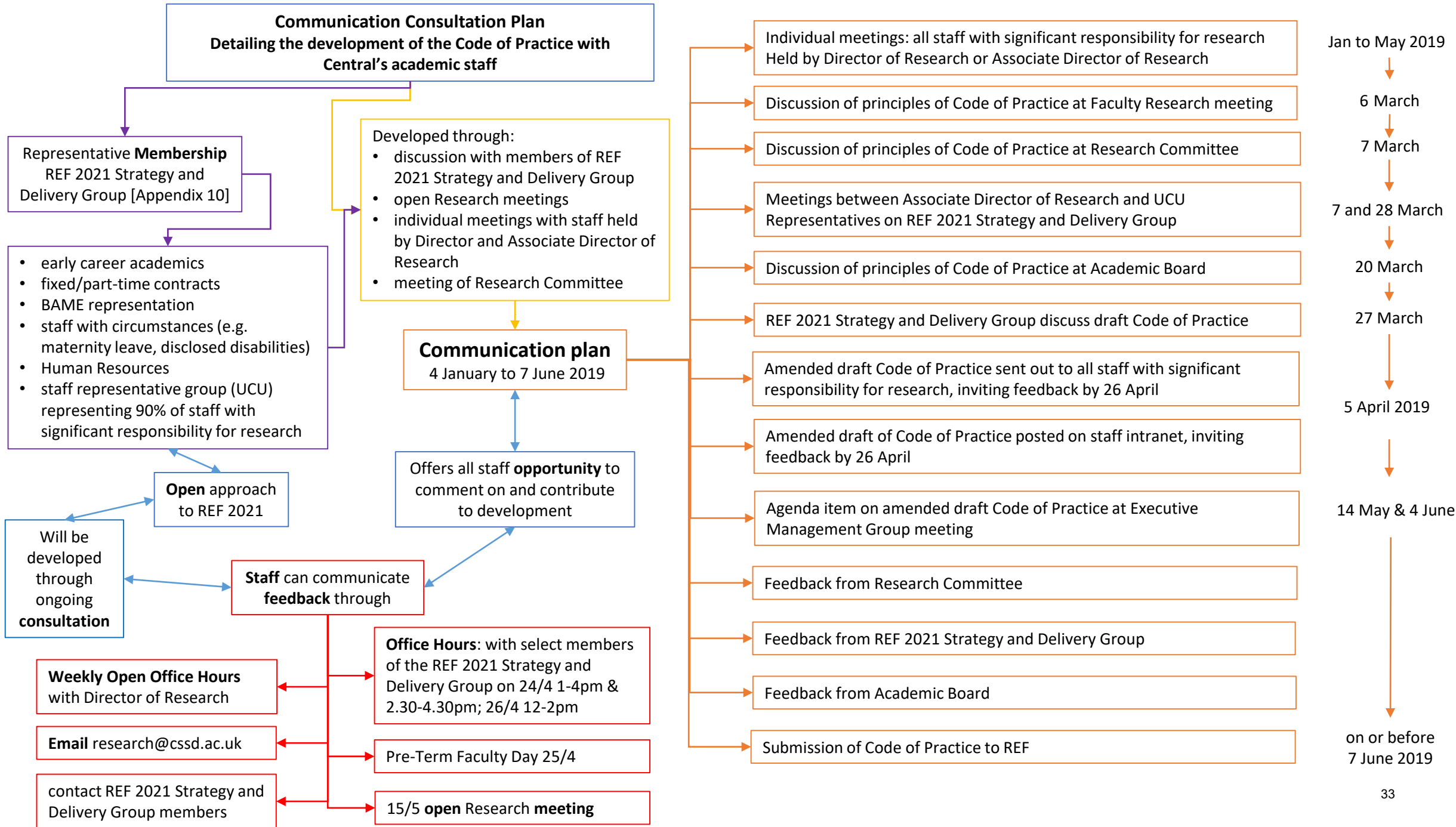
**Religion and belief including non-belief** The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination, harassment and victimisation related to religion or belief. Individuals are also protected if they are perceived to be or are associated with a person of a particular religion or belief.

HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived religion or belief, including non-belief. 'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.

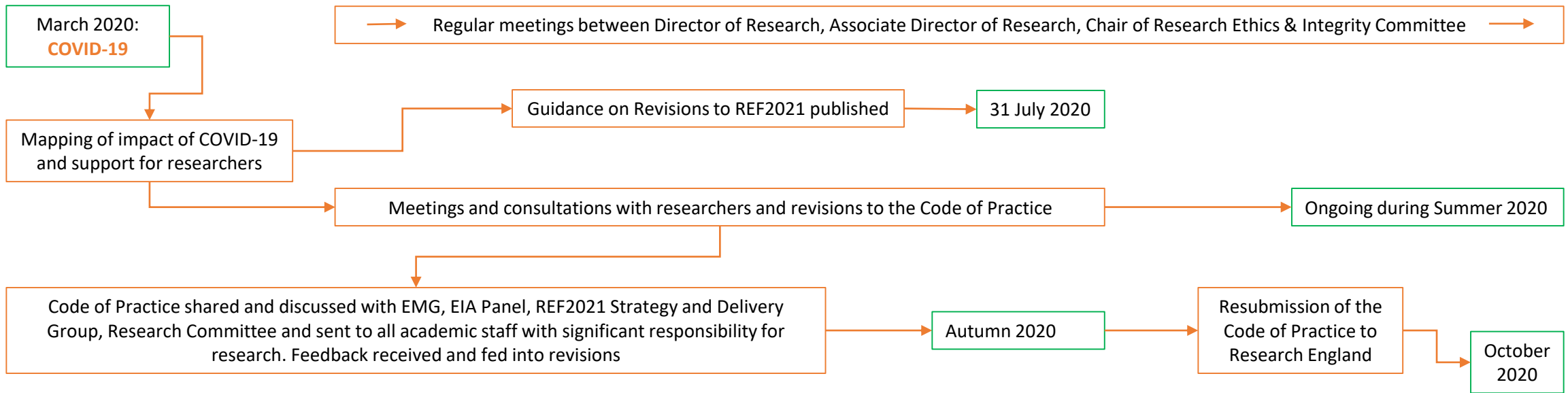
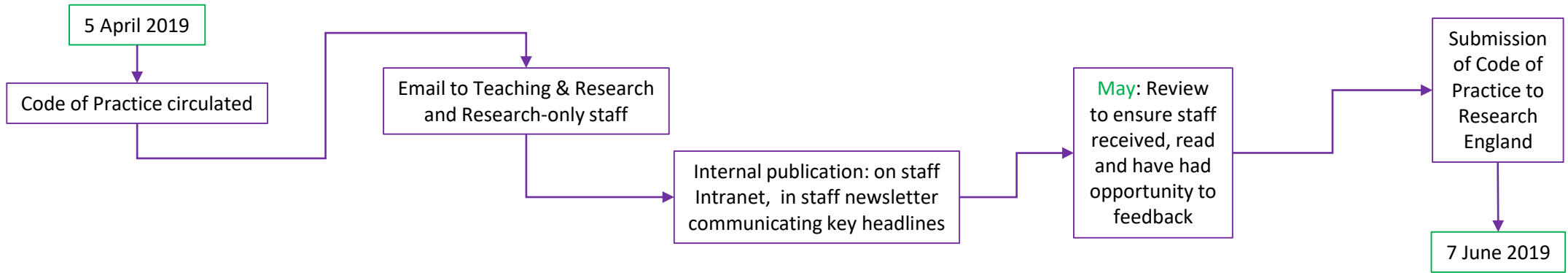
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**Sex (including breastfeeding and additional paternity and adoption leave)** The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination, harassment and victimisation related to sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.

<p><b>Sex (including breastfeeding and additional paternity and adoption leave)</b></p>	<p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding. Consequently, the impact of breastfeeding on a woman’s ability to work productively will be taken into account, as set out in ‘Guidance on submissions’, Part 3, Section 1, ‘Staff circumstances’.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby’s birth. Partners may also be eligible for shared parental leave or pay. Fathers/partners who take additional paternity or adoption leave will have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination. Consequently, where researchers have taken additional paternity and adoption leave, the submitting unit may return a reduced number of outputs, as set out in ‘Guidance on submissions’, Annex L.</p> <p>HEIs need to be wary of implementing procedures and decision-making processes in relation to REF 2021 that would be easier for men to comply with than women, or vice versa. There are many cases where a requirement to work full-time (or less favourable treatment of people working part-time or flexibly) has been held to discriminate unlawfully against women.</p> <p>HEIs should note that there are now requirements under UK and Scottish legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women’s average hourly pay (excluding overtime).</p>
<p><b>Sexual orientation</b></p>	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination, harassment and victimisation related to sexual orientation. Individuals are also protected if they are perceived to be or are associated with a person who is of a particular sexual orientation.</p> <p>HEIs must ensure that their procedures and decision-making processes in relation to REF 2021 do not discriminate against staff based on their actual or perceived sexual orientation.</p>
<p><b>Welsh language</b></p>	<p>The Welsh Language Act 1993 places a duty on public bodies in Wales to treat Welsh and English on an equal basis. This is reinforced by the provisions of the Welsh Language (Wales) Measure 2011 and the Welsh Language Standards (No 6) Regulations 2017.</p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in ‘Guidance on submissions’, paragraphs 284 and 285.</p>



The Royal Central School of Speech And Drama, University of London:  
REF 2021 PLAN TO SUBMISSION



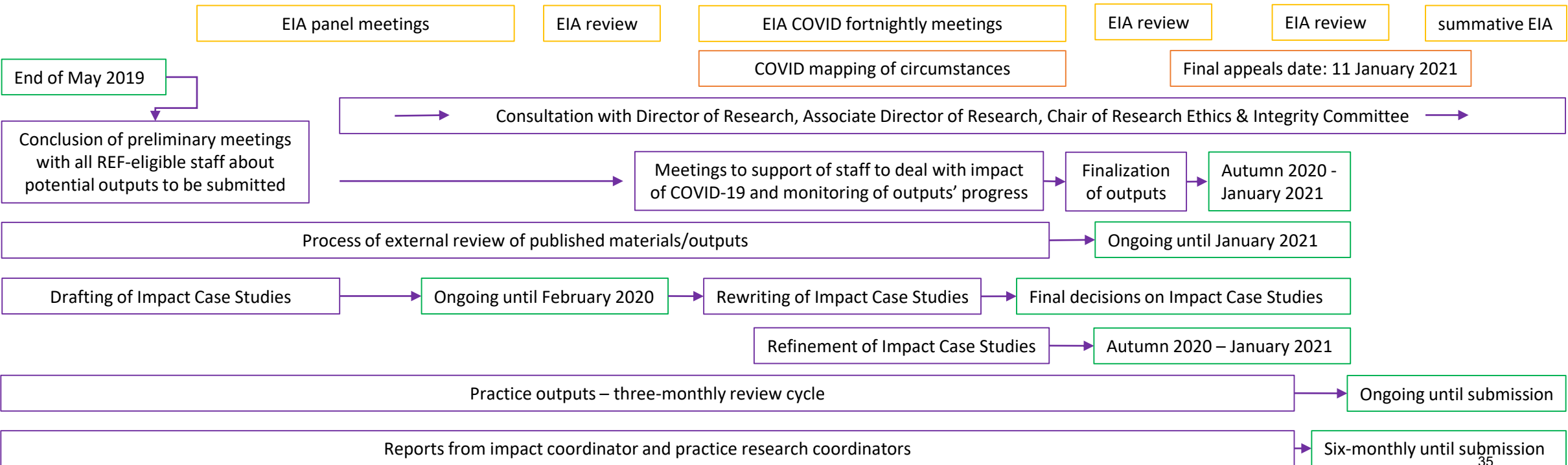
**The Royal Central School of Speech And Drama, University of London: REF 2021 PLAN TO SUBMISSION**

Consultation processes - including through committee structures



Communication with all staff on Teaching & Research and Research-only contracts: directly through feedback meetings with Director of Research or Associate Director of Research and via email

Use Research Services communication channels to ensure Code of Practice sent to staff on long term leave of absence (including maternity and paternity leave), sabbatical leave or working overseas



## Equality and Diversity Committee (EDC)

*(replaced by Access, Participation, Progression and Inclusion Committee in June 2018)*

### 1. PURPOSE

- 1.1. The Equality and Diversity Committee (EDC) exists to take a lead in promoting a culture of diversity and a culture which values equality of opportunity throughout the School.

### 2. MEMBERSHIP

- 2.1. Membership shall include: Senior Academic as Chair; Director of Learning, Teaching and Student Experience; Human Resources Manager, Deputy Clerk to Governors; Student Union representative; Teaching Staff representative; and departmental representatives from: Research, Academic Administration, Learning Centre, Development and External Affairs, Technical Support Department, Academic Facilities.
- 2.2. The Governing Body Equality Champion will be invited to attend meetings.
- 2.3. **Secretary:** Assistant Academic Registrar
- 2.4. **Quorum:** Four members present
- 2.5. **Frequency of Meetings:** Termly

### 3. TERMS OF REFERENCE

- 3.1. **Reports to:** Executive Management Group
  - i. To be responsible for the monitoring and quality assurance of the School's policies, processes and strategies relating to equality and diversity (E&D).
  - ii. To be part of the assurance process for wider School policies, processes and strategies in terms of ensuring equality and diversity legal compliance and School-wide equality and diversity good practice.
  - iii. To take a School-wide leadership role in identifying, supporting and disseminating equality and diversity good practice, and challenging/eliminating equality and diversity poor practice.
  - iv. To be responsible for ensuring that equality and diversity issues and developments are coherently communicated throughout the School and through external communications.
  - v. To ensure that the School is legally compliant and adopts equality and diversity good practice by monitoring, evaluating impact, reviewing and taking appropriate action.

## Access, Participation, Progression and Inclusion Committee (APPI)

(shortened to Inclusion Committee in July 2019)

### 1. PURPOSE

- 1.1. The Executive Management Group (EMG) has established a Committee known as the Access, Participation, Progression and Inclusion (APPI) Committee for the purpose of providing oversight of the School's widening participation strategy throughout the student lifecycle from access, through education to progression to further study or employment; and to ensure that the School is legally compliant with the Equality Act 2010 and promotes effective equality and diversity good practice with regard to its day to day business/activity.

### 2. MEMBERSHIP

- 2.1. Membership shall include representation from across all aspects of the School and include representation from the Student Union and a Student Representative from both UG Courses and PG Courses.
- 2.2. Quorum: 11 members present
- 2.3. Frequency of Meetings: at least 3 times a year, notionally each term

### 3. TERMS OF REFERENCE

- 3.1. The Committee will have the following specific duties

#### Widening participation

- i) To monitor the School's progress towards its Access and Participation Plan.
- ii) To monitor the effectiveness and reach of Central's Outreach Plan and targets.
- iii) To consider and review the progress of widening participation groups across the student lifecycle, including outcomes on access, student success, retention and progression.
- iv) To review Central's Access and Participation Plan to the Office for Students (OfS) for recommendation to EMG.
- v) To consider new innovative approaches and projects to enhance student access that reflect the School's strategic priorities.
- vi) To act as a critical friend and steering group to projects supporting widening participation and access.

#### Equality, diversity and inclusivity

- i) To devise, recommend, co-ordinate and monitor steps on matters relating to equality, diversity and inclusivity throughout the School and in compliance with the Equality Act 2010.
- ii) To receive regular reports on matters of equality, diversity and inclusivity that impact on staff and/or the student experience and make recommendations on how issues can be improved.
- iii) To review and act on any equality, diversity and inclusivity issues that may be raised as part of student/staff feedback and/or a formal complaint.
- iv) To receive and monitor equality and diversity statistics. To summarise/analyse key trends and identify areas for improvement.
- v) To commission, receive and review annual statements on effective equality, diversity and inclusive practice across the School.

#### Appendix 4

- vi) To initiate discussion on equality, diversity and inclusivity items to enhance good practice. In this regard, the Committee may invite individuals to attend from time to time.
- vii) To publically disseminate information and share good practice on equality, diversity and inclusivity matters throughout the School.
- viii) To monitor progress and achievement of charter marks and accreditations in relation to equality, diversity and inclusion.

#### Annual monitoring and training

- ix) To oversee progress against the School's widening participation strategy and equality, diversity and inclusivity key performance indicators and to advise the Executive Management Group on any matters/issues as appropriate.
- x) To provide an annual report on the management, compliance and success of equality, diversity and inclusivity to EMG and to the Board of Governors.
- xi) To ensure widening participation/equality, diversity and inclusivity training and development is provided to all staff, students and other relevant parties as appropriate.

#### 3.2. Collaboration with internal working groups

The Access, Participation and Inclusion Committee will work in partnership and receive data from the following groups:

- Data Governance Group
- Admissions, Recruitment and Retention
- Tackling Sexual Misconduct in HE Working Group



## Inclusion Committee (IC)

*(Terms of Reference revised 7-10-20)*

### 1 Purpose

From Academic Year 2020/21, the Inclusion Committee has a revised and expanded remit, building upon the previous Access, Participation, Progression and Inclusion Committee (APPI, shortened to Inclusion Committee from July 2019).

These changes were made to the terms of reference and membership to take account of current contexts, including the impact of COVID-19, the institutional reflection catalysed by the Black Lives Matter Movement, and the delivery of Central’s anti-racism action plan.

The IC is an operational committee that oversees the delivery of Central’s equality, diversity, and inclusion strategies. The IC consults with external representation through the Independent Equity Committee (IEC), and works directly with Academic Board and the Executive Management Group. The IC reports formally to the Governing Body’s Diversity and Inclusion Committee (D&I) annually (see 2).

<p><b>Governing Body Diversity and Inclusion Committee (D&amp;I)</b> Oversight, accountability, and assurance of all EDI issues at Central</p>	
<p style="text-align: center;"><b>Inclusion Committee</b></p> <p>The IC is an internal committee responsible for EDI strategies in consultation with the IEC and reporting to the D&amp;I</p> <p>Working Groups report to the IC</p>	<p style="text-align: center;"><b>Independent Equity Committee</b></p> <p>The IEC is formed of industry professionals and academics external to the university and provides external consultation and accountability in the role of “critical friends” to the institution, by consulting with the IC, Academic Board, Research Committee, and Learning, Teaching and Student Experience Committee. The IEC reports directly to the D&amp;I</p>

The IC is responsible for overseeing the following functions:

- To ensure the development and implementation of the School’s widening participation strategy (including Access and Participation Plan [APP]) throughout the student journey from access, through education to progression to further study or employment;
- To ensure that the School is legally compliant with the Equality Act 2010;
- To promote effective equality and diversity good practice with regard to its day to day business/activity.
- To identify and disseminate good practice related to inclusion towards ensuring and enhancing the positive lived experience of all members of the Central community.

- To maintain oversight of initiatives to decolonise and make more inclusive the School's taught curricula.
- To maintain broad oversight of schoolwide inclusion practice in collaboration with relevant areas and committees within the school such as the Independent Equality Committee and the Governors D&I committee.

## 2 Accountability

The Inclusion Committee reports to the Governing Body D&I annually, including the preparation of an annual equality monitoring report setting out work done by the institution during the year, identifying the achievement of agreed objectives and summarising the data on equality, inclusivity and diversity that they are required to produce and publish.

## 3 Duties

The Committee will have the following specific duties:

### Widening participation

- To monitor the School's progress towards its APP.
- To monitor the effectiveness and reach of Central's Outreach Plan and targets.
- To consider and review the progress of widening participation groups across the student journey, including outcomes on access, student success, retention and progression.
- To review Central's APP to the Office for Students (OfS) for recommendation to EMG.
- To consider new innovative approaches and projects to enhance student access that reflect the School's strategic priorities.
- To act as a critical friend and steering group to projects supporting widening participation and access.

### Equity and Inclusion

- To monitor and review progress of initiatives to decolonise and repair the School's taught curricula.
- To devise, recommend, co-ordinate and monitor steps on matters relating to equity and inclusion throughout the School and in compliance with the Equality Act 2010.
- To receive regular reports on matters of equity and inclusion that impact on staff and/or the student experience and make recommendations on improvements.
- To review and act on any equity and inclusion issues that may be raised as part of student/staff feedback and/or a formal complaint.
- To receive and monitor equity and inclusion statistics, to summarise/analyse key trends and identify areas for improvement, suggest school wide strategies, and oversee implementation of school wide strategies.
- To commission, receive and review annual statements on effective equity and inclusion practice across the School - and use this data to inform

- vii) recommendations for future practice and/or celebrate good practice
- vii) To initiate discussion on equity and inclusivity items to enhance good practice. In this regard, the Committee may invite individuals to attend from time to time.
- viii) To monitor progress and achievement of charter marks and accreditations in relation to equality, diversity and inclusion.
- ix) To receive and consider recommendations from the Independent Equity Committee and to maintain oversight of their implementation.

#### Annual monitoring and training

- x) To oversee progress against the School's widening participation strategy and equity and inclusion key performance indicators and to advise the Executive Management Group on any matters/issues as appropriate.
- xi) To provide an annual report on the management, compliance and success of equality, diversity and inclusivity to EMG and to the Board of Governors, with recommendations.
- xii) To ensure widening participation/equity and inclusion training and development is provided to all staff, students and other relevant parties as appropriate.

#### **4 Collaboration with internal working groups**

The Inclusion Committee will ensure that every area of the school is able to engage in inclusion strategies by working with and receiving data/input from the following internal working groups:

- APP Working Group;
- Prevention of Sexual Harassment and Safe Reporting Working Group;
- Global Majority Staff Network;
- Disability and Accessibility Working Group (TBC; group in process of being established)
- Repairing the Curriculum Working Group;
- Equality Impact Assessments;
- Data Governance Group;
- Independent Equity Committee;
- Inclusion Surgeries.

#### **5 Membership and meetings**

The Committee will have the following ex-officio members:

- Chair: Interim Principal
- Deputy Chairs: Deputy Director of Learning and Teaching / Head of Outreach and Business Training
- Secretary: Governance and Regulatory Support Manager
- Inclusion Specialist
- Director of Operations or Head of Human Resources
- Head of Admissions
- Academic Staff Representatives (rotational annually based on open call)  
from:
  - BA Acting

## Appendix 5

- BA CPP
- BATP
- Postgraduate representatives (Acting, Applied Drama and Pedagogies, Production and Performance)
- SU President and Liberation Officer as nominated by SU President and dependent on the agenda
- Staff Representative from Disability and Dyslexia Service
- Staff Representative from Learning Skills

Invited members:

- Advisor to Interim Principal
- Deputy Registrar

The quorum of the Committee shall be 7.

The Committee shall normally meet at least 3 times a year, notionally each term.

## Independent Equity Committee (IEC)

In line with the commitments published in the Anti-Racism Action Plan (12 June 2020), Central will establish an Advisory Board including external Black and Global Majority Industry Professionals and Academics. The Committee will provide expertise and oversight of Central's anti-racist commitments as set out in its Anti-Racism Action Plan, will be independent and accountable, will meet termly and will report to the School's Governing Body.

### Purpose

The duties of the Independent Equity Committee will include, but not necessarily be limited to:

- Providing feedback and guidance on proposed academic curriculum development, across all taught courses, in line with the Repairing the Curriculum Project and ongoing best practice;
- Advising, as appropriate, on strategies for diversifying the workforce, including potential job advertisements and searches for both contracted and visiting staff;
- Advising, as appropriate, on potential visiting professional searches;
- Advising, as appropriate, on structures for student and staff support.

The Committee will make recommendations, in line with the above responsibilities, to the Learning, Teaching and Student Experience Committee, and Academic Board as appropriate, with oversight and approval confirmed as appropriate through Governors' Diversity and Inclusion Committee (D&I).

### Frequency of Meetings

The Committee shall meet termly, with additional discussion of items by electronic circulation.

### Composition

The Committee will consist of between 8 and 12 members, appointed on an annual basis to serve from 1 October-30 September annually. Committee membership shall be recommended by Academic Board and confirmed by the D&I. Members shall normally be able to serve for up to three consecutive terms. Committee membership shall be drawn from across industry and the academy, with focus both on lived experience and independent expertise in relevant areas. The composition of the Committee shall reflect both intergenerational and intersectional expertise and experience. The Committee shall be chaired by an independent Chair, drawn from one of the categories below, with a clear and sustained track record of work in anti-racist leadership within theatre and the performing arts. The Chair shall be appointed for a two-year term, with a possibility of renewal for a further two-year term.

- Representatives of UK-based organizations focused on improving diversity within training (ie Diversity School, BlacktressUK, Open Door, StageSight, Artistic Directors of the Future), representing a range of areas of focus and specialism. (3-4 members)
- Black and Global Majority Industry Representatives, drawn from across areas of specialism, including, Acting, Artistic Direction, Playwriting, Creative and Technical Roles. (3-4 members)

## Appendix 6

- Subject specialists and Conservatoire/University Leaders, based at other academic training institutions globally with specific expertise on anti-racist practice in theatre and performance training. (3-4 members)

Approved by Academic Board 1 July 2020

Joshua Abrams, Director of Learning and Teaching

### **Current Membership (appointed 1 October 2020)**

Tracy Ifeachor - International working Actor, Founder of Simulate Roleplay, Central Alumna, Visiting Lecturer and Audition Panelist.

Alby James OBE - Writer, Director, CEO & Creative Producer of Dramatic Encounters, Consultant for Diversity, Equity & Inclusion in the Arts and Media and former Artistic Director of Temba Theatre Company.

Dr Sharrell D. Lockett - Associate Professor of Drama and Performance Studies at the University of Cincinnati, Executive Director of the Black Acting Methods Studio, Director of the Helen Weinberger Center for Drama and Playwriting at UC, Faculty Collaborator at the College-Conservatory of Music, and Affiliate Faculty of Africana Studies and Women's, Gender and Sexuality Studies.

Prema Mehta - Theatre Lighting Designer, Young Vic Artistic Associate, Freelancers Make Theatre Work, Executive team at ALD and Founder of Stage Sight

Kerry Kyriacos Michael MBE - Founder of independent production house Kyriacos And Company. Diversity Consultant and former Artistic Director and CEO of the Theatre Royal Stratford East.

Dr Royona Mitra - Associate Dean of Equality and Diversity in the College of Business, Arts and Social Sciences, and Reader in Dance and Performance Cultures at Brunel University London.

Prof. David Román- Professor in the Department of English and the Department of American Studies and Ethnicity at the University of Southern California.

Nazli Tabatabai-Khatambakhsh - Multi Award-Winning Interdisciplinary Auteur, Scholar and Advisor and International Society for the Performing Arts Fellow.

Matthew Xia - Artistic Director of Actors Touring Company, an Associate Artist at the Nottingham Playhouse, Founding member of Act For Change, Trustee at Cardboard Citizen and Artistic Directors of the Future, and Honorary Doctorate recipient from the University of the Arts London.

Applications to the Committee were reviewed by a panel consisting of Parker Hollants (Student Union President, The Royal Central School of Speech and Drama), Dr Zainab Khan (Pro Vice-Chancellor Outcomes and Inclusion, London Metropolitan University), Anne Mensah (Chair of the Central Governing Body Diversity and Inclusion Committee & Vice President, Original Series at Netflix), Monica Rose (Student Union Black and Minority Ethnic Officer/Race Equality Student Ambassador, The Royal Central School of Speech and Drama), and Professor Harvey Young (Dean, College of Fine Arts, Boston University).

## Diversity and Inclusion Committee (DI)

### 1. PURPOSE

- 1.1. To provide assurance to the Governing Body in relation to the effective promotion and progression of equality, diversity, participation and inclusion across the institution and compliance with legislation covering rights of staff, applicants, students and governors not to suffer discrimination.

### 2. MEMBERSHIP

- 2.1. The committee shall be appointed by the Governing Body and shall include independent Governors, the Principal, one additional staff Governor and one student Governor.
- 2.2. There shall be no fewer than five members.
- 2.3. The Chair of the Access, Participation, Progression and Inclusion (APPI) Committee, the Director of Innovation and Development, and an HR representative nominated by the Director of Operations, shall normally attend meetings. The committee shall have the right to invite other relevant senior post-holders to attend for specific items.
- 2.4. The committee shall also have the right to co-opt external members with relevant expertise as required.
- 2.5. **Secretary:** the Clerk to Governors or their nominee
- 2.6. **Quorum:** at least three members present, including two independent Governors
- 2.7. **Frequency:** At least two meetings each academic year

### 3. TERMS OF REFERENCE

#### 3.1. Duties

- (a) to review the equality and diversity programme and objectives and keep under review the effectiveness of arrangements in place to:
  - eliminate unlawful discrimination, harassment and victimisation;
  - advance equality of opportunity between people who do, and do not, share a protected characteristic
  - foster good relations between people who share, and those who do not share, a protected characteristic
- (b) to review action plans to promote and implement the School's equality and diversity programme;
- (c) to monitor and assess progress in relation to effecting a culture of equality and diversity across the School;
- (d) to review any trends arising from analysis of equality and diversity statistics in relation to staff, students and applicants and any impact on progression;
- (e) to review the annual equality monitoring report;
- (f) to review strategy in relation to widening access and participation;
- (g) to review the Access and Participation Plan and monitor progress against targets;
- (h) to agree and monitor indicators that measure performance in relation to equality and diversity;

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- (i) to keep under review the effectiveness of procedures to ensure the Governing Body's own composition reflects societal norms and values.

### 3.2. Reporting procedures

The Minutes of Meetings will be circulated to the Governing Body



## Health and Safety Management Committee (HSMC)

### 1. PURPOSE

- 1.1. The Executive Management Group (EMG) has established a committee known as the Health and Safety Management Committee (HSMC). Its role is to set standards, enable and ensure the effective management, co-ordination and operation for the planning, organisation, control, monitoring and review of health, safety and wellbeing at Central.

### 2. MEMBERSHIP

- 2.1. Ex Officio members will include: the Director of Operations as Chair; Academic Registrar/Director of Academic Services; Head of Central and Academic Facilities; Administrator to Facilities, Environment, Health and Safety; Deputy Dean, Faculty Management; Head of Technical Support Department; Human Resources Officer; Chair of Health, Safety and Wellbeing Working Group; NEBOSH qualified officer.
- 2.2. The membership shall also include: staff representation from across all departments of the School; staff representation from the undergraduate and postgraduate provision; a Student Union representative, and a representative from each of the staff unions.
- 2.3. The Governing Body Health Safety and Wellbeing Champion shall attend one meeting per year, notionally the Autumn term meeting.
- 2.4. **Secretary:** nominated by the Chair
- 2.5. **Quorum:** nine members present
- 2.6. **Frequency of Meetings:** at least three times a year, notionally each term

### 3. TERMS OF REFERENCE

- 3.1. The Committee will have the following specific duties:
  - (i) to develop, put into place and keep under review all safety policies and standards for all aspects of the work and operation of Central in compliance with legislation on health, safety and wellbeing for recommendation to EMG and, if appropriate, the Audit Committee;
  - (ii) to ensure and monitor that adequate arrangements are in place to assess risks to staff, students, partners, stakeholders and any other people who could be affected by their activities;
  - (iii) to ensure that adequate arrangements are in place for the effective planning, organisation, control, monitoring and review of preventative and protective measures;
  - (iv) to monitor and review the provision of and arrangements for safety training, fire safety and first aid;
  - (v) to monitor that adequate arrangements are in place to consult staff and students about their risks at work and current preventative and protective measures;
  - (vi) to review and consider summarised reports and trends on accidents and incidents and follow-up management action thereon;

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- (vii) to monitor and review and to require, where necessary, follow-up on any matters of health and safety non-compliance or any unsafe or unhealthy working practices;
- (viii) to monitor and review that adequate arrangements are in place to access competent health, safety and wellbeing advice and for the promulgation of advice and information on health, safety and wellbeing matters School-wide;
- (ix) to commission, receive and review annual statements on health, safety and wellbeing performance/ compliance;
- (x) to initiate discussion on health, safety and wellbeing topics to enhance good practice. In this regard, the committee will invite individuals to attend from time to time;
- (xi) to publically disseminate information and share good practice on health, safety and wellbeing throughout the School community;
- (xii) to receive, consider and agree management action arising from periodic safety audit reports;
- (xiii) to advise EMG and Audit Committee of the resource requirements of health, safety and wellbeing policies and procedures; and
- (xiv) to provide an annual report on the management and compliance of health, safety and wellbeing to EMG and to Audit Committee.

## Conferment of Academic Titles Committee (CATC)

### 1. PURPOSE

- 1.1. To review application and make recommendation for conferment of academic title.

### 2. MEMBERSHIP

- 2.1. Ex officio membership shall include: Principal (or agreed designate), Dean of School, Director of Research, Academic Registrar/Director of Academic Services, up to four members of the academic staff of the School holding University of London Professorships; Head of Human Resources, one member of the professorial staff in the field of drama/theatre/performance from another College of the University of London, up to two members of the professorial staff in the field of drama/theatre/performance from a UK university other than the University of London.

*\* In circumstances where the business of a meeting of the CATC is limited to the award of a School title only, the committee will be considered quorate with only one external member in addition to the internal members*

- 2.2. Members of the committee shall not be permitted to act as personal referees for any persons submitting an application to the committee.
- 2.3. **Secretary:** Academic Registrar/Director of Academic Services
- 2.4. **Frequency of Meetings:** At least annually

### 3. TERMS OF REFERENCE

- 3.1. To consider applications for the title of Professor and Reader in accordance with the University of London Regulation relating to Professors and Readers (Regulation 3) and in accordance with the approved procedures.
- 3.2. To receive advice from Interview Panels, properly constituted under Regulation 3 of the University of London, on appointing individuals to the title of Professor and Reader by external competition and in accordance with the approved procedures.
- 3.3. To consider proposals for conferment of the title of 'Emeritus Professor' and 'Emeritus Reader' in accordance with the approved procedures.
- 3.4. To consider proposals for the conferment of the title of 'Visiting Professor' and 'Visiting Reader' in accordance with the approved procedures.
- 3.5. To consider proposals for the conferment of the title of 'Honorary Professor' and 'Honorary Reader' in accordance with the approved procedures.
- 3.6. To process conferment of the title of 'Teacher of the University of London' in accordance with the approved procedures.
- 3.7. To consider applications for the title of Principal Lecturer in accordance with the approved procedures.
- 3.8. To consider applications for the title of Senior Lecturer in accordance with the approved procedures.
- 3.9. To report to the Academic Board, through the submission of the minutes of each meeting, and - where requested by the Vice-Chancellor - to formally report to the University of London, the details of all those conferred with the title of Professor, Reader and Teacher of the University of London for its central register of such persons.
- 3.10. To consider recommendations from the appropriate School authority to withdraw an Emeritus, Honorary or Visiting title from an individual and, where appropriate, to report any such withdrawals to the Vice-Chancellor of the University.

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### Promotions and Rewards Committee (PRC)

#### 1. PURPOSE

- 1.1. The Promotions and Reward Committee (PRC) is the formal decision-making body which considers and reaches decisions on staff applications for grade promotion and contribution points.

#### 2. MEMBERSHIP

- 2.1. Membership shall include the Deputy Principal, Director of Operations, up to two senior academic staff members paid outside of the national payscale and up to two professional staff members paid outside of the national payscale.
- 2.2. **Secretary:** Deputy Clerk to Governors
- 2.3. **Quorum:** 3 members present
- 2.4. **Frequency:** At least one meeting each academic year

#### 3. TERMS OF REFERENCE

- 3.1. To monitor, review and have oversight of Central's Promotion and Reward Policy for all staff Paid on Central's 56 Point Pay-Scale (extended from the National 51 Point Pay-Scale).
- 3.2. To review and report annually to the Principal and Human Resources Committee on the operation of the grade promotion and contribution point procedures and to make recommendations, as appropriate, on developments or changes to the Promotion and Reward Policy for all staff Paid on Central's 56 Point Pay-Scale.
- 3.3. To act as the decision-making body for all individual applications put forward to the Committee in accordance with the grade promotion and contribution point procedure.
- 3.4. To review and consider all applications put forward to the Committee based on factual evidence and written material and in strict keeping of criteria published in Central role profiles.
- 3.5. To monitor, review and have oversight of equality and diversity issues in relation to grade promotion and the contribution point procedure.

## Research Committee (RC)

### 1. PURPOSE

- 1.1. To advise the Academic Board on the systems, policies and strategy relating to the research activities of the institution. To undertake development and evaluative work on behalf of the Academic Board in relation to institutional academic initiatives, regulations and procedures to secure and advance the research output of the institution. To maintain a dialogue between other relevant committees of the Academic Board and EMG.
- 1.2. The Research Committee has two sub-committees:
  - Research Degrees Sub-Committee (RDSC)
  - Research Ethics and Integrity Sub-Committee (REISC)

### 2. MEMBERSHIP

- 2.1. Ex officio membership shall include: Director of Research, Associate Director of Research, Chair of the Research Ethics and Integrity Sub-committee, Head of Research Services, Head of Library Services.
- 2.2. The Director of Research shall, with the chairs of RDSC and REISC, also nominate, from expressions of interest, five members of staff with significant responsibility for research including one Early Career Researcher, one Professor and one member of staff with Knowledge Exchange experience.
- 2.3. A Postgraduate Research Student representative shall also be invited to attend for specific agenda items.
- 2.4. Nominated members will serve a minimum term of 2 academic years and a maximum term of 3 academic years, with an option to review for a further term.
- 2.5. **Secretary:** Assistant Academic Registrar
- 2.6. **Quorum:** Four members present
- 2.7. **Frequency of Meetings:** Termly

### 3. TERMS OF REFERENCE

- 3.1. **Reports to: Academic Board**
  - i. To develop a strategy for the growth of high quality research at the School, and oversee its implementation;
  - ii. To identify areas of potential research growth and to establish policies to stimulate appropriate research activity in such areas;
  - iii. To advise on priorities in the allocation of available funds to specific research projects;
  - iv. To monitor and evaluate research activity across the School, and to agree an annual research report to the Academic Board;
  - v. To oversee and receive reports on bids for research funding in relation to the research profile.
  - vi. To provide strategic guidance as necessary on issues pertaining to Research Degrees, internal research funding and Research Ethics and Integrity which are handled by its subcommittees.

## Research Degrees Sub-committee (RDSC)

### 1. PURPOSE

- 1.1. To oversee the admission, supervision and progression of Research Degrees students in accordance with procedures approved by the Academic Board and defined in the Research Degrees Handbook. To make recommendations concerning the regulations and procedures to ensure the quality and standard of the Research Degrees Programme.

### 2. MEMBERSHIP

- 2.1. Ex officio membership shall include: Director of Research, Associate Director of Research (Research Degrees), Director of Teaching and Learning (or their representative), Head of Research Services.
- 2.2. Membership shall also include nominated supervisors, including an Early Career Researcher.
- 2.3. A Postgraduate Research Student representative shall also be invited to attend for specific agenda items.
- 2.4. Nominated members will serve a minimum term of 2 academic years and a maximum term of 3 academic years, with an option to review for a further term.
- 2.5. **Secretary:** Assistant Academic Registrar
- 2.6. **Quorum:** Four
- 2.7. **Frequency of Meetings:** Termly

### 3. TERMS OF REFERENCE

#### 3.1. *Reporting*

To report to the Research Committee, which will refer items for approval to the Academic Board, as necessary.

#### 3.2. *Policy & Procedures*

- i. To advise the Research Committee on quality assurance and regulatory issues, on the sharing of good practice and on the development of School policy affecting students registered on research-based higher degree programmes.
- ii. To advise the Research Committee on the development of appropriate policies to support postgraduate research students - such as admission, supervision, examination and monitoring of progress, and to oversee their implementation.
- iii. To advise the Research Committee of appropriate training arrangements for PhD supervisors and to oversee the implementation of these.

#### 3.3. *Operational*

- i. To consider and approve applications from students to register on research-based higher degree programmes, including approval of the format of practice-based thesis submissions.
- ii. To delegate consideration of applications for Central bursaries and AHRC awards from prospective postgraduate research students.
- iii. To agree and monitor supervision and review arrangements for individual postgraduate research students, including the monitoring of recommendations to upgrade from MPhil to PhD.

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- iv. To consider applications for interruption of study, periods of study overseas or off-campus study
- v. To ensure that appropriate arrangements are put in place to receive and review feedback from students.
- vi. To nominate examiners for thesis submissions.
- vii. To monitor thesis submission and success rates.
- viii. To ensure that issues raised in external examiners' reports are taken forward appropriately.
- ix. Minutes to be sent to the Learning, Teaching and Student Experience Committee for information.

### 3.4. *Annual Monitoring*

To produce an Annual Report for the Research Committee, for onward transmission to Academic Board, advising the School of the quality of its provision for postgraduate research students, in relation both to academic standards and to the standard of facilities available.

### 3.5. *Delegated Authority*

To take decisions in relation to applicants for research degrees, supervisory teams, student progression and the transfer of students' registration from MPhil to PhD, and other changes of status within the regulations.

## Research Ethics and Integrity Sub-committee (REISC)

### 1. PURPOSE

- 1.1. To ensure that due diligence is paid to all matters concerning ethics in research and research integrity at the School.

### 2. MEMBERSHIP

- 2.1. Ex officio membership shall include: Director of Research, Head of Research Services, and Reader and Professorial representatives, from which the Chair will be appointed.
- 2.2. Membership shall also include Early-Career and Mid-Career academic staff, one Postgraduate Research Student representative nominated by the Director of Research and an external member with research expertise.
- 2.3. A Postgraduate Research Student representative shall also be invited to attend for specific agenda items.
- 2.4. Nominated members will serve a minimum term of 2 academic years and a maximum term of 3 academic years
- 2.5. **Secretary:** Head of Research Services
- 2.6. **Quorum:** Four members present
- 2.7. **Frequency of Meetings:** Termly

### 3. TERMS OF REFERENCE

- 3.1. **Reports to:** Research Committee
  - i. To consider the general ethical issues that relate to research activities at the School (including research assignments within taught courses) which involve human participants or use of ethically sensitive material.
  - ii. To ensure that appropriate ethical codes of practice are made available to staff and students involved in research projects, at all academic levels, and to keep the suitability and use of those codes under periodic review.
  - iii. To review the ethical implications of individual project proposals, as referred to the Committee, and to authorise or reject proposals, or require additional measures to be taken as a condition of authorisation, or - at the discretion of the Committee - to refer proposals for an external expert opinion.

*Note: The subcommittee may be convened electronically when appropriate.*



## Academic Board (AB)

### 1. PURPOSE

- 1.1. The purpose of the Academic Board is to provide academic oversight in relation to the academic provision of the School and is defined in the School's *Instrument and Articles of Government, paras. 49-54*

### 2. MEMBERSHIP

- 2.1. Membership shall be no more than thirty members comprising such officers of the School; course leaders/co-coordinators; academic, non-academic and student representatives and representatives from partner institutions as may be approved by the Governors from time to time.
- 2.2. The majority of Academic Board members must be drawn from Senior Managers, for this purpose defined as the holders of senior posts, heads of department or course leaders/co-coordinators.
- 2.3. The Principal shall act as Chair and may nominate a Deputy Chair from among the academic staff membership to take the Chair in their place.
- 2.4. Ex Officio members include: The Principal, Dean of School, Director of Learning and Teaching, Director of Research, Director of Innovation and Development, Deputy Director of Learning and Teaching, Academic Registrar/Director of Academic Services, Head of Quality Assurance and Enhancement, Head of Library Services Head of Technical Support Department, Deputy Clerk to Governors, Student Union President.
- 2.5. The period of appointment of members and the selection or election arrangements shall be subject to the approval of the Governors.
- 2.6. The student representatives on the Academic Board shall not be entitled to receive papers or participate in the discussions relating to the admission or academic assessment of individual students, or affecting the appointment, promotion or personal affairs of members of staff of the School. The Chair of the Academic Board shall decide whether a matter falls within the terms of the above proviso. The Chair's decision shall be final and they shall not be bound to give any reason for their decision.
- 2.7. **Secretary:** Academic Registrar and Director of Academic Services; Assistant Academic Registrar in attendance.
- 2.8. **Quorum:** Ten, of whom seven must be from *Ex officio* members
- 2.9. **Frequency of Meetings:** Four each year

### 3. TERMS OF REFERENCE:

- 3.1. Subject to the provisions of the Articles of Association, to the overall responsibility of the **Governors**, and to the responsibilities of the Principal, the Academic Board shall be responsible:
  - (a) subject to the requirements of validating and accrediting bodies, for: general issues relating to the research, scholarship, teaching and courses at the School, including criteria for admission of students; the appointment and removal of internal and external examiners; policies and procedures for assessment and examination of the academic performance of students; the content of the curriculum; academic standards and the validation and review of courses; the

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procedures for the award of qualifications and honorary academic titles; and procedures for the expulsion of students for academic reasons;

- (b) for considering the development of the academic activities of the School and the resources needed to support them and for advising the Principal and the Governors thereon;
  - (c) for advising on such matters as the Governors or the Principal may refer to the Academic Board.
- 3.2. The Academic Board may establish such committees as it considers necessary to enable it to carry out its responsibilities provided that each establishment is first approved by the **Principal** and the Governors. The number of members of any such committee and the terms on which they are to hold and vacate office shall be determined by the Academic Board.
- 3.3. Any minutes of meetings of the Academic Board shall be available for inspection by all **Members** of the School at all reasonable times.

## REF 2021 Strategy and Delivery Group (RSDG)

### 1. PURPOSE

- 1.1. The REF 2021 Strategy and Delivery Group is a sub-group of the School's Research Committee to which it reports. Its purpose is to [oversee and] review [the development of] systems, policies, strategy and delivery in relation to the School's submission to the 2021 Research Excellence Framework and to oversee the School's 2021 REF submission which will be managed by the Director of Research, the Associate Director of Research and the Head of Research Services.

### 2. MEMBERSHIP

- 2.1. Ex officio membership shall include: Director of Research as Chair; Head of Research Services; Director of Operations ; Chair of the Research Ethics and Integrity Sub-committee (REISC); Associate Director of Research (who also serves as Chair of the Research Degrees Sub-committee, RDSC); a UCU representative; Open Research Academic Lead; Knowledge Exchange Fellow; Mid-Career Researcher; Early-Career Researcher.
- 2.2. The Head of Library Services and Impact Manager may be co-opted to membership as required.
- 2.3. **Secretary:** Research Services Administrator
- 2.4. **Quorum:** Five
- 2.5. **Frequency of Meetings:** Twice a year, convening in smaller groups and virtually as required
- 2.6. Members will serve during 2019, 2020 and 2021 up to the point of signing off the REF exercise. The group will cease to operate after the submission of this exercise and associated reports

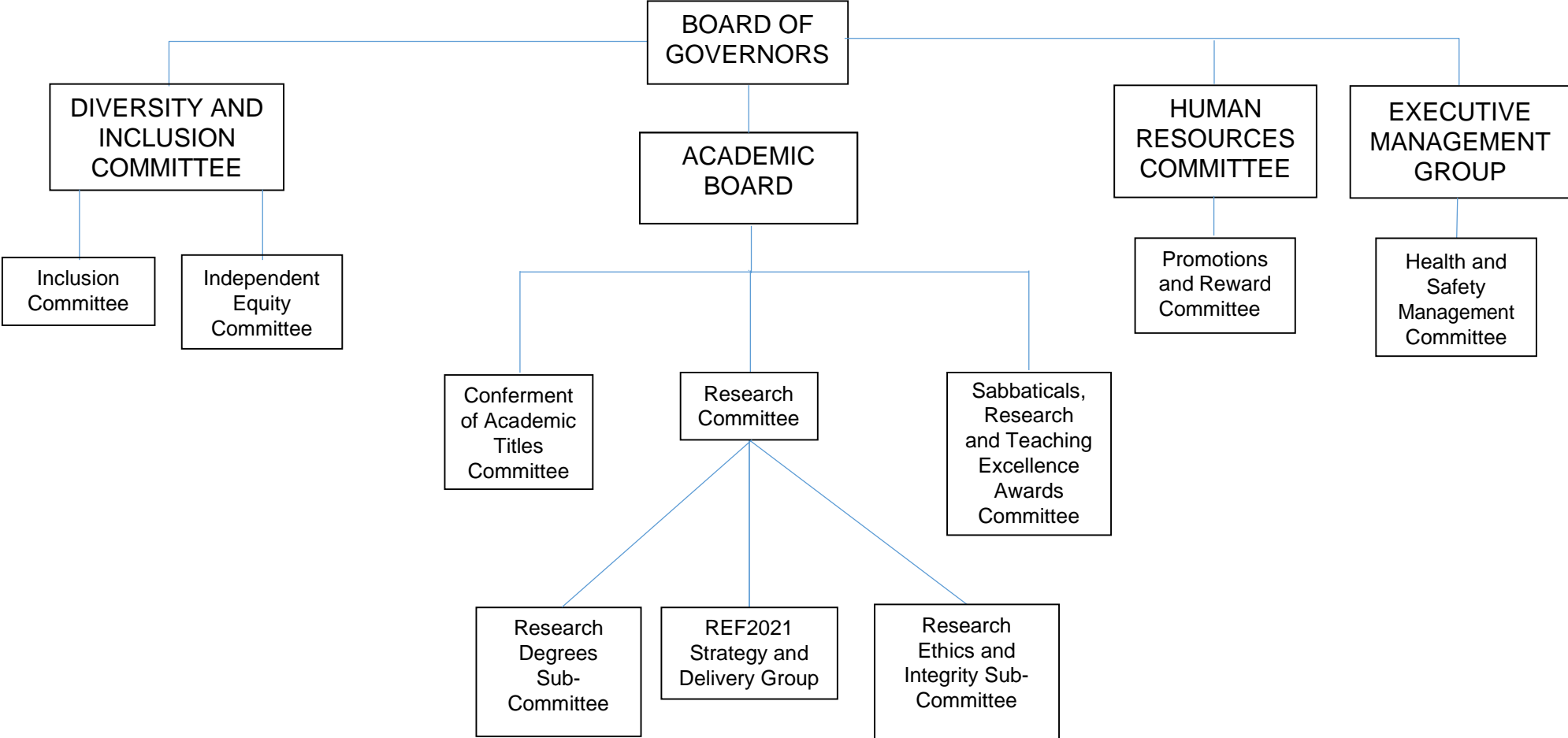
### 3. TERMS OF REFERENCE

- 3.1. **Reports to:** Research Committee
  - i. To oversee the development and implementation of the Code of Practice governing the School's REF submission in accordance with the REFs four guiding principles of Transparency, Consistency, Accountability and Inclusivity;
  - ii. To ensure the representation of researchers at different career stages, and from a range of different research areas, groups and communities within the School, including those with protected characteristics, and on part-time or fixed-term contracts, in all decision-making processes of the School's submission to REF 2021 (reflected in the membership of the group);
  - iii. To apply the School's policy and procedures for determining whether staff meet the definition of an independent researcher;
  - iv. To apply the School's policy and procedures for the fair and transparent selection of outputs in REF 2021, including approaches to supporting staff with circumstances;
  - v. To conduct at regular intervals (with a co-opted external member as appropriate) Equality Impact Assessments on the School's policy and procedures for determining research independence and for selecting outputs for REF 2021, and to approve the return of the final version of the EIA after the submission deadline;

## Appendix 12

- vi. To ensure the School maintains robust procedures to enable staff to declare their circumstances confidentially, and to approve the submission of the final reflective report;
- vii. To oversee the undertaking of ethical external assessments of outputs and impact case studies as appropriate;
- viii. To receive recommendations on, and agree the submission of, impact case studies;
- ix. To agree and sign off any request for unit reduction or removal of the requirement of the minimum of one output by March 2020;
- x. To determine the independent appeals' process and ensure effective communication to all staff;
- xi. To oversee the return of data via the Staff Census;
- xii. To ensure open research compliance;
- xiii. To ensure the effective dissemination of information and instructions from Research England's REF team relating to REF submissions (including data collection and software).

Framework of Governance and Compliance (Selective, pertaining to Research)



## Appendix 14

### REF 2021 Preparation and Circumstances Form

<b>NAME:</b>		<b>FTE:</b>	
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#### Output(s) discussed for submission to REF

#	Title of Output	Dissemination	Response
1		Is it in the public domain?	
		Year of publication/dissemination	
2		Is it in the public domain?	
		Year of publication/dissemination	
3		Is it in the public domain?	
		Year of publication/dissemination	
4		Is it in the public domain?	
		Year of publication/dissemination	
5		Is it in the public domain?	
		Year of publication/dissemination	
6		Is it in the public domain?	
		Year of publication/dissemination	

#### Feedback received to date from assessors on REF outputs in the public domain:

#	Assessor 1	Assessor 2
1		
2		
3		
4		
5		
6		

#### Progress review on outputs in development

--

Appendix 14

<b>Proposed REF output(s)</b>

<b>Open Access Compliance</b>

<b>Impact</b>

<b>Discussion</b>	
Equality, Diversity and Inclusion	
Any complex circumstances that need discussion	
Any other issues that the researcher wishes to discuss in relation to REF	
We are keen to ensure that we document the impact of Covid-19 on our researchers. Please do let us have any information that you feel has impacted on your ability to conduct your research. This might include: caring responsibilities; illness; the closing of venues and archives; cancellations of productions, etc.	

<b>SIGNED:</b>	(e-signature)	<b>DATE of meeting:</b>

## Declaration of Individual Staff Circumstances form

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 Central's commitment to supporting equality and diversity in REF, we have put in place safe and supportive structures for staff to declare information about any equality-related circumstances that may have affected their ability to research productively during the assessment period (1 January 2014 – 31 July 2020), and particularly their ability to produce research outputs at the same rate as staff not affected by circumstances. Please note that completing this form is entirely discretionary, and that the data it aims to capture may already have been previously disclosed on the related 'REF2021 Preparation Meetings Form'.

The purpose of collecting this information is threefold:

- To enable staff who have not been able to produce a REF-eligible output during the assessment period to be entered into REF where they have;
  - circumstances that have resulted in an overall period of 46 months or more absence from research during the assessment period, due to equality-related circumstances (see below)
  - circumstances *equivalent* to 46 months or more absence from research due to equality-related circumstances
  - two or more qualifying periods of family-related leave.
- To recognise the effect that equality-related circumstances can have on an individual's ability to research productively, and to adjust expectations in terms of expected workload / production of research outputs.
- To establish whether 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



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)

### **Ensuring Confidentiality**

For all staff with applicable circumstances, the expectation is that you produce no more than 1 output. If this is not possible, Central will submit an application in March 2020 for the reduction of the minimum output. Disclosure of circumstances is confidential: no individuals are named and discussion will only take place in relation to numerical data around circumstances rather than around specifics of individuals or conditions. We will not be consulting HR records, contract start dates, etc. Any data on this form, like that on the 'REF 2021 Preparation Meetings Form', is held securely by the Director of Research and is anonymised before it is received and discussed by the REF2021 Strategy and Delivery Group. All submitted declarations will be destroyed on completion of the REF assessment phase (December 2021). You will be informed about the outcomes confidentially by the Director of Research.

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

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

### **Changes in circumstances**

Central 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 HR to provide the updated information.

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

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

Yes

No

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

Circumstance	Time period affected
<p><b>Early Career Researcher</b> (started career as an independent researcher on or after 1 August 2016).</p> <p><i>Date you became an early career researcher.</i></p>	
<p><b>Career break or secondment outside of the HE sector.</b></p> <p><i>Dates and durations in months.</i></p>	<p><a href="#">Click here to enter dates and durations.</a></p>
<p><b>Family-related leave;</b></p> <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> <p><i>For each period of leave, state the nature of the leave taken, the dates and durations in months.</i></p>	<p><a href="#">Click here to enter dates and durations.</a></p>
<p><b>Disability (including chronic conditions)</b></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><b>Mental health condition</b></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><b>Ill health or injury</b></p> <p><i>To include: Nature / name of condition, periods of absence, and periods at work when unable to research productively. Total duration in months.</i></p>	
<p><b>Constraints relating to family leave that fall outside of standard allowance</b></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><b>Caring responsibilities</b></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><b>Gender reassignment</b></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><b>Any other exceptional reasons e.g. bereavement.</b></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 only be seen by the Director of Research.
- I realise it may be necessary to share anonymised 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 a member of HR to contact me to discuss my circumstances, and my requirements in relation this these.

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

Please contact me by Email  Insert email address

Please contact me by Phone  Insert contact telephone number

*To submit this form you should email it to the Director of Research.*

## The Royal Central School of Speech and Drama

### Single Equality Scheme

January 2015

## Contents

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## **1 Purpose of the Single Equality Scheme**

This document explains why Equality and Diversity is vital to Central and explains initiatives that will be taken to encourage a positive approach to Equality and Diversity.

Central wishes to embrace the spirit of Equality and Diversity by bringing together into one place all of its policies regarding equality of opportunity and the diversity of the School's community so that it can support informed decisions, actions, policies, processes and practices. The Single Equality Scheme will bring together ways in which Central School of Speech & Drama seeks to monitor, enhance and celebrate Equality and Diversity in its culture, ethos and operation.

This Single Equality Scheme serves as an umbrella document for all Equality and Diversity Policies and will be the document under which future Equality and Diversity Policies will sit.

### **1.2 Publication and Ownership of the Single Equality Scheme**

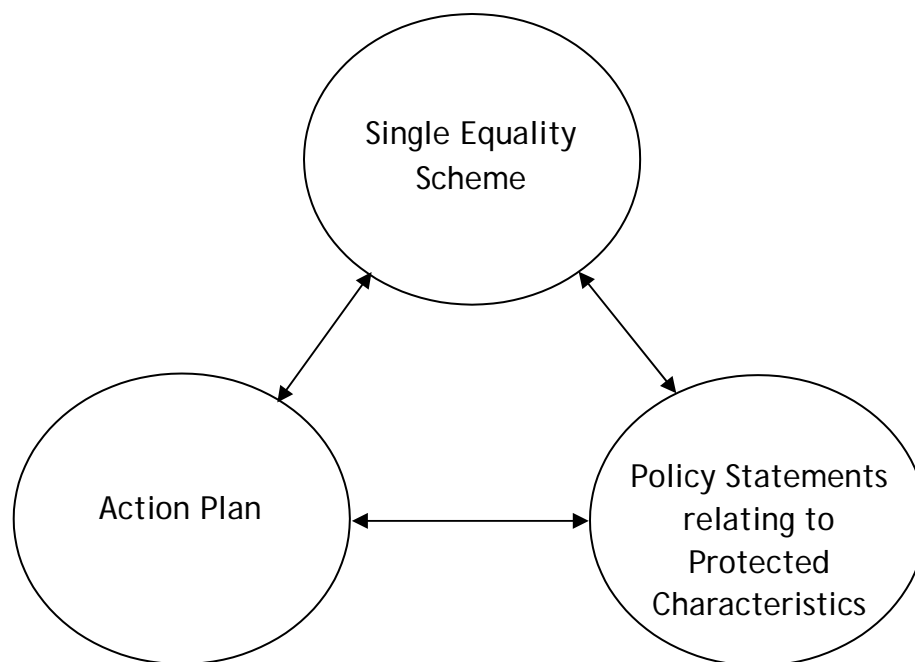
Central's Single Equality Scheme is published on our website.

The Equality and Diversity Committee, in association with the relevant department heads, academic course leaders and the Clerk to the Board of Governors, will ensure that the scheme is disseminated to all relevant parties, ensuring that staff, students and Governors are aware of their duties and responsibilities in relation to the Single Equality Scheme. For example, Human Resources will issue the scheme to all new staff during induction programmes and the Academic Registrar's office /Student Union President will ensure the scheme is readily available to all students.

In addition, all third party relationships with Central (whether they are visitors, hosts, contractors, visiting professionals etc) will adhere to the Scheme and embrace Central's positive culture as it relates specifically to Equality and Diversity.

### 1.3 The Single Equality Scheme

The Single Equality Scheme interacts with two other key documents and should be read in conjunction with them: the Equality and Diversity Action Plan and The Policy Statements for Equality related to each Protected Characteristic<sup>1</sup>. The Scheme, the Action Plan and the Policy Statements on Equality for the specific Protected Characteristics work together in a dynamic way so that the scheme can be responsive to future changes. It might be helpful to think of the scheme expressed as:



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<sup>1</sup>See Section 4 for a description of Protected Characteristics.

## 2 Background Information

Like most Higher Education Institutions, and as part of our responsibility as a public body/employer, Central developed discrete policies in relation to Equality and Diversity, for example the Disability Equality Scheme, Race Equality Scheme and the Gender Equality Scheme. Although these Schemes were effective, on occasions the administration and implementation of certain targets within each scheme has been slow as the management/oversight of objectives has not been efficiently synchronised.

With the introduction of further Protected Characteristics in October 2010 (Equality Act 2010), Central wanted to ensure it had a solid framework that supports us in demonstrating due regard to the need to:

- eliminate discrimination, harassment and victimisation and other conduct prohibited by the Equality Act 2010;
- advance equality of opportunity between people from different groups;
- foster good relations between people from different groups in a quick, flexible and robust way.

Hence the creation of the Single Equality Scheme.

The Single Equality Scheme will represent Central's ethos and culture as it relates to Equality and Diversity, will present the principles of Equality and Diversity within a small specialist institution and will specify how the Scheme aims to deliver effectively on a year by year basis.

## 3 Central's Ethos and Culture

As indicated in the mission statement, Central places Equality and Diversity at its heart by "opening doors to our disciplines for new thinkers, makers and practitioners in dispersed and diverse communities and seeking to lead participation in varied but interrelated communities of interest and study". To this end, Central will rise to the challenges that Equality and Diversity presents to organisations and cultures and in response endeavour to eliminate and prevent discrimination and to promote good relations and equality of opportunity.

Central also recognises that Equality and Diversity matters are a fluid and rapidly developing area where new ideas may challenge previous forms of good equality and diversity practices. For example, since The Stephen Lawrence Enquiry of 1999 there has been a development and broadening acceptance of how structures, procedural systems and normative cultural



assumptions within an organisation, when not regularly questioned and reviewed, can become prejudicial against certain groups and individuals.

Central publishes this document as part of the ethos of a positive and welcoming attitude to Equality and Diversity.

#### **4 The Equality Act**

Central's Single Equality Scheme is underpinned by The Equality Act 2010. The Equality Act 2010 currently indicates that institutions must focus their Equality and Diversity Policies around nine Protected Characteristics. Protected Characteristics are the grounds upon which, generally, discrimination is unlawful. The Protected Characteristics under the Equality Act 2010 are as follows:

- Age
- Disability
- Gender Reassignment
- Marriage and civil partnership
- Pregnancy and maternity
- Race
- Religion or belief (including lack of belief)
- Sex
- Sexual Orientation

Appendix B provides brief descriptions of the Protected Characteristics, including further information on legislation.

#### **5 Principles of the Single Equality Scheme**

The principles of Central's Single Equality Scheme are:

- to maintain a high level of good practice in relation to all Equality and Diversity matters;
- to be proactive in gathering feedback from diverse groups within Central by seeking consultation with stakeholders, especially those who identify with the Protected Characteristics, whilst generating policy and procedures;
- to take feedback seriously and act upon it;
- to promote knowledge about Equality and Diversity to encourage positive relations in Central's culture;
- to promote the use of Equality Impact Assessments as part of the normal procedure of policy generation;
- to be aware of the industries in which Central operates and promote/implement measures of good equality and diversity practices.

## 6 Equality and Diversity Themes

As Central's Single Equality Scheme brings together all existing Equality and Diversity Policies there will be greater coherence across the different Equality and Diversity strands. This coherence will allow Central to identify any emergent themes and be able to react more fluidly to the demands/nature of each theme - such themes might not be noticed if each policy remained separate.

As previously mentioned, the Single Equality Scheme will identify a range of Equality and Diversity themes that will become the focus of Central's business on an annual basis. Each theme will last one academic year and will be subject to change on a year by year basis.

The themes will direct Equality and Diversity related practices in a way that is able to respond to changes in legislation; changes in the Higher Education landscape; changes in the culture of Central and changes in the communities with whom we work.

The themes may change as and when appropriate as the context in which Central operates also changes. The themes will be developed through consultation with the Central community via the Equality and Diversity Committee.

## 8 Reviewing, Monitoring, Engaging and Consulting.

Primarily, the Single Equality Scheme will be reviewed on an annual basis by the Equality and Diversity Committee. However, there is an expectation that Central's community will also review the effectiveness of the Scheme by taking part in feedback mechanisms such as annual monitoring, the National Student Survey and groups specifically convened to reflect and feedback on Equality and Diversity matters (such as focus groups, forums for specific groups, use of anonymous feedback systems etc).

Central will maintain, monitor and extend its commitment to Equality and Diversity by reviewing what it does regularly, consulting with people from a range of diverse backgrounds who are part of the Central community, enhancing and sharing good practice.

The impact that consulting and engaging with people has on what we do at Central, will be reported through the Equality & Diversity Newsletter and annually in our Annual Review of this Scheme.

If a student has cause to make a formal complaint that relates to an issue of equality, diversity, discrimination on the basis of their age, race, religion, disability, sexual orientation, transgender status, status relating to marriage and civil partnership, pregnancy or maternity, that complaint will

be dealt with as part of the School's Complaints Procedures. Similarly, if a member of staff makes a complaint or takes out a grievance relating to those same things, the issue will be dealt with through the appropriate employee relations procedure.

## Appendix A: Our duties under the Equality Duty

To meet the ambitions of the equality duty, Higher Education Institutions need to demonstrate due regard throughout their functions. Higher education institutions (HEIs), in the exercise of their functions, must have **due regard** to the need to:

- eliminate discrimination, harassment and victimisation and other conduct prohibited by the Equality Act 2010;
- advance equality of opportunity between people from different groups - this involves considering the need to:
  - remove or minimise disadvantages suffered by people due to their protected characteristics;
  - meet the needs of people with protected characteristics;
  - encourage people with protected characteristics to participate in public life or in other activities where their participation is low;
- foster good relations between people from different groups - this involves tackling prejudice and promoting understanding between people from different groups.

**Due regard** comprises two linked elements, proportionality and relevance. ECU recommends that to demonstrate due regard as employers, education and service providers, institutions consider the **relevance** of the three aims of the equality duty when:

- developing, evaluating and reviewing policies (including, for example, those relating to recruitment and selection);
- designing, delivering and evaluating services, including education provisions;
- commissioning and procuring services from others.

To consider **proportionality**, HEIs should determine:

- the relevance of the policy to protected groups;
- the relevance of the policy to the public sector equality duty;
- any concern previously raised about policy or practice;
- any information indicating an adverse impact on a protected group.

To support this HEIs can develop mechanisms to help identify where a policy or practice:

- is likely to result in discrimination against a protected group;
- needs development to ensure that it adequately caters for the requirements of different protected groups;
- positively contributes to the participation of underrepresented groups.

## Appendix B: Protected Characteristics explained

The following are the nine protected characteristics of the Equality Act 2010. For more in-depth definitions see the [Office of Public Sector Information website](#) or the [Equality and Human Rights Commission website](#).

- age
- disability
- gender reassignment
- marriage and civil partnership
- pregnancy and maternity
- race
- religion or belief (including lack of belief)
- sex
- sexual orientation
- socio-economic status\*

Central's Statements on Equality relate to each of these Protected Characteristics by name, with the exception of the Statement on Transgender Equality (which relates to Gender Reassignment).

\* Socio-economic status is not a listed Protected Characteristic in the Equality Act 2010, though it is a factor that Central considers when planning policy, process and practice.

### Age

Where this is referred to, it refers to a person belonging to a particular age (e.g. 32 year olds) or range of ages (e.g. 18 - 30 year olds). The aim of the Single Equality Scheme is to prevent unfair treatment of staff and students due to their chronological age *unless* the treatment can be shown to be a proportionate way of achieving a legitimate aim. The Scheme also protects against discrimination on the grounds of an individual's apparent age.

### Disability

A person has a disability if s/he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.

Current disability legislation is generally categorised into two types:

- that which gives individual staff, students and visitors to an institution the right not to be discriminated against or harassed, and therefore requiring institutions to develop policies to prevent such situations arising;
- more positively framed legislation that does not give new rights to individual disabled people, but places more proactive duties upon institutions and other public bodies, such as the duty to promote positive attitudes towards disabled people.

A wide range of written materials is produced for students, including course handbooks and lecture notes. Careful consideration needs to be taken to ensure written documents are accessible to the full student body - both to ensure an inclusive environment and to meet the requirements of disability legislation.

Current disability equality legislation, allows for disabled people to be more favourably treated than a non-disabled person. As such it remains lawful to make reasonable adjustments in relation to employment, education and services to ensure true equality of opportunity for disabled people. Further information about this can be found in the [Disability Discrimination Act \(DDA\) 2005](#).

### **Gender reassignment**

Gender reassignment is the process of transitioning from one gender to another. It is unlawful to treat a person less favourably on the grounds that s/he intends to undergo gender reassignment, or is undergoing gender reassignment, or has at some time in the past undergone gender reassignment. A person who has undergone gender reassignment has the right to live as if they had always been of the chosen gender. In particular, computer systems must always reflect the current gender, and records held about the person should be audited to ensure they reflect the current gender.

Any unwarranted or unwelcome comment or discussion about a person's appearance or altering appearance could constitute direct or indirect discrimination, victimisation or harassment. We will endeavour to ensure there is adequate training and information available to all staff and students about the reasons for, and process of, gender reassignment, so that a supportive and non-prejudicial environment can exist. The person concerned should feel that Central provides an environment within which they can be open about their intentions and procedures.

### **Marriage and civil partnership**

Although there is no statutory definition identifying what 'marriage' is, the 1949 Marriage Act governs inter alia how marriage can be solemnised, as well as certain age, kindred and affinity restrictions. In 2013, Parliament passed the Marriage (Same Sex Couples) Act which introduced civil marriage as an institutional status for same-sex couples in England and Wales who have undergone such a ceremony. Marriage

therefore no longer solely applies to a 'union between a man and a woman'. The 2013 legislation enabled civil partners to convert their civil partnership into marriage and transsexual people to change their legal gender without necessarily having to end their existing marriage. The Civil Partnership Act 2004 which came into effect on December 5th 2005 gave same-sex couples the right to legally register their relationships as 'civil partnerships'.

### **Pregnancy and maternity**

Pregnancy is the condition of being pregnant. Maternity refers to the period of 26 weeks after the birth, which reflects the period of a woman's ordinary maternity leave entitlement in the employment context.

### **Race**

The protected characteristic of Race refers to a group of people defined by their race, colour, and nationality (including citizenship), ethnic or national origins.

### **Religion and belief**

Religion or belief is defined as any religion, religious belief, or philosophical belief or absence thereof.

Generally, a belief should affect your life choices or the way you live for it to be included in the definition. It does not include a political belief. Care must be taken to distinguish between a political belief and a philosophical belief akin to a religion. The legislation does not require that a belief is held by more than one person, and allows personal interpretation of religious edicts, etc. The legislation also allows an individual's faith and practice to alter over time.

### **Sex**

This protected characteristic is about a person's sex e.g. male, female, intersex. Legislation is about avoiding discrimination based on a person's sex.

### **Sexual orientation**

The sexual orientation regulations prohibit direct or indirect discrimination, victimisation or harassment on the grounds of sexual orientation. Sexual orientation relates to whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes.

### **Socio-economic status**

This is not a Protected Characteristic within the Equality Act 2010, but at Central, we are interested in looking at ways to begin monitoring, and therefore understanding the impact of socio-economic status on the experiences of students and staff.

## **The Royal Central School of Speech and Drama**

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# **STATEMENTS ON EQUALITY**

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## Statements on Equality

The following Statements are modelled on examples given by the Equality Challenge Unit [www.ecu.ac.uk](http://www.ecu.ac.uk)

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## Policy Statement on Age Equality

The Royal Central School of Speech and Drama [Central] celebrates and values the diversity of its workforce and student population and believes that the School will benefit from people of differing ages employed at all levels of responsibility and engaged in study with us; thus hoping to provide positive role models for staff and students who identify with people of different ages. Central will treat all employees and students with respect, and seek to provide a positive working and learning environment free from discrimination, harassment or victimisation based on age (self-identified or perceived).

The Equality Act 2010 makes it unlawful to discriminate against, employees, job seekers and trainees because of their age. The regulations also apply to the relationship between a student and Central. Specifically with regard to staff the regulations cover recruitment, terms and conditions of employment, promotions, transfers and redeployment, dismissals and training and development.

Central undertakes the following:

- Students will not be denied access to courses, progression, or fair and equal treatment while on courses because of their age.
- No job applicant, potential or existing member of staff in any employment designation, or potential or existing student receives less favourable treatment on the grounds of age or on any other grounds not relevant to good employment and learning practice.
- No job advertisements will contain references to age or length of experience. Language and images that might imply an age preference will also be avoided. Care will be taken to advertise in publications or websites that are aimed at a diverse age profile, unless (in exceptional circumstances only) this can be justified on an objective basis or is a Genuine Occupational Requirement (see 'Objective Justification').
- Central's job application form does not ask applicants to disclose their age or date of birth. A private and confidential monitoring form is issued to all applicants separately and the information is retained by HR for monitoring purposes only.
- There is no legal retirement age, and Central has no expectations that its employees retire at a particular age.
- The curriculum will not intentionally rely on or reinforce stereotypical assumptions about age, nor promote ageist attitudes. Although it is acknowledged that some productions may appear to challenge this notion as it may be a significant aspect of the play/production.
- Central will respect the confidentiality of all staff and students in relation to their age and will not reveal information without the prior agreement of the individual.
- As a Higher Education establishment, Central is required to submit annual statutory returns to third party agencies, for example HEFCE, HESA, etc.

- These statutory returns include confidential and personal information in relation to staff and students and the information submitted is anonymous to the individual concerned.
- Abuse, harassment or bullying (name-calling/derogatory jokes, unacceptable or unwanted behaviour, intrusive questions) in relation to a person's age is a serious disciplinary offence and will be dealt with in accordance with Central's disciplinary procedure.
- Central will include age-related issues in equality training. All staff involved in interviewing and short listing will be provided with guidance about their responsibilities not to discriminate on the grounds of age and use the requirements of the job description to assess applicants.
- Central will consult with staff, students and the community of a range of ages as part of review processes.
- Central will include age in internal attitudinal surveys, and when monitoring complaints of harassment.
- Central recognises that staff and students come from diverse backgrounds, and will strive to ensure they do not face discrimination on the grounds of their age or in relation to other aspects of their identity, for example, their race, religion, disability, sexual orientation, transgender status, status relating to marriage and civil partnership, pregnancy or maternity.
- Central will ensure that its environment, in terms of its pictures, images, publicity materials and literature, reflects the diversity of its staff and students.
- Central will seek to develop appropriate mechanisms for monitoring the ages of staff and students which are sensitive to the possibility of individuals' needs for confidentiality as a way of facilitating the promotion of equality in this area.

#### Objective Justification

The Regulations specify that treating people differently because of age is permissible if there is an objective justification or a Genuine Occupational Requirement. Both direct and indirect discrimination will be justified if it is "a **proportionate means of achieving a legitimate aim**".

#### Proportionate means:

- The action contributes to a legitimate aim; and
- There is no reasonable alternative course of action; and
- The discriminatory effect should be significantly outweighed by the importance and benefits of the legitimate aim.

#### Legitimate aims might include:

- Economic factors such as business need and efficiency;
- The health, welfare and safety of the individual (including protection of young people and older workers);
- The particular training requirements of the job.

Objective justification usually will only be relied on by Central after discussion with members of the HR team or, in the case of student matters, with the Academic Registrar's Office.

## Policy Statement on Disability Equality

The Royal Central School of Speech and Drama (Central) celebrates and values the diversity of its workforce and student population, and believes that the School will benefit from people of different abilities and disabilities employed at all levels of responsibility and engaged in study with us; thus hoping to provide positive role models for staff and students who identify with people of different abilities and disabilities. Central will treat all employees and students with respect, and seek to provide a positive working and learning environment free from discrimination, harassment or victimisation based on disability

Current disability legislation is generally categorised into two types:

- that which gives individual staff, students and visitors to an institution the right not to be discriminated against or harassed, and therefore requiring institutions to develop policies to prevent such situations arising;
- more positively framed legislation that does not give new rights to individual disabled people, but places more proactive duties upon institutions and other public bodies, such as the duty to promote positive attitudes towards disabled people.

Central undertakes the following:

- Students will not be denied access to courses, progression to other courses, or fair and equal treatment while on courses because of their disability.
- The recruitment, selection and promotion of Central's staff will be based on relevant criteria only, which do not include disability.
- The curriculum will not intentionally rely on or reinforce stereotypical assumptions about disability nor promote discriminatory attitudes relating to disability. Although it is acknowledged that some productions may appear to challenge this notion as it may be a significant aspect of the play/production.
- Staff will not be excluded from employment or promotion because of their disability.
- Abuse, harassment or bullying (name-calling/derogatory jokes, unacceptable or unwanted behaviour, intrusive questions) based on a person's disability is a serious disciplinary offence and will be dealt with in accordance with Central's disciplinary procedure.
- Discriminatory material relating to a person's disability or disability in general, in the form of written materials, graffiti, music or speeches, will not be tolerated. Central undertakes to remove any such propaganda whenever it appears on the premises.
- Central will include disability related issues in equality training.
- Central will consult with staff, students and the community of a range of disabilities as part of review processes.
- Central will include disability in internal attitudinal surveys, and when monitoring complaints of harassment.

- Central recognises that staff and students come from diverse backgrounds, and will strive to ensure they do not face discrimination on the grounds of their disability or in relation to other aspects of their identity, for example, their sexual orientation, race, age, religion, beliefs, transgender status, status relating to marriage and civil partnership, pregnancy or maternity.
- Central will ensure that its environment, in terms of its pictures, images, publicity materials and literature, reflects the diversity of its staff and students.

## Policy Statement on Transgender Equality

The Royal Central School of Speech and Drama (Central) recognises that there can be differences between physical sex and gender identity/expression. Central will at no time discriminate against people on the grounds of transgender identity, transvestism, transsexualism, intersex conditions or any process of gender reassignment, begun or complete.

Where this policy refers to 'trans people', it has in mind people living with any of these identities. When it refers to 'gender identity', it covers both the fixed identity of people living in the gender of their birth and the more fluid identities of many trans people.

Central celebrates and values the diversity of its workforce, and believes that the School will benefit from employing trans people at all levels of responsibility, thus hoping to provide role models for students who identify as trans. Central will treat all employees and students with respect, and seek to provide a positive working and learning environment free from discrimination, harassment or victimisation.

Central undertakes the following:

- Students will not be denied access to courses, progression to other courses, or fair and equal treatment while on courses because of their gender identity.
- The curriculum will not intentionally rely on or reinforce stereotypical assumptions about trans people, nor promote transphobic attitudes. Although it is acknowledged that some productions may appear to challenge this notion as it may be a significant aspect of the play/production.
- Central will respect the confidentiality of all trans staff and students and will not reveal information without the prior agreement of the individual.
- Staff will not be excluded from employment or promotion because of their gender identity.
- Transphobic abuse, harassment or bullying (name-calling/derogatory jokes, unacceptable or unwanted behaviour and intrusive questions) is a serious disciplinary offence and will be dealt with under the appropriate disciplinary procedure.
- Transphobic propaganda, in the form of written materials, graffiti, music or speeches, will not be tolerated. Central undertakes to remove any such propaganda whenever it appears on the premises.
- Central will provide a supportive environment for staff and students who wish their trans status to be known. However, it is the right of the individual to choose whether they wish to be open about their gender identity. To 'out' someone, whether staff or student, without their permission is a form of harassment and, possibly, a criminal offence.
- Central will include gender identity issues in equality training.
- Central will consult with trans staff and students and the trans community as part of review processes.

- Central will include gender identity in internal attitudinal surveys, and when monitoring complaints of harassment.
- Staff and students undergoing medical and surgical procedures related to gender reassignment will receive positive support from Central to meet their particular needs during this period. This may reasonably include authorised absence or extensions to deadlines for work submitted for assessment.
- Central recognises that trans staff and students come from diverse backgrounds, and will strive to ensure they do not face discrimination on the grounds of their gender identity or in relation to other aspects of their identity, for example, their race, age, religion, disability, sexual orientation, status relating to marriage and civil partnership, pregnancy or maternity. In addition, assumptions will not be made about the sex of partners of trans staff or students.
- Central will ensure that its environment, in terms of its pictures, images, publicity materials and literature, reflects the diversity of its staff and students.

For more information including 'trans respect guidelines for staff and students' (Appendix C) and 'supporting a staff member or student during transition' (Appendix D), please see the Equality Challenge Unit's *Trans staff and students in higher education* (Revised 2010), found at:

<http://www.ecu.ac.uk/publications/files/trans-staff-and-students-in-he-revised-2010.pdf/view>



## Policy Statement on Race Equality

The Royal Central School of Speech and Drama (Central) celebrates and values the diversity of its workforce and student population, and believes that the School will benefit from people of differing races and ethnicities employed at all levels of responsibility and engaged in study with us; thus hoping to provide positive role models for staff and students who identify with people of differing races and ethnicities. Central will treat all employees and students with respect, and seek to provide a positive working and learning environment free from discrimination, harassment or victimisation based on race.

The protected characteristic of Race refers to a group of people defined by their race, colour, and nationality (including citizenship), ethnic or national origins.

Central undertakes the following:

- Students will not be denied access to courses, progression to other courses, or fair and equal treatment while on courses because of their race.
- The recruitment, selection and promotion of Central's staff will be based on relevant criteria only, which do not include race.
- The curriculum will not intentionally rely on or reinforce stereotypical assumptions about race nor promote racist or discriminatory attitudes relating to race. Although it is acknowledged that some productions may appear to challenge this notion as it may be a significant aspect of the play/production.
- Race-related abuse, harassment or bullying (name-calling/derogatory jokes, unacceptable or unwanted behaviour and intrusive questions) is a serious disciplinary offence and will be dealt with under the appropriate disciplinary procedure.
- Discriminatory material relating to race, in the form of written materials, graffiti, music or speeches, will not be tolerated. Central undertakes to remove any such propaganda whenever it appears on the premises.
- Central will include race issues in equality training.
- Central will consult with staff, students and the community of a range of races, nationalities and ethnicities as part of review processes.
- Central will include race in internal attitudinal surveys, and when monitoring complaints of harassment.
- Central recognises that staff and students come from diverse backgrounds, and will strive to ensure they do not face discrimination on the grounds of their race or in relation to other aspects of their identity, for example, their sexual orientation, age, religion, disability, transgender status, status relating to marriage and civil partnership, pregnancy or maternity.
- Central will ensure that its environment, in terms of its pictures, images, publicity materials and literature, reflects the diversity of its staff and students.

## Policy Statement on Religion and Belief Equality

The Royal Central School of Speech and Drama (Central) celebrates and values the diversity of its workforce and student population, and believes that the School will benefit from people of different religions and beliefs employed at all levels of responsibility and engaged in study with us; thus hoping to provide positive role models for staff and students that identify with people of different religions and beliefs. Central will treat all employees and students with respect, and seek to provide a positive working and learning environment free from discrimination, harassment or victimisation based on religion and/ or belief.

Religion or belief is defined as any religion, religious belief, or philosophical belief or absence thereof.

Central undertakes the following:

- Students will not be denied access to courses, progression to other courses, or fair and equal treatment while on courses because of their religion or belief.
- The recruitment, selection and promotion of Central's staff will be based on relevant criteria only, which do not include religion or belief.
- The curriculum will not intentionally rely on or reinforce stereotypical assumptions about religion or belief nor promote discriminatory attitudes relating to religion or belief. Although it is acknowledged that some productions may appear to challenge this notion as it may be a significant aspect of the play/production.
- Abuse, harassment or bullying (name-calling/derogatory jokes, unacceptable or unwanted behaviour and intrusive questions) based on a person's religion or belief is a serious disciplinary offence and will be dealt with under the appropriate disciplinary procedure.
- Discriminatory material relating to a person's religion or belief or religion or beliefs in general, in the form of written materials, graffiti, music or speeches, will not be tolerated. Central undertakes to remove any such propaganda whenever it appears on the premises.
- Central will include religion and belief related issues in equality training.
- Central will consult with staff, students and the community of a range of religion or beliefs as part of review processes.
- Central will include the characteristic of religion and belief in internal attitudinal surveys, and when monitoring complaints of harassment.
- Central recognises that staff and students come from diverse backgrounds, and will strive to ensure they do not face discrimination on the grounds of their religion or belief or in relation to other aspects of their identity, for example, their sexual orientation, race, age, disability, transgender status, status relating to marriage and civil partnership, pregnancy or maternity.
- Central will ensure that its environment, in terms of its pictures, images, publicity materials and literature, reflects the diversity of its staff and students.

## Policy Statement on Sex Equality

The Royal Central School of Speech and Drama (Central) celebrates and values the diversity of its workforce and student population, and believes that the School will benefit from employing people of different sexes at all levels of responsibility and engaged in study with us; thus hoping to provide positive role models for staff and students that identify with different sexes. Central will treat all employees and students with respect, and seek to provide a positive working and learning environment free from discrimination, harassment or victimisation based on sex.

This protected characteristic is about a person's sex e.g. male, female, intersex. Legislation is about avoiding discrimination based on a person's sex.

Central undertakes the following:

- Students will not be denied access to courses, progression to other courses, or fair and equal treatment while on courses because of their sex.
- The recruitment, selection and promotion of Central's staff will be based on relevant criteria only, which do not include sex.
- The curriculum will not intentionally rely on or reinforce stereotypical assumptions about sex nor promote sexist or discriminatory attitudes relating to sex. Although it is acknowledged that some productions may appear to challenge this notion as it may be a significant aspect of the play/production.
- Abuse, harassment or bullying (name-calling/derogatory jokes, unacceptable or unwanted behaviour and intrusive questions) based on a person's sex is a serious disciplinary offence and will be dealt with under the appropriate disciplinary procedure.
- Discriminatory material relating to a person's sex or the sexes in general, in the form of written materials, graffiti, music or speeches, will not be tolerated. Central undertakes to remove any such propaganda whenever it appears on the premises.
- Central will include sex equality issues in equality training.
- Central will consult with staff, students and the community of a range of sexes<sup>1</sup> as part of review processes.
- Central will include the characteristic of sex in internal attitudinal surveys, and when monitoring complaints of harassment.
- Central recognises that staff and students come from diverse backgrounds, and will strive to ensure they do not face discrimination on the grounds of their sex or in relation to other aspects of their identity, for example, their

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<sup>1</sup> By using the phrase range of sexes, we are referring to male, female and intersex. The UK Intersex Association website [www.ukia.co.uk](http://www.ukia.co.uk) states that: "*Intersex people are individuals whose anatomy or physiology differs from contemporary cultural stereotypes of what constitute typical male and female.*"

sexual orientation, race, age, religion, disability, transgender status, status relating to marriage and civil partnership, pregnancy or maternity.

- Central will ensure that its environment, in terms of its pictures, images, publicity materials and literature, reflects the diversity of its staff and students.

## Policy Statement on Sexual Orientation Equality

The Royal Central School of Speech and Drama (Central) celebrates and values the diversity of its workforce and student population, and believes that the School will benefit from employing people of differing sexual orientations and engaged in study with us; thus hoping to provide positive role models for staff and students who identify with differing sexual orientations. Central will treat all employees and students with respect, and seek to provide a positive working and learning environment free from discrimination, harassment or victimisation based on sexual orientation (self-identified or perceived).

Sexual orientation as defined in Section 12 of the Equality Act 2010 is a person's sexual orientation towards people of the same sex, people of the opposite sex or people of both sexes.

It is the right of the individual as to whether they wish to disclose their sexual orientation and if they choose not to do so, their right to privacy will be respected.

Central undertakes the following:

- Students will not be denied access to courses, progression to other courses, or fair and equal treatment while on courses because of their sexual orientation.
- The recruitment, selection and promotion of Central's staff will be based on relevant criteria only, which do not include sexual orientation.
- All School benefits and conditions of service will apply equally to all staff (and students where applicable), and same sex partners will be considered in the same way as partners of heterosexual staff.
- The curriculum will not intentionally rely on or reinforce stereotypical assumptions about lesbian, gay, heterosexual or bisexual people, nor promote homophobic or heterophobic attitudes. Although it is acknowledged that some productions may appear to challenge this notion as it may be a significant aspect of the play/production.
- Central will respect the confidentiality of all staff and students in relation to their sexual orientation and will not reveal information without the prior agreement of the individual.
- As a Higher Education establishment, Central is required to submit annual statutory returns to third party agencies, for example HEFCE, HESA, etc. These statutory returns include confidential and personal information in relation to staff and students and the information submitted is anonymous to the individual concerned.
- Staff will not be excluded from employment or promotion because of their sexual orientation.

- Homophobic or heterophobic abuse, harassment or bullying (name-calling/derogatory jokes, unacceptable or unwanted behaviour and intrusive questions) is a serious disciplinary offence and will be dealt with under the appropriate disciplinary procedure.
- Homophobic or heterophobic propaganda, in the form of written materials, graffiti, music or speeches, will not be tolerated. Central undertakes to remove any such propaganda whenever it appears on the premises.
- Central will provide a supportive environment for staff and students who wish their sexual orientation to be known. However, it is the right of the individual to choose whether they wish to be open about their sexual orientation. To 'out' someone, whether staff or student, without their permission is a form of harassment.
- Central will include sexual orientation issues in equality training.
- Central will consult with staff, students and the community of a range of sexual orientations as part of review processes.
- Central will include sexual orientation in internal attitudinal surveys, and when monitoring complaints of harassment.
- Central recognises that staff and students come from diverse backgrounds, and will strive to ensure they do not face discrimination on the grounds of their sexual orientation or in relation to other aspects of their identity, for example, their race, age, religion, disability, transgender status, status relating to marriage and civil partnership, pregnancy or maternity. In addition, assumptions will not be made about the sex of partners of staff or students.
- Central will ensure that its environment, in terms of its pictures, images, publicity materials and literature, reflects the diversity of its staff and students.
- Central will seek to develop appropriate mechanisms for monitoring declared sexual orientation of staff and students which are sensitive to the possibility of individuals' needs for confidentiality as a way of facilitating the promotion of equality in this area.

For more information including monitoring sexual orientation of staff and students, and supporting students estranged from parents, please see the Equality Challenge Unit's *Advancing LGB Equality: Improving the experience of lesbian, gay and bisexual staff and students in higher education* (2010), found at:

<http://www.ecu.ac.uk/publications/advancing-lgb-equality>

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January 2014

## GENDER PAY GAP STATEMENT

The Royal Central School of Speech and Drama [Central] is committed to providing a positive environment that is fair and supportive to all staff regardless of their gender identity or other protected characteristics. Our vision is to be a world-leading institution of theatre and performance arts that represents a diverse workforce. As part of this commitment, we fully embrace the annual publication of gender pay gap reporting and will aim to address any areas of gender disparity.

The gender pay gap is a measure of the difference between the average earnings of men and women. It is expressed as a percentage of men's earnings. Gender pay gap reporting is different to Equal Pay. In accordance with the Equality Act 2010, Equal Pay is the principle that individuals should receive the same remuneration for work of equal value regardless of their gender or any other protected characteristics.

This is the School's second gender pay gap statement and is based on the total number of employees engaged on 31 March 2018. In accordance with the Equality Act 2010 (Gender Pay Gap Information) Regulations 2017, the School was required to evaluate its data over 6 specific calculations: by hourly rate of pay mean earnings; by hourly rate of pay median earnings; by mean gender bonus gap; by median gender bonus gap and by quartile pay bands (the proportion of male and female full-pay employees in quartile bands). The term *mean* refers to average earnings and *median* describes the middle value within a specific range.

## THE STAFF

In March 2018, the School processed 361 salary payments to staff. In comparison to the previous year (March 2017) this represents a small increase of 3.4% (349 individuals received payment in March 2017). Following closer inspection, the School processed a higher number of hourly paid payments to individuals in March 2018 compared to March 2017.

In March 2018, 38% of staff employed at Central were male and 62% were female. In comparison to March 2017, the overall gender profile of the School has changed by 1% (the male population has increased by 1% and the female population declined).

## THE DATA

Table 1 is Central's gender pay gap data for the reporting year 2018 in comparison to 2017:

Table 1

Calculation	31 March 2018	31 March 2017	Difference
The mean gender pay gap	1.1%	2.5%	1.4%
The median gender pay gap	3.2%	-1.9%	5.1%
The mean gender bonus gap	0%	0%	0
The median gender bonus gap	0%	0%	0
The proportion of male employees receiving a bonus	0%	0%	0
The proportion of female employees receiving a bonus	0.4%	0.9%	0.5%



## Annex B

Pay quartiles by gender:

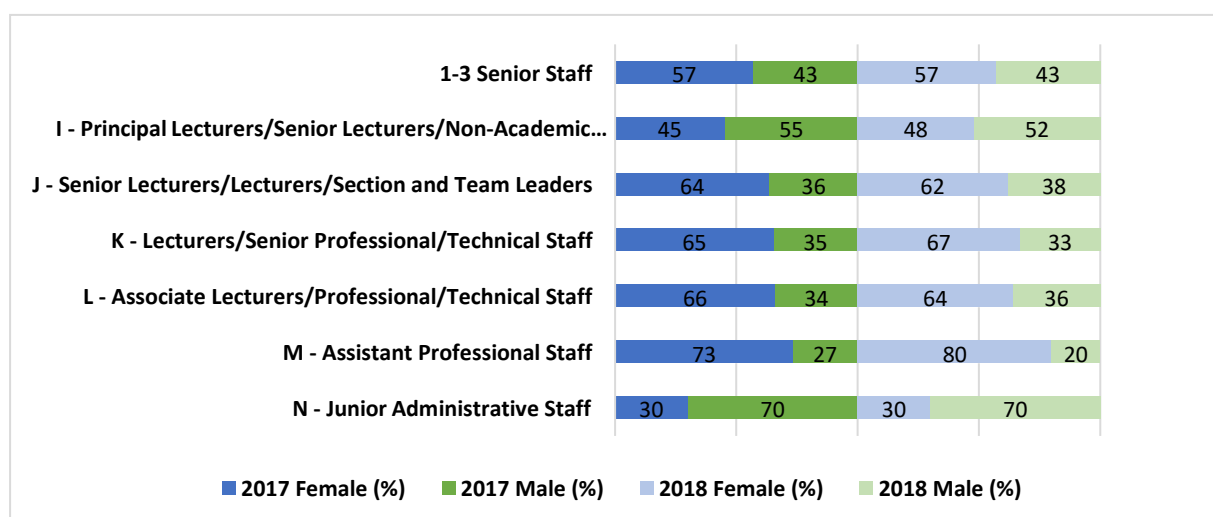
Table 2

Band	Description	2018		2017		Difference	
		Females	Males	Females	Males	Females	Males
A	Lower quartile	66%	34%	67%	33%	-1%	1%
B	Lower middle quartile	61%	39%	59%	41%	2%	-2%
C	Upper middle quartile	62%	38%	63%	37%	-1%	1%
D	Upper quartile	59%	41%	64%	36%	-5%	5%

## THE FINDINGS

When reviewing the mean gender pay gap in 2018 compared to 2017, the gap has reduced by 1.4%. The male hourly rate of pay [£25.77] is still 28p higher than the female hourly rate of pay [£25.49]. However, when you review the gender balance of staff employed across certain job levels [horizontal segregation], there is still a higher proportion of female staff appointed to assistant, administrative and junior roles (80%) compared to male staff (20%). In addition, although the number of females in principal lecturer/reader and middle management roles has increased slightly [by 3%], the gender balance is still not representative of our overall gender profile with 52% male compared to 48% of woman.

Table 3 – Gender balance per occupational group in accordance with the HESA/UCEA descriptors for each reporting year



The senior executive team continues to represent more female staff 57% compared to 43% for male – though it should be noted that the senior executive team had two vacancies at the time.

In comparison to 2017, the 2018 median pay gap has increased by 5.1%. The median male hourly rate of pay (£25.88) is now 82p higher than the median female hourly rate of pay (£25.06). Again and following closer inspection, the following points have affected our median calculation:

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- 15% of staff, the majority male, moved from the **upper middle quartile** to the **upper quartile** – [11% males and 4% females].
- 22% of staff, the majority male, moved from the **lower middle quartile** to the **upper middle quartile** [15% male and 7% female]
- 13% of staff moved from the **lower quartile** to the **lower middle quartile** [7% females and 6% males].
- 10% of staff, the majority female, moved from the **lower middle quartile** to the **lower quartile** [7% female and 3% male]

Within the **lower middle quartile** a number of female employees changed their contract status from atypical (hourly paid) to fixed term. Although this was considered positive action for the employees [as the fixed term contracts provided job security, regular payment and staff benefits], the actual hourly rate of pay as a fixed term worker is lower compared to atypical staff. The School's hourly rates of pay for atypical workers includes remuneration for annual leave other statutory benefits.

The majority of staff from the **lower middle quartile** that moved to the **upper middle quartile** were male hourly paid workers – the nature of their engagement is ad-hoc and unpredictable.

Central employs a significant number of hourly paid workers. Consequently, the data in relation to the median and pay quartiles will always fluctuate depending on the payments processed within the reporting period.

## FRAMEWORK AGREEMENT FOR THE PAY AND CONDITIONS FOR STAFF

With effect from 1 August 2006, Central implemented the national Framework Agreement for the Pay and Conditions for Service for Staff on the national 51-point pay scale. In 2013/14 the School reviewed the pay scale and introduced a new senior management/professorial grade, grade 10 which extended the national pay scale to point 56. All posts appointed to the Framework are subject to job evaluation in order to determine the grade.

The job evaluation scheme, Higher Education Role Analyst (HERA), is an analytical scheme that evaluates the core competencies/duties of a post over fourteen specific elements. The outcome of the evaluation is mapped across to our pay scale. The job evaluation process allows Central to fairly and robustly assess the remuneration level of posts regardless of any protected characteristic.

All posts are advertised at the first increment point of the pay grade and the majority of the pay grades consist of five incremental points. Annual incremental progression is subject to satisfactory performance. All grades have a contribution point range and eligible staff may apply for additional increments.

In light of the above and in accordance with the Equality Act 2010, Central is confident that its remuneration process is compliant with legislation and that equal pay for work of equal value is fully embedded within its infrastructure.

The Remuneration Committee assesses the remuneration of senior post holders paid outside of the Framework Agreement. The Committee reviews a range of pay data and salary metrics when reviewing and agreeing pay, for example, the outcome of the national pay negotiations, the Consumer Price Index, average earnings of senior posts holders in the sector (as collated by UCEA), public sector pay etc.

## HOW DO WE COMPARE?

In comparison, to the whole economy, Central's mean gender pay gap is significantly less. At 1.1%, Central's mean gender pay gap is 15.9% lower than the national average of 17%. The 2018 Higher Education Sector data has not yet been published.

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	Central March 2018	2018 ONS* ASHE** whole economy	2017 Higher Education Sector
Mean gender pay gap	1.1%	17.0%	14.1%
Median gender pay gap	3.1%	17.9%	14.8%

\*Office for National Statistics (ONS) \*\* Annual Survey of Hours and Earnings (ASHE)

With regards to the mean gender pay gap, the mean gender pay gap for the whole economy (according to the Office for National Statistics (ONS) Annual Survey of Hours and Earnings (ASHE) figures) is 17%, while in the higher education sector it is 14.1%. At 1.1%, Central's mean gender pay gap is, therefore, significantly lower than both that for the whole economy

The median gender pay gap for the whole economy (according to ONS ASHE figures) is 17.9%. At 3.1%, Central's median gender pay gap is again significantly lower

## ACHIEVEMENTS

Since the publication of the first gender pay gap statement the School has:

- Reviewed its advertisement, recruitment and selection procedures to ensure all areas of potential bias and/or prejudice opinion/judgment is eliminated.
- Reviewed jobs descriptions and advertisements to ensure gender-neutral language is fully embedded.
- With regards to occupational groups, where a particular gender is significantly underrepresented, Central has included a Positive Action Statement as part of the advertisement, recruitment and selection process.
- Provided unconscious bias training for all staff involved in recruitment and selection procedures (including interview panel members) and pay and promotion committee discussions.
- Provided unconscious bias training for all role holders across the School.
- Supported/funded another female employee on the Aurora Leadership Foundation programme. To date this brings the total to three female workers having completed the programme.

## FUTURE ACTION

- To explore the data in relation to the long-term objective in relation to any potential pay gaps in relation to all protected characteristics.
- To review grade promotion and contribution related pay and conferment of academic titles procedures emphasising the point that all applications are subject to analytical evidence based evaluation and that prior knowledge about the candidate will not be taken into consideration.
- To offer support and guidance with regards to their career development for female academic and professional employees that are at the top of the pay grade.
- Introduce a career mentoring programme for junior female staff.
- Reinforce the requirement that all people related decisions must be underpinned by factual evidence.

Our long-term objectives include:

- To undertake Equal Pay Reviews every 3 years. The focus of the review will explore any pay inequalities arising from gender, race, disability, sexual orientation, religion or belief and age. The review will include part time and hourly paid staff, permanent workers and those employed on fixed term contracts. Although the review will concentrate on base pay and total earnings, an assessment of the extent to which there may be related remuneration and/or benefit inequalities will also be explored, for example access to pension, holiday, sick pay etc. The outcome of the

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review will be shared with the Executive Management Group, Human Resources Committee and Board of Governors with an action plan to address any concerns put in place.

- To ensure that the School's job evaluation software (HERA) is periodically assessed and maintained in a robust manner with refresher training provided to all analysts. Through higher education networks and working groups, continue to provide feedback to ECC (HERA software developers) in relation to new and emerging role competencies.
- To explore the award of Athena SWAN as accreditation of achieving a culture that is fully committed to equality.
- To review the provision of family friendly policies and support for parents returning to work following maternity, paternity and parental leave.

## **Promotion and Reward Policy for all Staff Paid on the 56 Point Pay-Scale**

June 2019

Documentation Management:	Version 1: October 2012 Version 2: May 2013 Version 3: July 2017 Version 4: June 2019
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## 1 Introduction

- 1.1 The purpose of this document is to set out the approved policy for grade promotion and contribution points.
- 1.2 Central recognises that staff are crucial to its success; they are the greatest single resource available to the School and as such, Central aims to create and maintain a work force that is qualified, knowledgeable, experienced and equitably rewarded in order to achieve its key strategic objectives and maintain its strategic position and distinctive cutting edge.
- 1.3 To this end, Central's remuneration processes must motivate and reward staff appropriately in light of business needs, sustainability, affordability and continuous professional development.
- 1.4 Following a period of consultation, a revised Framework Agreement for the Pay and Conditions of Service for Staff was implemented on 1 August 2006. The Framework Agreement made provision for the future awarding of grade promotion and contribution points.
- 1.5 The Framework Agreement is based on the following:
- (i) participation in the National Joint Negotiating Committee for Higher Education Staff (JNCHES) which negotiates annual increases to each point on the 51 Point Pay-Scale;
  - (ii) deployment of the Higher Education Role Analysis (HERA) Job Evaluation Scheme to ensure a fair and consistent approach to the grading of roles;
  - (iii) a range of grades assimilated to the 56 Point Pay-Scale (extended from the 51 Point National Pay-Scale) which provides for the award of five annual increments for each grade (excluding grade 9 which has 4 annual increments) subject to satisfactory performance and development in the previous year.
- 1.6 The award of contribution points and grade promotion supports annual reward processes already in place at Central (i.e. National Pay Award and annual increments). The award of contribution points and grade promotion is therefore to recognise an individual's contribution over and above existing annual reward processes.
- 1.7 A period of consultation with staff regarding the implementation of these reward elements of the Framework Agreement closed in February 2010. At their meeting on 15 March 2010, the Finance and Employment Committee agreed that the implementation of the proposed reward processes should be suspended pending the outcome of the general election and post-election budget announcements. It was further agreed that the implementation should take into account comments made by staff during the consultation period.
- 1.8 Since this time the higher education funding regime has become clearer and at their recent meeting held on 30 April 2012, the Finance and Employment Committee lifted the suspension of the implementation of the reward procedures and approved their implementation with effect from 1 August 2012.
- 1.9 This Policy applies to all promotions with effect from 1 November 2012 and supersedes any precedent established by previous pay and reward procedures.

## 2 Aim

- 2.1 The aim of this policy is to provide a framework within which to govern grade promotion and the award of contribution point/s in a fair, consistent and equitable manner across the School. The accompanying procedures provide guidance on how this policy will be managed.
- 2.2 Advice and guidance on the operation and application of this policy are available from Human Resources.

### 3 Scope

- 3.1 This policy applies to all roles paid on the 56 Point Pay-Scale and is applicable to all applications for grade promotion and contribution points.

### 4 Core Principles of the Policy

- 4.1 Central's Promotion and Reward Policy will reflect the aspirations of the School's Corporate Plan and Academic Plan and its approach to reward will be informed by the following principles:

- To ensure that people are rewarded fairly according to their role and contribution;
- To adopt a fair, consistent and transparent approach to measuring and assessing performance and competence, which is based on agreed expectations and success criteria;
- To ensure that, as far as possible judgements on performance and contribution are based on evidence not opinion;
- To recognise that performance may be a function of effective team work as well as individual effort;
- To provide rewards for those skills and behaviours that support the future success of the individual and the School, not just immediate past results;
- To help motivate staff;
- To treat all applications fairly and equally irrespective of the individuals race, ethnic origin, gender, sexual orientation, disability, age, religion or belief.

- 4.2 All applications for grade promotion and contribution points must be evidence based and subject to a HERA (Higher Education Role Analysis) assessment. HERA is an evidence based job evaluation process that evaluates the requirements and duties of a particular role over specific elements. The evidence provided must be within three years and must be on-going. The outcome of the HERA evaluation assessment confirms the salary grade for the post.

- 4.3 All applications for grade promotion and contribution points must be clearly linked to a role profile. Appendix A summarises the scope and expectation of delivery for each role assigned to a pay grade.

- 4.4 Although this is not a requirement, it is strongly encouraged that all applications for grade promotion and contribution points be discussed with the individual's line manager before being referred to the Promotions and Reward Committee for consideration. The line manager will be asked to report as part of the application.

- 4.5 The committee will normally convene in the Spring Term each year and successful applications will normally take effect from the following 1 August.

- 4.6 All grade promotion and contribution point applications must be linked to performance and appraisal management processes.

- 4.7 The decision of the Promotions and Reward Committee will be final and individuals will not have the right to appeal the outcome of the committee. Individuals may however submit an appeal if they feel that due process has not been followed with regards to the grade promotion application procedure.

### 5. Monitoring and Review

- 5.1 The Promotions and Reward Policy will be monitored by the Director of Operations. The review will consist of an analysis of the application outcomes which will be reported to the Finance and Employment Committee. Any changes to the policy will be implemented following consultation and Board of Governors approval.



## 6. Grade Promotion Procedure

### 6.1 Introduction

6.1.1 The purpose of grade promotion is to ensure that all roles paid on the 56 point pay-scale are graded at the correct level in accordance with other roles of the same grade within the School.

### 6.2 Eligibility

6.2.1 All posts that have been live and in active and continuous operation for more than two years are eligible for consideration of grade promotion.

### 6.3 Criteria

6.3.1 The School recognises that, over time, a role will grow and develop after it has been HERA evaluated in accordance with agreed institutional need. Where this is the case, individuals can submit an application for grade promotion.

Evidence for grade promotion may include:

- Where the individual and line manager can clearly demonstrate that specific institutional requirements for the role have changed substantively and significantly in more than half of the HERA elements as described in the role profile.

Examples may include scenarios such as those listed below, provided the net effect of the role development is demonstrable across at least half of the HERA elements:

- the role requires greater and/or new line/academic management duties (e.g. significant appraisal management);
- the role requires the role holder to chair both internal and external committees/events;
- the ability to produce and disseminate sophisticated policy / business like reports to selected audiences is essential to the effective delivery of the post (both internally and/or externally);
- the role requires greater or new responsibilities for managing and reconciling significant budgets;
- the responsibility for making independent strategic decisions is essential to the post (liaison with EMG);
- the nature of the post requires the management of long term (i.e. over 5 academic years) or strategic planning for particular projects/targets and where these targets specifically link to the School objectives;
- the role requires the production of significant peer-reviewed research outputs, major income-generation, quantifiable knowledge-exchange activities and/or external (national/international) project or network leadership.

### 6.4 Academic Grade Promotion Applications

6.4.1 Normally, the Expertise element of academic grade promotion is a required core element for academic staff and applications must be verified by the Conferment of Academic Titles Committee through the attainment of the title Senior Lecturer for Grade 7, Principal Lecturer or Reader for Grade 8 and Professor for Grade 9. An exception for this is where a role is largely an academic managerial role where teaching and/or research is not a key requirement or is a very minor element of the role.

- 6.4.3 The assessment of Expertise will be subject to external peer review(s) as stated in the Conferment of Academic Titles Committee procedures.
- 6.5 Application Process
- 6.5.1 Applications for grade promotion must be evidenced based and submitted on the Grade Promotion Application Form - please see Appendix B. Appendix C outlines the Application for Grade Promotion flow chart.
- 6.5.2 Applications must be able to demonstrate that of the 14 HERA elements that make up the role, at least 8 elements (including 4 of the 5 core elements) have developed and changed significantly since the date of the original HERA evaluation on a permanent and continuing basis and in accordance with evidenced institutional need.
- 6.5.3 The five core HERA elements for academic grade promotion are: Expertise (normally - see 6.4.1 above), Teaching and Learning, Liaison and Networking, Planning and Organising and Information Review, Analysis and Scholarship.
- 6.5.4 The five core HERA elements for Administrative, Professional, Specialist, Technical and Manual posts are: Teamwork and Motivation, Liaison and Networking, Planning and Organising, Service Delivery and Expertise.
- 6.5.5 All applications should be discussed with individual's line manager before they are submitted to the Director of Operations. The purpose of the discussion would be to confirm the permanence and extent of the role development and that it is consistent with agreed departmental/faculty staffing strategy (subject to confirmation by Head of Department/Dean).
- 6.5.6 If the line manager supports the application they must complete a statement of recommendation to include: reasons why the post should be re-graded; an outline of how and why the role has changed/developed significantly since the date of the HERA evaluation; a summary of any cost/budget implications and evidence in each of the appropriate HERA elements (including 4 core HERA elements) demonstrating the requirements of the revised role. The line manager should also include a copy of the revised job description.
- 6.5.7 If the line manager does not support the application they must state the reasons why on the application form.
- 6.5.8 Upon receipt of the grade promotion application form, the Director of Operations, in liaison with the relevant Head of Department/Dean's Office would review the documentation and evaluate the requirements of the revised post.
- 6.5.9 All grade promotion application forms and associated paperwork will be sent to the Promotion and Reward Committee for review and consideration.
- 6.5.10 If the Promotion and Reward Committee does not approve the grade promotion application, the individual's line manager would be informed and asked to provide feedback to the individual as appropriate. The Director of Operations would provide support and guidance to the line manager with regards to informing individuals that their application has been unsuccessful.
- 6.6 Timeframe
- 6.6.1 All applications for grade promotion must be submitted to HR by the end of September 2019. The Promotions and Reward Committee will convene during the autumn term.

## 7. Contribution Points Procedure

### 7.1 Introduction

- 7.1.1 Each grade on the 56 point pay-scale has between one and three contribution points, in addition to the five annual incremental progression points.
- 7.1.2 The purpose of contribution points are to reward exceptional sustained contribution or for assuming certain responsibilities above the norm for the grade.
- 7.1.3 Contribution point/s are specifically intended to reward continued and sustained contribution which falls short of the criteria for an application for grade promotion.

### 7.2 Eligibility

- 7.2.1 Contribution points will normally be reserved for those at the top of their pay grade where the development of the role is likely to continue.

### 7.3 Award

- 7.3.1 The award of a contribution point can be of a permanent or fixed-term nature depending upon the nature of the responsibility.
- 7.3.2 The award of a fixed term contribution point would not normally exceed a 12 month period.
- 7.3.3 The nature of the responsibility (that the contribution point would be based on) would be subject to HERA in order to determine the level of work in accordance with other roles within the School.
- 7.3.4 Normally only one contribution point can be awarded per nomination/application.

### 7.4 Criteria

- 7.4.1 A contribution point may be awarded where an individual is:
- consistently required by the agreed role to demonstrate exceptional work performance above that usually required by the role i.e. over and above 5 HERA elements for someone who is fully developed in that role but where there is insufficient evidence to support or justify a grade promotion;
  - asked to undertake a different role in the same grade where the temporary nature of the role requires an additional effort and financial incentive to compensate for transitional disruption to duties in train or the initial learning of new processes;
  - undertaking activities at a higher level on a fixed term basis in order to help cover vacant posts; maternity leave; research leave etc. With regards to this point, where possible for non-specialist posts, the opportunity for receiving a contribution point would be advertised to relevant staff and awarded to an individual following an interview;
  - unforeseen scenarios which, in the view of the Director of Operations and the Promotions and Reward Committee, are comparable with any of the above.

### 7.5 Process

#### By Application

- 7.5.1 Applications for a contribution point must be submitted on the Contribution Point Application Form - please see Appendix D. Appendix E outlines the Application for Contribution Point Process flow chart.
- 7.5.2 The application must include evidence of how the individual has worked above the requirements of the role in at least 6 HERA elements.

- 7.5.3 Contribution point application forms should be discussed with the individual's line manager before they are submitted to the Director of Operations for HERA evaluation. The purpose of the discussion would be to confirm the permanence and extent of the role development and that it is consistent with agreed departmental/faculty staffing strategy (subject to confirmation by Head of Department/Dean).
- 7.5.4 If the line manager supports the application, they should include reasons why the contribution point should be awarded (on either a fixed term or permanent nature) and an outline of any cost/budget implications and how these will be met.
- 7.5.5 If the Line manager does not support the contribution point application, they must state the reasons why on the application form.
- 7.5.6 All applications for contribution points will be subject to a HERA evaluation before being referred to the Promotion and Rewards Committee for review and consideration.
- 7.5.7 If the Promotion and Rewards Committee does not approve the application and/or the HERA evaluation does not confirm duties of a higher pay grade, the line manager would be notified and asked to communicate the outcome to the individual. The Director of Operations would support the line manager in this regard.

#### By Nomination

- 7.5.8 The Director of Operations in liaison with the either Deputy Principal/Dean may nominate an individual to receive a temporary contribution point in recognition of covering an emergency staff absence (e.g. cover of long term (in excess of two months) certified sick leave which involves additional duties above and beyond the normal role).
- 7.5.9 The Deputy Principal/Dean can nominate an employee to receive a temporary contribution point in recognition of the employee delivering a particular project or event within a specific and measurable timeframe.

#### By Advertisement

- 7.5.10 Where appropriate, and following an internal advert whereby the nature of the advertised duties have been assessed at the same level as the successful post- holder, a contribution point could be awarded in recognition of the additional effort the role holder will need to apply in order to undertake the new duties effectively (i.e. learning of new processes / systems).
- 7.5.11 Contribution points awarded following a thorough and robust recruitment campaign would be approved by the chair of the interview panel and the Deputy Principal in accordance with the current process.

#### 7.6 Timeframe

- 7.6.1 Applications for contributions points must be submitted to the HR department by the end of September 2019.
- 7.6.2 The Promotions and Reward Committee will review and consider all applications for contribution points at its next meeting.

# ROYAL CENTRAL

SCHOOL OF SPEECH & DRAMA • UNIVERSITY OF LONDON

## Research Assessment and Responsible Metrics Policy

Amended 26 February 2019

The Royal Central School of Speech and Drama, University of London, is committed to the principles of transparency, consistency, accountability and inclusivity in its approach to assessing and evaluating research performance for the purpose of staff recruitment, probation, promotion, appraisal, and research support/internal funding decisions. We view a considerate and sophisticated use of quantitative metrics, such as citation data and indicators of social usage and online data, as essentially tied to a responsible approach to qualitative expert peer review; by quality of research, we mean the coherence, consistency and accuracy of methods and the robustness and rigour of the research design in ensuring the validity and reliability of findings. The ethical conduct of research assessment demonstrates Central's commitment to research integrity, with regards to formalised School practices as well as individual researcher conduct. The School's Research Committee, Research Ethics and Integrity Sub-committee, REF 2021 Strategy and Delivery Group and Conferment of Academic Titles Committee, but also Central staff appointed externally to assess the research of others for funding bodies, journals, publishers, or other universities, commit to embed in their working practices and adhere to five key principles delineated below. These are informed by the approaches to responsible research evaluation as outlined in the [HEFCE Metric Tide report](#), from which the main principles are adopted, in conjunction with the [Leiden Manifesto](#) and the [Declaration on Research Assessment \(DORA\)](#), which the School supports. They are also reflected in the School's REF strategy and informed the development of its REF 2021 Code of Practice.

### 1. Robustness

At the heart of Central's approach to research assessment is a meaningful and sophisticated consideration of both qualitative peer evaluation and of quantitative indicators that play an increasing role in the external measuring of research performance by the Research Excellence Framework (REF), funding agencies and league tables. Internal and external experts assessing research work for the School commit to best practice of peer review, as outlined in the School's Research Output Assessment Policy, recognising that objectivity is a contested concept, but can be aimed for by vouchsafing for the rigorous adherence to stated assessment criteria, the fair and consistent treatment of all assessed work, and the declaration of any potential conflict of interest at the outset.

### 2. Humility

Quantitative evaluation will inform and enhance the deliberation process, but not supplant qualitative expert judgment of the originality, significance and rigour of research outputs. The value and impact of research work will not be judged on the basis of its publication/dissemination platform and its assumed prestige, geographic/linguistic scope, print run or reputation, nor will journal impact factors, rankings, and citation metrics be used as

surrogate, uncontextualised indicators of research quality. A further vital performance indicator will be the relation to and advancement of the aims and objectives of Central's research culture (<https://www.cssd.ac.uk/research-aims>), as reflected in individual research plans and the setting of individual goals and targets.

### **3. Transparency**

The School will be transparent about the review processes, criteria, data, and methods used to arrive at its assessment of research work. Key expectations and benchmarks of research performance are stated in Central's policy on the Conferment of Academic Titles, and the published academic role profiles. Researchers will receive guidance with regards to any metric data considered in a specific assessment process. As the evolving digital environment makes more individual and specific data available that may be drawn upon to demonstrate the value and impact of research, researchers will be given opportunities to submit their own data sets as supporting evidence, which should be accompanied by a statement explaining their context and interpreting their significance with regards to the applicable benchmarks, criteria and objectives.<sup>1</sup>

### **4. Diversity**

Central embraces the highly context-dependent, diverse variety of cutting-edge performing arts research. Here diversity is understood to refer to the multiplicity of research practices and methods employed by researchers at Central. The School recognises that constantly evolving digital technologies, in particular, will lead to an increasing plurality of output types beyond established formats of print publication, and that they may enable new formats of practice outputs as well. For its assessment, the School will consider the quality, significance, rigour and impact of a researcher's full and potentially diverse portfolio of outputs and outcomes.

### **5. Reflexivity**

In assessing research, the School will consider the context of the researcher's performance, ensuring sensitivity to potential sources of bias, such as undue hierarchisation of output types; career stage, career path or employment status variation; race, gender, disability and other protected characteristics. Central's commitment to Reflexivity involves an ongoing engagement with its practices and procedures. The School's Research Committee will monitor the consistent application of the principles set out in this policy. It will scrutinise systemic effects of assessment indicators, and will keep the developing field of responsible qualitative and quantitative research assessment under constant review, in order to maintain, further advance and promote at Central best practice in ethical research assessment. Central places issues of equality and diversity at the heart of our practices, to ensure representativeness of opportunity, mentoring and other support where needed, and fairness in assessment exercises such as the REF, as outlined in our REF 2021 Code of Practice, and in future frameworks and practices.

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<sup>1</sup> [The Metrics Toolkit](#) (2018), developed by an international consortium, offers guidance for researchers seeking to demonstrate claims of research impact.

# The Royal Central School of Speech and Drama, University of London

## Open Access Policy 2019-2024

(amendments 5 October 2020)

## 1. Introduction

The Royal Central School of Speech and Drama, University of London (henceforth Central) Open Access Policy 2019-2024 has the following purpose:

- 1.1 To describe the scope of this document.
- 1.2 To explain the underpinning principles of open access.
- 1.3 To define how we will meet open access requirements, setting out our policies and procedures.
- 1.4 To summarise how we will meet the Research Excellence Framework 2021 requirements for journal articles and conference contributions with ISSNs (Research Excellence Framework, 2019, paragraphs 108, 223-55).

## 2. Scope

- 2.1 This policy applies to all academic staff and Research Degrees candidates at Central.
- 2.2 Applying open access to outputs is the responsibility of the lead academic associated with the project or named replacement.
- 2.3 When work is produced collaboratively, with other persons outside of Central, the named lead from Central (or their named replacement) is responsible.
- 2.4 Research Degrees candidates must deposit their thesis according to the Deposit of Thesis Policy 2017-2022.

## 3. Open Access

As part of our broader initiatives toward building and sustaining an open research environment, Central is committed to the ethical sharing of outputs for the benefit of researchers as well as the wider community.

Central understands research to be 'as a process of investigation leading to new insights, effectively shared' (Research Excellence Framework, 2019, Annex C). Under Central's promotion of open research, creators are encouraged to maximise open accessibility of all research as well as outputs that are classified as scholarship or knowledge exchange.

- 3.1 Central works within the spirit of open access statements, guidelines and policies including, but not limited to, the following:
  - 3.1.1 'The Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities' (Max-Planck-Gesellschaft, 2003).
  - 3.1.2 The report by Janet Finch entitled 'Accessibility, sustainability, excellence: how to expand access to research publications' (Finch, 2012).
  - 3.1.3 HEFCE Policy for open access in the post-2014 Research Excellence Framework (2014).

Open access to research enables the prompt and widespread dissemination of research findings. It benefits the efficiency of the research process and allows publicly funded research to drive economic growth. It delivers social benefits through increased public understanding of research (HEFCE *et al.*, 2014, p. 3).



- 3.1.4 The Research Excellence Framework's open access policy in 'Guidance on submissions' (Research Excellence Framework, 2019, paragraphs 105-14, 223-55).
- 3.1.5 Concordat on Open Research Data authored by HEFCE *et al.* (2016), which sets out ten key principles of open access to data outlined in Appendix 1.
- 3.1.6 Research Councils UK Policy on Open Access and Supporting Guidance originally published in 2013 and updated in 2018 to 'ensure that public investment in research secures the maximum economic and societal return' and 'to achieve unrestricted online access to peer reviewed and published research papers, free of any access charge' (Research Councils UK, 2018, p. 2).
- 3.1.7 United Kingdom Research and Innovation Open Access Review and subsequent policy planned for 2020 (United Kingdom Research and Innovation, 2019).
- 3.1.8 Major funder policies such as the Arts & Humanities Research Council policy on open access (Arts & Humanities Research Council, 2019).

## 4. Policy

The ethical, responsible management and sharing of outputs by Central is set out below.

### 4.1 Central will maintain a Repository.

Our Repository stores a wide range of outputs with relevant, accurate bibliographic information (metadata). The Repository is available online, worldwide, 24/7 to anyone with Internet access. Items can be downloaded without charge unless there is a publisher embargo (see 4.7.4, 4.7.5) or relevant exception (see 4.7.6).

Central will maintain an online Repository to do the following:

- Maximise the visibility and impact of published outputs.
- Meet the requirements of our funders.

The Repository will also provide:

- Right of access to research and other scholarly outputs, with metadata discoverable worldwide through search engines.
- A non-commercial platform on which outputs are free to view.
- The prompt availability of research which can be read and downloaded.
- An accurate and up-to-date record of Central's scholarly and creative outputs.

The Repository at Central uses ePrints software for document management and is managed by the Head of Library Services.

### 4.2 All funder requirements will be met.

Creators are responsible for familiarising themselves with funder expectations and meeting all open access requirements whether contractual, legislative, regulatory or ethical. Where there is a conflict of interest, please seek advice from Research Services.

- 4.3 Whether funded and/or eligible for REF (or not), creators will make all significant outputs (scholarly or research based) available on open access.

This is achieved in the following way:

1. Creator is responsible for checking embargo periods for their outputs, via SHERPA RoMEO for articles (see 4.7.4), or individual publisher guidelines/contracts for books and book chapters.
2. Creator logs onto the Repository ([www.crco@cssd.ac.uk](http://www.crco@cssd.ac.uk)) using their personal login and user password.
3. Creator accurately completes the form filling in all relevant fields and, if appropriate, uploads the output<sup>1</sup>.
4. Creator deposits the item.
5. A Library staff member reviews the deposit (within ten working days) and makes it 'live' in the Repository to publics.

- 4.4 Creators must select the most appropriate licence.

- 4.4.1 For outputs that are not formally published, creator chooses from a range of Creative Commons Licence options. Advice about Creative Commons Licences can be obtained from Library Services. The Research Excellence Framework advises that 'outputs licensed under a Creative Commons Attribution Non-Commercial Non-Derivative (CC BY-NC-ND) licence would meet the minimum requirement' (2019, paragraph 243).
- 4.4.2 Published items must meet Copyright obligations stipulated by the publisher and honour the relevant embargo period if relevant.

- 4.5 Repository items must clearly indicate the funding source and project title.

When depositing items into the Repository, funding source, grant, reference number plus project name must be clearly indicated. Where possible an author ORCID and output Digital Object Identifier (DOI) should be applied.

- 4.6 Article Processing Charges (APCs), where applicable, should be applied and articles made open access on publication.

Gold open access makes the journal article open access via the publisher's website and available from the Repository under Creative Commons Attribution, Non-commercial, No Derivatives Licence (CC-BY-NC-ND). There is usually an APC. This is recovered from external funders of research where possible. If there is no external funding available, Central will consider purchasing a Gold access copy of the article. The decision to purchase Gold access rests with Central's Research Committee. To comply with REF 2021, Gold access items will be open access immediately after publication (Research Excellence Framework, 2019, paragraph 239).

- 4.7 Creators must meet the specific requirements for green route journal articles and conference papers with ISSNs eligible for REF 2021.

REF guidelines (see Research Excellence Framework, 2019, paragraphs 105-14, 223-55) detail clear open access principles which apply to journal articles and conference papers with an ISSN accepted for publication from 1<sup>st</sup> April 2016 and published on or before the 31<sup>st</sup> December 2020. Research England expect us to observe these

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<sup>1</sup> Detailed training notes about adding items to the Repository are available from Library Services.

principles. Guidance on revisions to REF 2021, 2020, paragraphs 41-43 delineates 'other exceptions' to open access arrangements for outputs affected by COVID-19.

For clarification, other outputs submitted to REF 2021 do not need to meet the REF open access criteria outlined below (4.7.1-4.7.6). Outputs that do not need to meet the criteria include:

- monographs;
- non-text outputs;
- working papers;
- underpinning data;
- confidential reports.

The specific procedures, which ensure journal articles and conference papers with ISSNs are eligible for REF 2021 are listed below in 4.7.1 to 4.7.6.

- 4.7.1 From the 1st April 2016, upload journal articles and conference papers with ISSNs (Research Excellence Framework, 2019, paragraph 236)<sup>2</sup> within three months of publisher acceptance. An accepted output is one that a journal has formally agreed to publish even if a publication date is not agreed.<sup>3</sup>
- 4.7.2 For journal articles and conference papers that are peer reviewed deposit the 'author's accepted manuscript'. This is the version of the paper as it appears after peer review and before the publisher formats, re-designs the layout and adds their front page. This version is known as the 'author manuscript', 'final author version' or 'post print'. This can later be replaced by the final PDF, depending on publisher regulations.
- 4.7.3 For journal articles and conference papers that are not peer reviewed deposit the final accepted version. In this instance, the date of acceptance is the date the publisher confirms receipt of the article that will be published.
- 4.7.4 Use SHERPA RoMEO software to identify and set the embargo period for green route journal articles<sup>4</sup>. Journal articles on closed access are eligible for REF 2021.

Maximum embargo periods for REF 2021 are:

- 12 months for REF Main Panel A and REF Main Panel B;
- 24 months for REF Main Panel C and REF Main Panel D.

Make journal articles placed on the Repository under embargo, fully accessible no later than one month after the end of the embargo period.<sup>5</sup>

- 4.7.5 Make journal articles with no embargo fully accessible to the wider public no later than one month after deposit.
- 4.7.6 Exceptions (which do not affect REF outcomes) can be applied to journal articles and conference papers with ISSNs to ensure they comply with REF

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<sup>2</sup> Between 1<sup>st</sup> April 2016 to 31<sup>st</sup> March 2018, journal articles and conference papers with ISSNs could be *submitted as soon after acceptance as possible* and no more than three months after publication. This allowed Central to implement new processes and procedures (Research Excellence Framework, 2019, paragraph 236).

<sup>3</sup> Information about acceptance is sent to the author in an email or letter and it is the date of this correspondence that should be used for depositing purposes.

<sup>4</sup> Publishers often set their own unique embargo period for green route journal articles – a period when newly published articles cannot be viewed in full online until the embargo ends. Despite the embargo, metadata must be searchable online from deposit.

<sup>5</sup> The embargo period begins at the start of the first date of publication even when there have been subsequent deposits of the same item.

2021 guidelines (Research Excellence Framework, 2019, paragraph 252-55).

Instances where an exception can be applied include:

1. When the researcher is unable to secure the use of the repository at journal article or conference paper 'acceptance'.
2. Where the creator encounters a delay in securing final peer-review for the article/conference paper.
3. Where the creator was not employed as a Category A member of staff at time of submission of the article/conference paper.
4. When it is unlawful to deposit the article or conference paper with an ISSN.
5. When the journal article or conference paper raises a security risk.
6. Where the article or conference paper includes the reproduction of third-party content where there is no agreement to publish.
7. When the journal article or conference paper requires an embargo which exceeds the REF Guidelines (see 4.7.4, 4.7.5).
8. Where the journal's publisher clearly states that open access is disallowed.
9. When, at the point of the journal articles acceptance, the researcher was employed at a different Higher Education Institution and it is not possible to determine compliance.
10. When there was a short-term technical failure that prevented compliance with the criteria.
11. When there is a service provider failure.
12. Where there are other extenuating circumstances such as industrial action or closure days.
13. When a journal article or conference paper with an ISSN is not deposited within three months of the acceptance date but is deposited within three months of the earliest publication. The output must, however, meet all other policy requirements. This exception applies after 1<sup>st</sup> April 2018. Providing journal articles and conference papers were made open access within three months of publication, this exception does not need to be applied for journal articles and conference papers compliant with the policy between 1<sup>st</sup> April 2016 and 1<sup>st</sup> April 2018.

The Research Excellence Framework 2021 accepts a 5% tolerance rate for green route journal articles and conference papers with ISSNs deposited outside of a recognised exception (Research Excellence Framework, 2019, paragraph 231). Beyond the 5% tolerance rate, unclassified scores will be applied. Exceptions to this as a result of COVID-19 are listed in Guidance on revisions to REF 2021, 2020, paragraphs 41-43.

## 5. Open Data

As part of Central's commitment to an Open Research Environment, we continue to develop an understanding of what Open Data may look like within a small specialist university-conservatoire. Data may include datasets produced as outputs for digital humanities projects, but it also may include surveys collected as part of the research process for applied theatre projects, or process notebooks for practice research. These will be hosted in the Institutional Repository (ideally with assigned DOIs), on other Central websites, including the YouTube Research playlist and individual project

## Annex E

pages, and on external data repositories, as appropriate. Where items understood as Open Data are not hosted by Central's Repository, we endeavour to generate links to them from the Repository.

## 6. Glossary

<i>Article Processing Charge:</i>	Also known as an APC. A fee publishers charge to enable free full open access to publics.
<i>Creative Commons Licences:</i>	Also known as CC. A range of copyright licences, which enables creators to select the most suitable reader entitlements.
<i>DOI:</i>	A unique identifier attributed to the manuscript.
<i>Gold access for journal articles:</i>	A type of open access publishing for journal articles. On payment of an APC, there is free public access at point of publication.
<i>Green access for journal articles:</i>	A type of open access publishing for journals, which allows creators to place their final accepted manuscript on a repository subject to the publisher's embargo.
<i>Open Access Journal:</i>	A journal which is freely available on-line.
<i>ORCID:</i>	Also known as <i>Open Researcher and Contributor ID</i> . Identifies an individual author.
<i>Output:</i>	An output can be any of, but not limited to, the following item types: advisory reports and evaluations, books authored and edited (including translations and scholarly editions), chapters in books, thesis, advisory reports and evaluations, journal articles, published conference papers, working papers', compositions and musical scores, creative writing (libretti, film scripts, radio plays, novels, short stories, stage plays), performances, films, video and media presentations, installations, exhibitions and exhibition catalogues, artefacts, designs, devices and products, databases, digital and visual media, software design and development, websites, electronic resources and publications, research data sets and patents. An open access output available on our Repository does not have to meet the REF definition of research.
<i>Institutional Repository:</i>	A database which stores, arranges and makes outputs fully accessible to the public. The database utilised by Central is called ePrints.
<i>Item Type:</i>	Refers to the type of item such as book, chapter, journal article, video etc.
<i>Research Excellence Framework (REF):</i>	Assesses the quality of research across the UK's Higher Education Institutions (HEIs). Quality Related (QR) research funding is subsequently allocated to HEIs on the basis of REF scores.
<i>Sherpa RoMEO:</i>	A database, which sets out publisher rules about embargo periods.

## 7. References

- Arts & Humanities Research Council, (2019) *Open Access*. Available at <https://ahrc.ukri.org/about/policies/openaccess/> (Accessed 16<sup>th</sup> May 2019).
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- HEFCE *et al.*, (2014) *March 2014/07: Policy for open access in the post-2014 Research Excellence Framework*. Available at <https://www.ed.ac.uk/files/imports/fileManager/Policy%20for%20open%20access%20in%20the%20post-2014%20Research%20Excellence%20Framework.pdf> (Accessed 16<sup>th</sup> May 2019).
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- Research Excellence Framework (2020) *REF 2020/02: Guidance on revisions to REF 2021*. Available at <https://www.ref.ac.uk/media/1417/guidance-on-revisions-to-ref-2021-final.pdf> (Accessed 5<sup>th</sup> October 2020).
- United Kingdom Research and Innovation (2019) *UKRI Open Access update*. Available at <https://www.ukri.org/news/ukri-open-access-update/> (Accessed 16<sup>th</sup> May 2019).

## Appendix 1

The Concordat on Open Research Data sets out ten principles to ensure that

research data gathered and generated by members of the UK research community is made openly available for use by others wherever possible in a manner consistent with relevant legal, ethical, disciplinary and regulatory frameworks and norms, and with due regard to the costs involved.

### The Ten Principles

- Principle 1: Open access to research data is an enabler of high quality research, a facilitator of innovation and safeguards good research practice.
- Principle 2: There are sound reasons why openness of research data may need to be restricted but any restrictions must be justified and justifiable.
- Principle 3: Open access to research data carries a significant cost, which should be respected by all parties.
- Principle 4: The right of creators of research data to reasonable first use is recognised.
- Principle 5: Use of others' data should always conform to legal, ethical and regulatory frameworks including appropriate acknowledgment.
- Principle 6: Good data management is fundamental to all stages of the research process and should be established at the outset.
- Principle 7: Data curation is vital to make data useful for others and for long-term preservation of data.
- Principle 8: Data supporting publications should be accessible by publication date and should be in citable form.
- Principle 9: Support for the development of appropriate data skills is recognised as a responsibility of all stakeholders.
- Principle 10: Regular reviews of progress towards open research data should be undertaken.

(HEFCE *et al.*, 2016).



## **Research output(s) assessment policy**

At Central, we understand Research as ‘a process of investigation leading to new insights, effectively shared’ (Annex C, REF 2021 Guidance on submissions, p. 90). This is the definition of Research used by Research England and REF 2021.

Outputs are a key mode of disseminating research findings. These can take many shapes and forms from performances to monographs, software to patents. For practice research, Central expects researchers to ensure that they are clearly articulating research aims and objectives and evidencing findings. We have practice research sheets to ensure that the process of documenting the findings of such work is robustly undertaken. Effective dissemination of research has benefits for the individual, the institution and the discipline.

For the Research Excellence Framework, outputs make up 60% of the total submission. Research England has a clear definition of research and Central needs to ensure that outputs submitted for evaluation meet this definition. The output scores for REF 2014 (26.7% at 4\*, 31% at 3\*, 34.4% at 2\*, 4% at 1\* and 1% at unclassified) demonstrate that work may have been submitted for REF 2014 that did not meet this definition of research or fell short of research at world-leading or internationally excellent level.

In order to ensure we are prepared for robust external peer review, Central has introduced a system for the assessment of outputs produced by independent researchers and staff on the teaching and research pathway of the academic contract. Not all staff outputs will be submitted for REF 2021 but Central needs to ensure that those outputs that are submitted meet the highest possible standards. The evaluation of research outputs in REF is undertaken by a subpanel and not by the individuals who produce the research or members of the individual’s institution where there is a conflict of interest. To appraise staff’s research outputs, Central is following best practice in peer review by ensuring that we recognise recommendations made by our external assessors. Our assessors are senior research leaders in the field who have experience of sitting on previous REF panels and boast an extensive track record of peer review (through AHRC and other research funders as well as REF). All outputs are normally looked at by two external assessors who use the criteria (of originality, significance and rigour) laid out in the REF 2021 ‘Guidance on submissions’ document (see Annex A: Assessment Criteria and Level Definitions, table A1, p.84) and the ‘Panel criteria and working methods’ document (see paragraphs 190-96 and 204-05).

Feedback is provided through the Research department to staff members. This feedback will inform the School’s REF planning and inform the decision making of the REF 2021 Strategy and Delivery Group (constituted in February 2019). REF does not allow evaluations to be challenged or appealed and Central will respect the assessments of external assessors in line with REF.

This policy acknowledges the ‘Guidance on revisions to REF 2021’ document produced by the REF team in July 2020 and will ensure that its recommendations are taken in to consideration when reviewing outputs for REF 2021.

*September 2017, modified following Research England’s publication of the REF 2021 Guidelines on Submissions and Panel Criteria and Working Methods, February 2019. (Acknowledgement of the ‘Guidance on revisions to REF 2021’ document made in October 2020.)*

*Approved by Research Committee and Academic Board.*