

Research Excellence Framework (REF) 2014 Code of Practice

If you require a copy of this code in an alternative format (e.g. Braille, large print or audio), please e-mail research@gsmd.ac.uk or telephone 0207 382 5283.

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Introduction to REF 2014

The [Research Excellence Framework](#) (REF) 2014 is the new system for assessing the quality of research in UK higher education institutions (HEIs) which replaces the Research Assessment Exercise (RAE) completed in 2008.

It is a requirement of the Research Excellence Framework 2014 that each institution intending to make a submission develops and adopts a code of practice for preparing its submission and selecting staff for inclusion (see Part 4 of the [Assessment framework and guidance on submissions ref 02/2011](#)). This code of practice details the process by which the Guildhall School will make decisions about the selection of staff from those eligible for submission in 2014. The code has been prepared to ensure that the processes surrounding selection are transparent and fair, and consider the balance between the interest of individuals and those of the institution as set out in the School's Research & Knowledge Exchange Strategy 2009 – 2013¹.

Throughout each stage of the process, the Guildhall School will ensure compliance with the REF *Assessment framework & guidance on submissions* and the *Panel criteria and working methods* in addition to equalities and other legislation.

This code has been approved by the School's Research & Knowledge Exchange Committee and the Teaching & Learning Board and applies to all members of the School involved in REF processes and any external advisers engaged by the School.

For further details on the preparation of the School's submission to the REF visit the staff intranet page under research/REF. For further details relating to REF2014 in general visit <http://www.hefce.ac.uk/research/ref/>.

¹ Available on the School intranet under the staff area

The Guildhall School's Legal Requirements

1. The Guildhall School is committed to promoting and developing equality of opportunity in all areas of its work. The Guildhall School's code of practice acknowledges the principles of equality and diversity and the legislative context relevant to the selection of staff for submission to the REF. It is the School's duty to ensure that the REF procedures do not discriminate on the grounds of the following characteristics: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, and sex and sexual orientation as set out in the Equality Act 2010.
2. The Guildhall School recognises that, in light of the fixed-term employee and part time workers regulations, that fixed-term and part time workers should not be treated any less favourably than full time workers, as set out in the Part-time Workers Regulations 2000 and the Fixed Term Employee Regulations 2002.
3. All staff concerned in the preparation of the School's submission and those involved in the formal decisions will be briefed with a summary of the equality legislation (see Staff Training section below) as part of REF specific equality and diversity training. In addition to this code of practice, they are also advised to refer to the School's Equal Opportunities Statement² and the Data Protection Statement³ to ensure they have a suitable level of understanding.
4. The full summary of equality legislation which the Guildhall School will take into account when preparing the REF2014 submission is summarised in Annexe A.
5. Throughout each stage of the submission process, the School will ensure compliance with the *REF Assessment framework and guidance on submissions* and the *Panel criteria and working methods*.

Basic Principles of the School's Code of Practice

6. The School's selection process for the REF2014 is designed to be transparent, consistent, accountable and inclusive:

Transparency: the School will conduct its preparation for REF2014 in a transparent manner. This will include all processes concerned with the selection of staff and the publication of this code of practice on the School website.

Consistency: the criteria for selection (set out below) will be implemented uniformly at each stage of the process.

Accountability: responsibilities will be clearly defined, including the role of the School's Research & Knowledge Exchange Committee, REF-Sub Committee and appointed External Assessors (see Annexe B for details of roles and responsibilities). All staff involved in the selection of staff for submission will undergo training on equality and diversity (see details in Annexe B).

² Available on the staff intranet under policies

³ Available on the staff intranet under policies

Inclusivity: the School promotes an inclusive environment, enabling eligible staff that have produced excellent research for submission to the REF to be identified. All information in respect of the School's submission will be communicated to staff accordingly (see communication section).

7. An Equality Impact Assessment has been carried out on the code of practice and will be reviewed at key stages of the selection process (see further details on page 12).

Eligibility

8. The Guildhall School will consider all members of staff that meet the following criteria as set out in *Assessment framework and guidance on submissions*:

Research active staff potentially eligible for submission to the REF2014 must be a **minimum FTE 0.2 (note the equivalent number of hours for hourly paid staff is 364 per year)**. Eligibility will fall under the following categories:

Category A: Academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting institution on the census date (31 October 2013) and whose primary function is to undertake either 'research only' or 'teaching and research'.

Category C: Individuals employed by an organisation other than an HEI whose contract or job role (as documented by their employer) includes the undertaking of research, and whose research is primarily focused in the submitting unit on the census date (31 October 2013).

9. The Guildhall School recognises that a significant number of its staff members work part-time on an hourly paid basis. **Hourly paid staff** who receive payment through the School's payroll will qualify if they meet the definition of Category A above, **and** on the census date have a contract of employment of at least 0.2 FTE per year. (Calculations for hourly paid staff will be based on the individuals' average FTE over the length of their contract from 1 January 2008, up until the census date of 31 October 2013).
10. **Note that the number of hours equivalent to 0.2 FTE as a proportion of a full-time year (52 weeks) is 364 hours.**
11. The normal expectation is that full-time individuals submitted for the REF will offer **four outputs** for assessment between the assessment period of **1 January 2008 to 31 July 2013 (31 December 2013 for outputs)**. The quality of each output should meet or exceed the School-wide threshold⁴.
12. HEIs are allowed to list the maximum of four outputs against any eligible researcher, irrespective of their circumstances or the length of time they had to conduct research. A minimum of one output must be listed against each individual submitted to the REF.

⁴ See criteria section on page 8

13. The number of outputs is calculated **pro rata** for part time staff (including hourly paid staff) and those absent from work due to secondments or career breaks (on the basis set out below):

Part-time working, secondments or career breaks, permitted reduction in outputs:

Total months absent between 1 Jan 2008 to 31 Oct 2013 due to working part-time, secondment or career break	For hourly paid staff the equivalent hours are shown below	Number of outputs may be reduced without penalty by up to:
0 – 11.99	0 – 363	0
12 – 27.99	364 – 848	1
28 – 45.99	849 – 1,394	2
46 or more	1,395 or more	3

The allowances in the table above are based on the length of the individual's absence or time away from working in higher education. They are defined in terms of total months absent from work. For part-time working, the equivalent 'total months absent' should be calculated by multiplying the number of months worked part-time by the full-time equivalent (FTE) **not** worked during those months. For example, an individual worked part-time for 30 months at 0.6 FTE. The number of equivalent months absent = $30 \times 0.6 = 18$.

14. Members of staff for whom particular individual staff circumstances (see Appendix C) have adversely affected the quantity of their research in the assessment period, will be eligible for submission with fewer than four outputs. These would be subject to the same quality threshold. Such circumstances include, but are not restricted to, being an Early Career Researcher, qualifying periods of maternity, paternity or adoption leave, secondments or career breaks, disability, ill health or injury, childcare or other caring responsibilities.

15. Early Career Researchers (ECRs) as defined by HEFCE, are members of staff who meet the criteria to be selected as Category A or Category C staff on the census date, **and** who started their careers as independent researchers on or after 1 August 2009. ECRs will be eligible to submit fewer than four outputs (see full details in Annexe D).

16. All eligible researchers will be invited to voluntarily complete an individual staff circumstances form disclosing their individual circumstances should they wish these to be considered – see Annexe E. The form will be distributed to all researchers and will be available on the research intranet page.

17. The School will treat equally and fairly those staff on fixed-term and part-time contracts in determining suitability for inclusion in the REF (see Annexe F for further details).

Process & Timetable

Spring 2012	Code of practice published internally, following approval by the Research & Knowledge Exchange Committee & Teaching & Learning Board
Spring 2012	All eligible research active staff ⁵ invited by the Research Office to complete a form about their individual staff circumstances (see Annexe E for template). In order to be taken into account, circumstances must be notified no later than the end of May 2013. Thereafter, staff may update their record up until September 2013.
Spring 2012	Staff involved in selection briefed with relevant legislation (see Annexe A)
Late Spring 2012	Complete collection of individual staff circumstances
Late Spring 2012	Formal call with invitation for eligible staff, as set out in the Guidance on submissions, to be considered for inclusion in the REF2014. Staff will be given a minimum of 10 weeks to respond.
Late Spring	External assessors appointed to commence peer review process
Autumn 2012*	The REF Sub-Committee will make recommendations to the Research & Knowledge Exchange Committee concerning staff for selection, based on the criteria (see criteria section below)
Late Autumn 2012	The Research & Knowledge Exchange Committee will make the final decision on staff for submission.
Spring 2013	After the final decision, feedback will be provided to staff
Spring 2013	Appeals process opens immediately after decision is announced (with 28 days after notification of decision)
Summer 2013	Deadline for updating staff record in respect of individual staff circumstances
September 1 2013	Final deadline for considering new staff
October 31 2013	Census date for staff eligible for selection
November 29 2013	Closing date for School submission
<i>Equality Impact Assessments will be conducted throughout the process to ensure any protected groups are not discriminated.</i>	

**Due to the practicalities of establishing eligibility (particularly for hourly paid staff) and providing equal opportunities for staff to meet the external assessors, the timetable for selection and approval was lengthened.*

⁵ See eligibility section for definition

Appointment of new staff

18. New members of staff that join the School after Autumn 2012 and before the census date of 31 October 2013 will be invited to put themselves forward for consideration in the REF and will be considered as soon as possible by the relevant Committee. The Research Office will be responsible for gathering information on their research profile and their individual staff circumstances form. The final deadline for considering new staff will be 1 September 2013.
19. Where new members of staff join the School after late autumn, the same appeal process (see appeal section page 9) will apply, and the timescale may need to be varied to fit in with the submission deadlines.

Criteria for selection

20. In making recommendations and decisions on which staff to submit, the Guildhall School's selection process will include the use of the following criteria:

(a)Number of outputs: submissions must include up to four research outputs for each person submitted within the assessment period 1 January 2008 to 31 July 2013 (31 December 2013 for outputs). Any individual circumstances will be taken into account – see tariffs in Annexe C.

(b)Quality: the Guildhall School will assess the quality of a submission based on the evidence that the researcher has submitted to the REF Sub-Committee. Research 'excellence' will be interpreted according to the definitions and criteria set out by the Funding Councils and by the relevant REF panels and sub-panels:

- **Originality:** a creative/ intellectual advance that makes an important and innovative contribution to understanding and knowledge. This may include substantive empirical findings, new arguments, interpretations or insights, imaginative scope, assembling of information in an innovative way, development of new theoretical frameworks and conceptual models, innovative methodologies and/or new forms of expression.
- **Significance:** the enhancement or deserved enhancement of knowledge, thinking, understanding and/or practice.
- **Rigour:** intellectual coherence, methodological precision and analytical power; accuracy and depth of scholarship; awareness of and appropriate engagement with other relevant work.

The School will be looking to submit research that, in the opinion of the REF Sub-Committee, meets a **minimum threshold of 3*⁶** quality as defined by HEFCE (this threshold does not apply to ECRs).

⁶ HEFCE definition of 3* research: '*Quality that is internationally excellent in terms of originality, significance and rigour but which falls short of the highest standards of excellence.*'

(c)Fit: research is consistent with the School's strategy for research as set out in the Research & Knowledge Exchange Strategy 2009 – 2013 which clusters research & knowledge exchange activity into four areas:

- *The application and impact of artistic and professional practice in society*
- *Repertoire for the 21st century*
- *The art and science of artistry*
- *Performance practices*

Should outputs not be deemed of sufficient quality, they will not be considered in terms of fit with the School's Research & Knowledge Exchange Strategy.

21. The inclusion or otherwise of an individual and their work in the REF return will not influence career progression.
22. Staff on fixed term and part-time staff will be treated as favourably as those on permanent or full-time contracts in relation to pay, training, staff benefits, promotion and career development opportunities.
23. Feedback will be provided to staff on the reasons for non-selection. Where deemed appropriate, mentoring support will be offered to help raise quality or identify career progression opportunities.

The decision making process

24. Details of staff and their responsibilities in the REF2014 process are outlined in Annexe B.
25. Ultimately, the decision on which staff are to be submitted to the REF rests with the Principal, including whether a maximum of four outputs are to be listed against researchers that are not full-time.

Communication

26. The code of practice will be made available to all staff via the School intranet and website, in addition to announcements in the School e-zine.
27. All eligible staff will be contacted via email by the Assistant Principal (Research & Academic Development) with the code of practice and the invitation to be included in REF2014.
28. Staff unable to access email or who are absent from work will be contacted via letter to their home address.

Appeal Process

29. If an individual is unhappy with the decision on their selection, they may consider submitting an appeal. In the first instance, it is recommended that they discuss this with their line manager or refer to a designated member of the Research & Knowledge Exchange Committee [appointed by the Deputy Chair].

If, after this discussion they are still not satisfied, they may lodge an appeal or complaint in writing, **within 28 days** of receiving their formal feedback on the submission to the Head of Registry Services.

30. An appeals process has been developed which allows individuals to make appeals on the following basis:

- 1) Procedural grounds
- 2) On the grounds of potential discrimination (see page 4)

Appeals will **not** be considered on the judgement of the REF sub-committee on the grounds of quality.

No appeals will be considered after 31 August 2013.

31. Process

- (i) The appeal process will be handled by individuals who are independent of the decision to select staff.
 - Appeals on the grounds noted above, must be lodged in writing (providing all supporting documentation) to the *Head of Registry Services* **within 28 working days** of receiving feedback on the submission
 - An **Administrative** check will proceed **within 7 working days** of receipt of appeal
 - An Appeal Panel, where appropriate, will be convened within 28 working days of the original submission of appeal.
- (ii) The Head of Registry will undertake an administrative check to determine
 - (a) that the appeal documentation has been fully completed and that all relevant evidence has been enclosed; AND
 - (b) whether sufficient evidence has been provided to merit consideration of a claim on one or both of the grounds for appeal.

An appeal may be rejected if the documentation is not complete and/or insufficient evidence has been provided; the grounds for rejection will be communicated to the appellant. A decision to reject an appeal at this stage will be confirmed by the Director of Student & Corporate Affairs.

- (iii) If an Appeal Panel is to be established the Chair or Deputy Chair of the REF Sub - Committee will be asked to provide, in writing, a formal response to the appeal to be submitted to the Appeal Panel with the appellant's documentation.

- (iv) The Appeal Panel will consist of:

The Chair (who will be the Director of Music)

A HR Representative

An External Researcher independent of the REF selection process, to be nominated by the Principal.

The Secretary to the panel will be the Head of Registry Services or other senior administrator (not involved in REF processes).

The quorum will be three

- (v) The documentation to be considered by the Appeal Panel will be circulated to the Appeal Panel and the appellant five working days before the panel hearing.
- (vi) In all cases, the appellant will have the right to appear before the Appeals-Panel and to be represented by a trade union representative. The name of the representative must be communicated to the Secretary at least two working days in advance of the panel hearing. However, none of the proceedings of the panel will be invalidated by the absence of the appellant provided the timeframes set out in paragraphs 28(i) and 28(v) above have been met.
- (vii) The Appeal—panel will invite the Deputy Chair of the REF Sub-Committee or other representative of the subcommittee to be interviewed by the panel. The panel may also invite any other witness to clarify any aspect raised in the appeal.
- (viii) At the hearing the panel will interview the appellant and witnesses. The appellant and the representative of the REF subcommittee will also be allowed to make a brief closing statement to the panel.
- (ix) A written record of the panel proceedings will be made.
- (x) The Appeal Panel will determine whether to uphold the appeal or reject the appeal.
 - (a) Where the appeal panel upholds the appeal it will indicate whether this is on procedural grounds or on the grounds of discrimination.
 - (b) Where the appeal has been upheld in respect of procedural grounds it will further determine whether these were sufficiently substantive to bring the decision of the RKEC into doubt. Where substantive, the appellant's original application for inclusion in the REF will be referred back to the relevant point in the procedure where the procedural error occurred.
 - (c) Where the appeal panel upholds the appeal on the grounds of discrimination, the panel will take advice on the appropriate way forward with the intent of referring the appellant's original application for inclusion in the REF back to a relevant point in the procedure before the discrimination arose with recommendations for ensuring that the discrimination does not reoccur.
- (xi) The decision of the Appeal Panel will be communicated in writing to the appellant and the research office within 3 working days of the panel hearing.
- (xii) Where new members of staff join the School after late autumn, the same appeals process (as set out above) will apply but the timescale may be varied to fit in with the submission deadline.

External Assessors

- 32 In addition to the systematic assessment carried out internally, the Guildhall School may seek the expertise of a third party to comment on the quality of an individual's research only (see Annexe B: Roles and Responsibilities in the selection process).
- 33 Each external assessor will be briefed in relation to the development of the code of practice and will be provided with guidance with respect to the appropriate level of detail requested in respect of the research considered.

Staff Training

- 34 All staff concerned in the preparation of the School's submission and those involved in the formal decisions will be briefed on the Equality and Diversity implications of selection for submission to the REF. The briefing will include the code of practice and relevant legislation, based on guidance from the Equality Challenge Unit.
- 35 Staff involved in the appeals process will receive specific REF equality and diversity training.

Equality Impact Assessment

- 36 The UK funding bodies require all higher education institutions (HEIs) to conduct an equality impact assessment (EIA) on their policy and procedures for selecting staff for the Research Excellence Framework (REF) 2014.
- 37 The Guildhall School has in place comprehensive arrangements for completing Equality Impact Assessments, and is committed to assessing the impact of its policies on protected groups. The City of London Corporation undertakes a thorough and systematic analysis of the policies, practices and decisions on equality and in particular, those protected by equalities legislation:
 - Marriage and Civil Partnership
 - Pregnancy and Maternity
 - Race
 - Religion and Belief
 - Sex
 - Sexual Orientation
 - Age
 - Disability (including caring responsibilities)
 - Gender Reassignment

For the purposes of the code of practice, the EIA also considers the impact on individuals falling into the following groups:

- Early Career Researchers
- Paternity and adoption
- Part-time and fixed-term employment status

An initial impact assessment has been undertaken on the code of practice and likely submission, and has included an analysis of the code of practice for RAE2008 and the RAE 2008 submission by gender, disability and race which has informed the development of a fully inclusive code of practice. An analysis of all equality briefing and information provided by the Equality Challenge Unit has also been undertaken.

The EIAs have been reviewed by the Study Skills and Disability Co-ordinator and a member of the School's Operations Board and will be monitored on an on-going basis at each stage of the REF2014 process. The EIAs will be reviewed when considering appeals and when preparing the final submission.

The Research & Knowledge Exchange Committee will be provided with the Equality Impact Assessment when considering the likely REF submission.

All EIAs are stored on the following link [O:/Everyone/School Documents/Policies](#) and will be published on the School's intranet page under [research/REF2014](#).

Annexe A: Summary of equality legislation

Taken from Part 4 of the *Assessment framework & guidance on submissions* REF (02/2011)

Age	<p>All employees within the higher education sector are protected from unlawful age discrimination 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. (These provisions in the Equality Act 2010 are partially in force, but should be fully in place by April 2012.)</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 submitting them because of their age group.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of early career researcher used in the REF (see paragraph 85) 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 since 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
Disability	<p>The Equality Act 2010, the Disability Discrimination Act (1995) (Northern Ireland only) and the Disability Discrimination (Northern Ireland) Order 2006 prevent unlawful discrimination relating to disability. Individuals are also protected if they are perceived to have a disability or if they are associated with a person who is disabled, for example, if they are responsible for caring for a disabled family member.</p> <p>A person is considered to be disabled 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. 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.</p> <p>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, not individuals, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none">• sensory impairments• impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy

	<ul style="list-style-type: none"> • 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. <p>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.</p> <p>Equality law requires HEIs to anticipate the needs of disabled people and make reasonable adjustments for them. Failure to make a reasonable adjustment constitutes discrimination. If a disabled researcher's impairment has affected the quantity of their research outputs, they may be submitted with a reduced number of outputs (see paragraphs 90-100 and the panel criteria).</p>
Gender reassignment	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect from discrimination 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 of gender reassignment and staff are protected if they are perceived to be undergoing or have undergone gender reassignment. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone gender reassignment.</p> <p>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.</p> <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>Staff whose ability to work productively throughout the REF assessment period has been constrained due to gender reassignment may be submitted with a reduced number of research outputs (see paragraphs 90-100, and the panel criteria). Information about the member of staff will be kept confidential as described in paragraph 98.</p>
Marriage and civil partnership	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 as amended, individuals are protected from unlawful discrimination 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>In relation to the REF HEIs must ensure that their processes for selecting staff do not inadvertently discriminate against staff who are married or in civil partnerships.</p>
Political opinion	<p>The Fair Employment and Treatment (Northern Ireland) Order 1998 protects staff from unlawful discrimination on the grounds of political opinion.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their political opinion.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 women are protected from unlawful discrimination related to pregnancy and maternity.</p> <p>Consequently researchers who have taken time out of work or whose ability to work productively throughout the assessment period because of pregnancy and/or maternity, may be submitted with a reduced number of research outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>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.</p> <p>For the purposes of this summary it is important to note that primary adopters have similar entitlements to women on maternity leave.</p>
Race	<p>The Equality Act 2010 and the Race Relations (Northern Ireland) Order 1997 protect HEI staff from unlawful discrimination 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.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their race or assumed race (for example, based on their name).</p>
Religion and belief including non-belief	<p>The Equality Act 2010 and the Fair Employment and Treatment (Northern Ireland) Order 1998 protect HEI staff from unlawful discrimination to do with 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.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions 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.</p>
Sex (including breastfeeding and additional paternity and adoption leave)	<p>The Equality Act 2010 and the Sex Discrimination (Northern Ireland) Order 1976 protect HEI staff from unlawful discrimination to do with sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</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 women's ability to work productively will be taken into account, as set out in paragraph 90-100 and the panel criteria</p>

	<p>documents.</p> <p>From 3 April 2011, partners of new mothers and secondary adopters will be entitled to up to 26 weeks of additional paternity and adoption leave. People 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 researchers who have taken additional paternity and adoption leave may be submitted with a reduced number of outputs, as set out in paragraphs 90-100 and in the panel criteria documents.</p> <p>HEIs need to be wary of selecting researchers by any criterion that it 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>
Sexual orientation	<p>The Equality Act 2010 and the Employment Equality (Sexual Orientation) Regulations (Northern Ireland) 2003 protect HEI staff from unlawful discrimination to do with sexual orientation. Individuals are also protected if they are perceived to be or are associated with someone who is of a particular sexual orientation.</p> <p>HEIs should be aware of not making any judgements about the selection of staff for REF submissions based on their actual or perceived sexual orientation.</p>
Welsh Language	<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.</p> <p>The arrangements for the assessment of outputs in the medium of Welsh by the REF panels are set out in paragraphs 128-130 of the Assessment framework and guidance on submissions.</p>

Annexe B: Roles and responsibilities in the selection process

Research & Knowledge Exchange Committee

The Research & Knowledge Exchange Committee will be responsible for determining the School's submission strategy and for approving the final submission to the Research Excellence Framework, as advised by the REF Sub-Committee.

Terms of Reference

- To receive and review recommendations made by the REF Sub-Committee for the submission (Note REF items will be taken under reserved business);
- To formally approve the decision about the REF submission;
- To oversee arrangements for providing feedback to individuals;
- To respond to other matters referred by the REF Sub-Committee.

Membership

Assistant Principal (Research & Academic Development), *Chair*

Head of Composition, *Deputy Chair*

1 x Senior member of Research Department

1 x Director of Creative Learning

2 x Head of Music Departments

2 x Director/Head of Drama Departments

Director of Doctoral Programmes

Head of Junior Guildhall

1 x Member of the HR department

Research Cluster Leaders

Head of Library

Head of Academic Studies (Drama) – co-opted

Up to 3 x Active Researchers

3 x Doctoral Students

REF Sub-Committee

The role of the REF Sub-Committee is to support the Research & Knowledge Exchange Committee in achieving the best possible outcome from the REF for the School.

Terms of Reference

- To report to the Research & Knowledge Exchange Committee by way of a summary report;
- To advise the Research & Knowledge Exchange Committee on the process of submissions to the REF2014;
- To make recommendations to the Research & Knowledge Exchange Committee on the submission;
- To interpret the REF *Panel criteria and working methods* and *Assessment framework and guidance on submissions* and any other guidance published by the funding councils in relation to the REF;

- To develop a Code of Practice for preparing, reviewing and developing submissions and selecting staff for inclusion in the submission;
- To co-ordinate communication with staff via the research office;
- To approve the commissioning and terms of reference of external reviews, ensuring reviews are rigorous and independent;
- To co-ordinate responses to HEFCE REF consultations.

Roles and Responsibilities of Members

Assistant Principal (Research & Academic Development)

- Chair of the Committee
- Institutional research strategic direction of the School
- Reporting to Research & Knowledge Exchange Committee

Principal

- Overall strategic direction of the School

Research Professor

Director of Doctoral Programmes (Deputy Chair)

Director of Drama

Composer in residence and professor of composition

- Specific expertise in areas of research focus and/or in the School environment, ensuring robust and consistent research profile.

Research Manager

- Secretary to the Committee
- Responsible for ensuring robust and consistent research profile information is available to the group
- Clear and consistent records of the meeting and consistent application of code of practice
- Advise on due process, procedure and latest developments and guidance.

Each member will be responsible for ensuring compliance with the code of practice, the principles for selection and the equality and diversity legislation.

External Assessors

- External assessors will be appointed to act in an advisory capacity to the REF Sub-Committee to ensure externality in the peer review process.
- Their role will be to provide specific expertise in areas of research focus – assessing the quality of submissions.
- External assessors will not decide which staff are to be submitted to the REF nor will they be given any information relating to individual staff circumstances.

Each external assessor will be briefed in relation to the development of the code of practice and will be provided with guidance with respect to the appropriate level of detail requested in respect of research considered.

Annexe C: Individual staff circumstances

1. REF Panels have identified a common set of individual staff circumstances which they will take into account in assessing submissions. Set out below is a list of applicable circumstances, followed by the procedure for determining the number of outputs that may be reduced without penalty.
2. Category A and C staff may be returned with fewer than four outputs without penalty in the assessment if one or more of the following circumstances significantly constrained their ability to produce four outputs or to work productively through the assessment period:

Clearly defined circumstances:

- i. **Qualifying as an Early Career Researcher** (as defined at paragraphs 85-86 of the *Assessment framework and guidance on submissions* – see appendix D and table 1 below).
 - ii. **Absence from work due to part-time working, secondments or career breaks** (see table 2 below)
 - iii. **Qualifying periods of maternity, paternity or adoption leave** (see below).
3. When an individual has one or more circumstances with a **clearly defined** reduction in outputs, the number of outputs that may be reduced should be determined according to the tables and guidance below.

For clearly defined circumstances i and ii, tables 1 and 2 below set out the number of outputs that may be reduced without penalty.

Early Career Researchers

Submitted staff who meet the definition of Early Career Researchers in the *Assessment framework and guidance on submissions* (see Annexe D) may be returned with fewer than four outputs without penalty, as set out in Table 1:

Table 1: Early Career Researchers: number of outputs that may be reduced without penalty

Date at which the individual first met the definition of an Early Career Researcher	Number of outputs may be reduced without penalty by up to:
On or before 31 July 2009	0
Between 1 August 2009 and 31 July 2010	1
Between 1 August 2010 and 31 July 2011	2
After 1 August 2011	3

Absence from work due to part-time working, secondments and career breaks

Table 2: The table sets out permitted reduction in outputs without penalty in the assessment for absence from work due to **part-time working, secondments or career breaks outside of the higher education sector, and in which the individual did not undertake academic research.**

The number of outputs is calculated pro rata for part-time staff (including hourly paid staff) and those absent from work due to secondments or career breaks (on the basis set out below):

Total months absent between 1 Jan 2008 to 31 Oct 2013 due to working part-time, secondment or career break	For hourly paid staff the equivalent hours are shown below	Number of outputs may be reduced without penalty by up to:
0 – 11.99	0 – 363	0
12 – 27.99	364 – 848	1
28 – 45.99	849 – 1,394	2
46 or more	1,395 or more	3

The allowances in Table 2 are based on the length of the individual's absence or time away from working in higher education. They are defined in terms of total months absent from work. For part-time working, the equivalent 'total months absent' should be calculated by multiplying the number of months worked part-time by the full-time equivalent (FTE) **not** worked during those months. For example, an individual worked part-time for 30 months at 0.6 FTE. The number of equivalent months absent = $30 \times 0.6 = 18$.

Qualifying periods of maternity, paternity or adoption leave

Individuals may reduce the number of outputs by one, for each discrete period of:

- a. Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2008 to 31 October 2013, regardless of the length of the leave.
- b. Additional paternity or adoption leave lasting for four months or more, taken substantially during the period 1 January 2008 to 31 October 2013.

The approach to these circumstances is based on the funding bodies' considered judgement that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the reduction of an output. This judgement was informed by the consultation on draft

panel criteria, in which an overwhelming majority of respondents supported such an approach.

The funding bodies' decision not to have a minimum qualifying period for maternity leave was informed by the sector's clear support for this approach in the consultation; recognition of the potential physical implications of pregnancy and childbirth; and the intention to remove any artificial barriers to the inclusion of women in submissions, given that women were significantly less likely to be selected in former RAE exercises.

The funding bodies consider it appropriate to make the same provision for those regarded as the 'primary adopter' of a child (that is, a person who takes statutory adoption leave), as the adoption of a child and taking of statutory adoption leave is generally likely to have a comparable impact on a researcher's work to that of taking maternity leave.

As regards additional paternity or adoption leave, researchers who take such leave will also have been away from work and acting as the primary carer of a new child within a family. The funding bodies consider that where researchers take such leave over a significant period (four months or more), this is likely to have an impact on their ability to work productively on research that is comparable to the impact on those taking maternity or statutory adoption leave.

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

- By seeking a reduction in outputs under the provision for complex circumstances, for example where the period of leave had an impact in combination with other factors such as on-going childcare responsibilities.
- By combining the number of months for shorter periods of such leave in combination with other clearly defined circumstances, according to Table 2.

Any period of maternity, adoption or paternity leave that qualifies for the reduction of an output under the provisions above may in individual cases be associated with prolonged constraints on work that justify the reduction of more than one output. In such cases, the circumstances should be explained using the arrangements for complex circumstances.

Complex Circumstances

Circumstances that are more complex and require a judgement about the appropriate number of outputs that can be reduced without penalty. These circumstances are:

- i. Disability. This is defined in Part 4, Table 2 of the *Assessment Framework and guidance on submissions*, under 'Disability'.
- ii. Ill health or injury.
- iii. Mental health conditions.

- iv. 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 made on page 20
- v. Other caring responsibilities.
- vi. Gender reassignment.
- vii. Other circumstances relating to the protected equalities characteristics listed at paragraph 190 of *Assessment framework and guidance on submissions*.

Where a researcher has one or more complex circumstances – including in combination with any circumstances with a clearly defined reduction in outputs - the School will need to make a judgement on the appropriate reduction in the number of outputs submitted, and provide a rationale for this judgement.

How to report individual staff circumstances

1. Guidance on the types of circumstances that would be eligible for remission and the acceptable reduction in number of outputs are outlined above.
2. All eligible members of staff for inclusion in the REF2014 submission will be invited to voluntarily register any appropriate circumstances using the form in annexe E, as advised by the Equality Challenge Unit. This invitation will be issued in Spring 2012 and staff are encouraged to complete the form by 15 May 2012. Thereafter staff may up-date their records as appropriate (the form will be available on the intranet).
3. In order to be taken into account circumstances must be notified no later than the end of Summer 2013.
4. The School is required to identify all eligible Early Career Researchers, irrespective of whether any reduction in the number of outputs submitted is sought.
5. The REF Sub-Committee secretary will advise the REF Sub-Committee on any appropriate action that needs to be taken once the forms have been submitted. Where appropriate, information on individual staff circumstances will be provided to the REF Sub- Committee who will observe confidentiality.
6. Information provided on the form may be shared externally for the purposes of evidencing any reduction in outputs.
7. Individual staff circumstances will be kept confidential to the HEFCE REF team⁷.
8. Information will be stored securely.
9. New members of staff recruited after Autumn 2012 may update their record up until September 2013.

⁷ As set out in the *Assessment framework and guidance on submissions* – paragraph 98

Annexe D

Early Career Researcher (ECR) as defined by HEFCE

Early Career researchers

1. Early career researchers are defined as members of staff who meet the criteria to be selected as Category A or Category C staff on the census date, **and** who started their careers as independent researchers on or after 1 August 2009. For the purposes of the REF, an individual is deemed to have started their career as an independent researcher from the point at which:
 - a. They held a contract of employment of 0.2 FTE or greater, which included a primary employment function of undertaking 'research' or 'teaching and research', with any HEI or other organisation, whether in the UK or overseas, **and**
 - b. They undertook independent research, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work. (A member of staff is not deemed to have undertaken independent research purely on the basis that they are named on one or more research outputs.)
2. The following do **not** meet the definition of an ECR (this list is not exhaustive):
 - a. Staff who first acted as an independent researcher while at a previous employer – whether another HEI, business or other organisation in the UK or elsewhere – before 1 August 2009, with a contract of 0.2 FTE or greater.
 - b. Staff who first acted as an independent researcher before 1 August 2009 and have since had a career outside of research or an extended break from their research career, before returning to research work. Such staff may reduce the number of outputs submitted according to paragraph 92a.iv. (career breaks).
 - c. Research assistants who are ineligible to be returned to the REF, as defined in paragraphs 80-81.

Annexe E:

REF 2014 INDIVIDUAL STAFF CIRCUMSTANCES REPORTING FORM

Confidential

The Guildhall School is committed to ensuring that decisions about selecting staff for the Research Excellence Framework (REF) are made in a fair, transparent and consistent manner. Information on how eligible staff will be selected for submission to the REF can be found in the School's Code of Practice, available on the School's intranet page (under research/ref). HEIs are allowed to list a maximum of **four outputs** against eligible researchers, regardless of circumstances. The data collected on this form will be used to identify staff that are eligible for submission of **fewer than four outputs**.

If you do not wish to be considered for the REF 2014, you are not required to complete this form.

Name	
Department	
Contact email	
Contact telephone	

Section one:

Please select one of the following:

- I have no individual circumstances that I wish to be taken into consideration for the purposes of the Research Excellence Framework (REF)
- I have individual circumstances that I wish to make known to the School but I am not seeking a reduction in outputs. (Please complete section two)
- In completing this form I am seeking a reduction in research outputs. (Please complete section two)

Section two:

I wish to make the School aware of the following circumstances which have had an impact on my ability to produce four outputs or work productively between 1 January 2008 and 31 October 2013:

Please provide information required on relevant circumstance/s and continue onto a separate sheet of paper if necessary:

Circumstance	Information required
Early career researcher (started career as an independent researcher on or after 1 August 09) Definition is available @ www.hefce.ac.uk	Date on which you became an early career research
Provide brief details about your research career history, specifically when you became and Early career researcher	

Part-time employed or absent from full time work due to period of part-time working	
If you work part-time for the School, please confirm the fraction of your contract or how many hours per year you work. Please provide this for the time period 1 Jan 2008 – 31 October 2013.	
Career break or secondment outside of the higher education sector	Dates and duration in months
Please provide specific details about the nature of the circumstance (s) and the timing of the circumstance (s)	
Maternity leave, statutory adoption leave, or additional paternity leave (taken by partners of new mothers or co-adopters)	For each period of leave state which type of leave was taken and the dates and duration in months
Please provide specific details about the nature of the circumstance (s) and the timing of the circumstance (s)	
Disability (including conditions such as cancer and chronic fatigue)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Please provide specific details about the nature of the circumstance (s) and the timing of the circumstance (s)	
Mental health condition	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Please provide specific details about the nature of the circumstance (s) and the timing of the circumstance (s)	
Ill health or injury	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Please provide specific details about the nature of the circumstance (s) and the timing of the circumstance (s)	
Constraints relating to pregnancy, maternity, breastfeeding, paternity, adoption or childcare <u>in addition</u> to the period of	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months

maternity, adoption or additional paternity leave taken.	
Please provide specific details about the nature of the circumstance (s) and the timing of the circumstance (s)	
Other caring responsibilities (including caring for an elderly or disabled relative)	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Please provide specific details about the nature of the circumstance (s) and the timing of the circumstance (s)	
Gender reassignment	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Please provide specific details about the nature of the circumstance (s) and the timing of the circumstance (s)	
Other exceptional and relevant reasons, not including teaching or administrative work	Impact on ability to fulfil contractual hours and other impacts on ability to undertake research. Duration in months
Please provide specific details about the nature of the circumstance (s) and the timing of the circumstance (s)	

This information may be considered by the School's REF Sub-Committee who will observe confidentiality. All forms will be stored securely.

If further information is required about any circumstances noted on this form, you may be contacted by Rebecca Cohen, REF Sub-Committee secretary.

Signature: Date:

(Staff member)

Please email it to Rebecca.Cohen@qsm.d.ac.uk by **15 May 2012** or by post to Rebecca Cohen, Guildhall School, Silk Street, Barbican, EC2Y 8DT.

What if my circumstances change?

If there are circumstances that arise at a later stage (up to the end of 2013), please aim to inform us by completing this form (available on the intranet) by Summer 2013 where possible.

Annexe F: Fixed Term & Part-Time Staff

The Guildhall School values the rich diversity and creative potential people with different backgrounds, skills and abilities bring to the workplace. Our Equal opportunities policy via the City of London aims to treat all current and prospective employees fairly and with dignity and respect. The Guildhall School recognises in light of the fixed term employee and part time workers regulations that fixed term and part time workers should not be treated any less favourably than full time workers as set out in the Part Time Workers Regulations 2000 and the Fixed Term Employee Regulations 2002.

The Guildhall School provides real equality of opportunity in the advertising of jobs, recruitment and selection, training and development, opportunities for promotion, conditions of service, benefits and facilities and termination of employment/ engagement of all our workers and ensure that no prospective or existing worker is treated less favourably than another or is unlawfully discriminated against on the grounds of gender, sexual orientation, marital status, any gender reassignment, race, religion or belief, colour, nationality, ethnic or national origin, disability, age, trade union membership or the fact that they are a part-time worker or fixed-term employee. The Guildhall School does not tolerate abuse, harassment or victimisation of workers and will invoke the Disciplinary procedures, where appropriate, to address such discriminatory practices.

The Guildhall School recognises that a proportion of its staff are on non-standard contracts including hourly paid and part-time and wherever feasible, offers consideration to members of staff that require alternative working arrangements. Central to our equal opportunities in employment policy is that we get the best from our employees throughout their careers. We will:

- *Provide the support necessary to help employees realise their potential.*
- *Encourage employees to apply for jobs to suit their experience and skills.*

We have a flexible working policy that recognises that patterns of work change as employees have to balance work and domestic commitments. In addition, the City of London Corporation holds a number of HR policies⁸ and services to support its staff in these circumstances:

- Adoption Leave policy
- Career Break policy
- Childcare Voucher Scheme
- Equal Opportunities Statement
- Flexible Working Policy
- Home Working Policy
- Job Share Policy
- Maternity Leave & Paternal Leave
- Paternity Leave Policy
- Sickness Absence Management & Special Leave

⁸ The above are available on the Colnet intranet site and the School intranet pages under policies.