



Board of Governors of the Guildhall School of Music and Drama

Date: MONDAY, 17 FEBRUARY 2020

Time: 1.45 pm

Venue: COMMITTEE ROOM - 2ND FLOOR WEST WING, GUILDHALL

Members: Vivienne Littlechild (Chairman)
Graham Packham (Deputy Chairman)
Natasha Bucknor
George Abrahams
Randall Anderson
Deputy David Bradshaw
Deputy Michael Cassidy
John Chapman
Professor Geoffrey Crossick
Professor Maria Delgado
Marianne Fredericks
Shreela Ghosh
Steven Gietzen
Michael Hoffman
Ann Holmes
Jeremy Mayhew
Dave Muncey
The Rt Hon. the Lord Mayor, Alderman William Russell
Andy Taylor
Lynne Williams

Enquiries: Julie Mayer tel. no.: 020 7332 1410
julie.mayer@cityoflondon.gov.uk

N.B. Part of this meeting may be subject to audio-visual recording.

Lunch will be served in the Guildhall Club at 1.00pm.

**John Barradell
Town Clerk**

AGENDA

NB: Certain matters for information have been marked * and will be taken without discussion, unless the Committee Clerk has been informed that a Member has questions or comments prior to the start of the meeting.

Certain non-contentious matters for decision have been marked + with recommendations to be agreed without discussion, unless the Committee Clerk has been informed that a Member has questions or comments prior to the start of the meeting.

Part 1 - Public Agenda

1. APOLOGIES

2. MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA

3. PUBLIC MINUTES

To approve the public minutes of recent Board meetings.

For Decision

- a) **Public minutes and summary of the inquorate meeting held on 25th November 2019**

(Pages 1 - 10)

- b) **+ Public minutes and summary of the inquorate meeting held on 23rd September 2019**
- c) **+ Public minutes and summary of the meeting held on 13th May 2019**

NB: as the Board minutes at items 3(b) and (c) have previously been circulated for approval, they have been incorporated within a supplementary pack, together with the minutes of the various sub-committee meetings.

4. * PUBLIC MINUTES OF SUB COMMITTEE MEETINGS

To receive the public minutes of recent Sub Committee meetings.

For Information

- a) **Public minutes and summary of the meeting of the Governance and Effectiveness Committee on 28th October 2019**

- b) **Public minutes and summary of the meeting of the Audit and Risk Management Committee held on 13th November 2019**

- c) **Public minutes and summary of the meeting of the Finance and Resources Committees held on 4th November 2019**

- d) **Public minutes and summary of the meeting of the Remunerations and Nominations Committee held on 18th November 2019**

- e) **Public minutes and summary of the meeting of the Finance and Resources Committees held on 22nd January 2020**

5. * OUTSTANDING ACTIONS

Report of the Town Clerk.

For Information
(Pages 11 - 12)

6. + FREQUENCY AND DATES OF MEETINGS AND TERMS OF REFERENCE

Report of the Town Clerk.

For Decision
(Pages 13 - 16)

7. PRINCIPAL'S PUBLIC REPORT FEBRUARY 2020

Report of the Principal.

For Information
(Pages 17 - 38)

8. RESEARCH

a) **Research annual report for 2018/19**

Report of the Principal together with a presentation from Professor Cormack Newark.

For Information
(Pages 39 - 56)

b) **The Research Excellence Framework (REF) 2021 Code of Practice**

Report of the Principal.

For Information
(Pages 57 - 120)

9. PREVENT: ANNUAL MONITORING REPORT FOR 2018/19 TO THE OFFICE FOR STUDENTS (OFS)

Report of the Principal.

For Information
(Pages 121 - 126)

10. ACCESS AND PARTICIPATION PLAN: REPORT ON MONITORING FOR 2018/19

Report of the Principal.

For Information
(Pages 127 - 140)

11. + GENERAL ELECTRICAL AND DIMMER INSTALLATION - GATEWAY 6 OUTCOME REPORT

Report of the Principal.

For Decision
(Pages 141 - 148)

12. * ACTION TAKEN BETWEEN MEETINGS

Report of the Town Clerk.

For Information
(Pages 149 - 150)

13. QUESTIONS ON MATTERS RELATING TO THE WORK OF THE BOARD

14. ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT

15. EXCLUSION OF THE PUBLIC

MOTION - That under Section 100A(4) of the Local Government Act 1972, the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Local Government Act.

Part 2 - Non Public Agenda

16. NON-PUBLIC MINUTES

To approve the non-public minutes of recent Board Meetings.

For Decision

- a) **Non-public minutes of the inquorate meeting held on 25th November 2019**

(Pages 151 - 156)

- b) **+ Non-public minutes of the inquorate meeting held on 23rd September 2019**

- c) **+ Non-public minutes of the meeting held on 13th May 2019**

17. * NON-PUBLIC MINUTES OF SUB COMMITTEES

To receive the Non-public Minutes of recent Committee meetings.

For Information

- a) **Non-public minutes of the meeting of the Governance and Effectiveness Committee held on 18th October 2019**

- b) **Non-public minutes of the meeting of the Audit and Risk Management Committee held on 13th November 2019**

- c) **Non-public minutes of the meeting of the Finance and Resources Committees held on 4th November 2019**

- d) **Non-public minutes of the meeting of the Finance and Resources Committees held on 22nd January 2020**

- e) **Non-public minutes of the Remunerations and Nominations Committee held on 18th November 2019**

18. PRINCIPAL'S NON-PUBLIC REPORT FEBRUARY 2020

Report of the Principal.

For Information
(Pages 157 - 168)

19. UPDATED BUSINESS CASE FOR EXTRA SPACE

Report of the Principal.

For Decision
(Pages 169 - 180)

20. ***ANNUAL TRANSPARENT APPROACH TO COSTING (TRAC) RETURN REPORTING FOR ACADEMIC YEAR 2018/19**
Report of the Principal.
For Information
(Pages 181 - 208)
21. **LATEST GUILDHALL SCHOOL BUDGET REPORT - 2020/21**
Report of the Principal.
For Decision
(Pages 209 - 214)
22. **GUILDHALL SCHOOL MANAGEMENT INFORMATION 'DASHBOARD' 2019/20 - DECEMBER 2019 (PERIOD 9)**
Report of the Principal.
For Information
(Pages 215 - 226)
23. **SAFEGUARDING UPDATE**
Principal to be heard.
For Information
24. **+ PIANO REPLACEMENT - GATEWAY 6 - OUTCOME REPORT**
Report of the Principal.
For Decision
(Pages 227 - 234)
25. *** NON-PUBLIC ACTIONS TAKEN BETWEEN MEETINGS**
Report of the Town Clerk.
For Information
(Pages 235 - 238)
26. **NON PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE BOARD**
27. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE BOARD AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED**

Confidential Agenda

28. **CONFIDENTIAL MINUTES OF THE REMUNERATION AND NOMINATIONS COMMITTEE ***
To receive the confidential minutes of the meeting held on 18th November 2019.
For Information
29. **ADMINISTRATION REVIEW**
Report of the Principal.
For Decision

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BOARD OF GOVERNORS OF THE GUILDHALL SCHOOL OF MUSIC AND DRAMA

Monday, 25 November 2019

Minutes of the meeting of the Board of Governors of the Guildhall School of Music and Drama held at Committee Room - 2nd Floor West Wing, Guildhall on Monday, 25 November 2019 at 1.45 pm

Present

Members:

Vivienne Littlechild (Chairman)	Marianne Fredericks
Graham Packham (Deputy Chairman)	Steven Gietzen
Natasha Bucknor	Ann Holmes
George Abrahams	Jeremy Mayhew
Randall Anderson	Dave Muncey
Professor Geoffrey Crossick	Andy Taylor
	Lynne Williams

In Attendance

Officers:

Katharine Lewis	- Guildhall School of Music & Drama
Jeremy Newton	- Guildhall School of Music & Drama
Jonathon Poyner	- Guildhall School of Music & Drama & Barbican Centre
John Cater	- Town Clerk's Department
Gregory Moore	- Town Clerk's Department
Jonathan Vaughan	- Guildhall School of Music & Drama
Jo Hutchinson	- Guildhall School of Music & Drama
Alison Mears	- Guildhall School of Music & Drama
Graeme Hood	- Guildhall School of Music & Drama

1. APOLOGIES

Apologies were received from Deputy David Bradshaw, John Chapman, Professor Maria Delgado, Shreela Ghosh and The Rt Hon. the Lord Mayor, Alderman William Russell.

2. MEMBERS' DECLARATIONS UNDER THE CODE OF CONDUCT IN RESPECT OF ITEMS ON THE AGENDA

There were no declarations.

3. +PUBLIC MINUTES OF BOARD MEETINGS

3.1 Board of Governors - 13 May 2019

Due to the meeting being inquorate, the public minutes of the meeting held on 13th May 2019 would be resubmitted for approval to the meeting of the Board on 17th February 2020.

3.2 Board of Governors (inquorate meeting) - 23 September 2019

Due to the meeting being inquorate, the public minutes of the meeting held on 23rd September 2019 would be resubmitted for approval to the meeting of the Board on 17th February 2020.

Officers confirmed that, in light of recent events, all staff Members holding auditions in Hong Kong had safely departed the territory.

4. *PUBLIC MINUTES OF COMMITTEE MEETINGS

4.1 Finance & Resources Committee - 4 November 2019

The minutes of the Finance and Resources Committee of the Board of Governors of the Guildhall School of Music & Drama meeting held on 4th November 2019 were noted by Governors.

4.2 Governance & Effectiveness Committee - 28 October 2019

The minutes of the meeting of the Governance and Effectiveness Committee of the Board of Governors of the Guildhall School of Music & Drama held on 28th October were noted by Governors.

4.3 Audit & Risk Management Committee - 13 November 2019

This item was deferred.

4.4 Remuneration & Nominations Committee - 18 November 2019

This item was deferred.

5. OUTSTANDING ACTIONS

The Board received a Report of the Town Clerk concerning outstanding actions.

RESOLVED – that the Report was noted by the Board.

6. *UPDATED AGENDA PLAN FOR 2019/20 FOR THE BOARD OF GOVERNORS

The Board received a Report of the Town Clerk concerning the agenda plan for the remainder of 2019/20.

RESOLVED – that the Board noted the Report

7. PRINCIPAL'S PUBLIC REPORT

The Board received a Report of the Principal updating Governors on several issues.

The Principal confirmed that the Patron Scheme had been successfully launched and encouraged Governors to sign up.

A Governor added that the achievement of a highly competitive Leverhulme Trust Early Career Fellowship to a member of staff should be noted.

RESOLVED – that the Board noted the Report.

8. ACADEMIC ASSURANCES

8.1 Academic Board annual report for 2018/19

The Board received a Report of the Principal concerning the Academic Board's work during 2018/19.

Whilst thanking officers for the Report, Governors were keen that future iterations came with less detail and, instead, when appropriate, summarised the salient issues.

Governors expressed concern about the ratio between males and females when it came to offers to study music at the School. The Principal responded that her team took diversity and representation incredibly seriously, both in the make-up of the student body and, indeed, amongst staff employed across the School, and was determined to ensure that any barriers in the way of greater female representation at the School were removed.

A Governor sought assurance that the matter of the male/female applicant offer ratio was being considered in detail as the statement in the report could have been better written. Assurance was given by officers that this was the case.

The Principal reported that her team continued to keep the issue of grade inflation under review. It was important to recognise that the government model employed was more applicable to bigger institutions, many of which gave less emphasis to the bespoke training that Guildhall School offered. An internal review was underway in preparation for the Graduate Outcomes Statement, which would be provided to Governors in 2020.

RESOLVED – that the Board noted the Report.

8.2 Academic Assurances Working Group Report and Recommendation

The Board considered a Report of the Principal concerning the Academic Assurance Working Group.

Due to the meeting being inquorate, a decision to approve would be taken under urgency procedures.

8.3 Programme closure documentation for the BA in Performance and Creative Enterprise

The Board considered a Report of the Principal concerning the Academic Assurance Working Group.

Members sought and received reassurance from officers that the School would “see out” the current students on their degree to the end of the programme.

Due to the meeting being inquorate, a decision to approve would be taken under urgency procedures.

9. GUILDHALL SCHOOL INTERNATIONAL STRATEGY

The Board received a Report of the Principal concerning the School’s International Strategy.

The Principal stressed that, primarily, the outcome of Brexit would have a significant impact on the shape of the strategy going forward. In a scenario where the UK withdraws from the EU it was possible that fees for EU students would increase considerably with the consequential need for additional scholarship. The Erasmus mobility programme, which was helpful to recruitment, would also be negatively affected.

Whilst maintaining the in-take level of students from the EU was a goal, it was clear that increased fees (the unit costs were approx. £18K for music and £23K for acting) could present a significant barrier to maintaining numbers both in the short and the long term and, as a result, much thought needed to be given to alternatives. This included rebalancing “Home” (i.e. the UK) and “the rest of the world” (including the EU) student numbers, as well as prioritising and forging deeper ties with external institutions based both in the EU and elsewhere.

The Principal noted that a potential mitigating action would be to add resources to those courses that could expand with UK based students – for example, applications to study jazz and electronic music had increased over recent years. She added, however, that the appetite and aptitude among domestic students would of course be reliant upon the resources and prioritisation provided at primary and secondary education level – something which had been highlighted by the Creative Industry Federation’s recent Durham Report.

Due to the meeting being inquorate, a decision to approve the Report will be taken under urgency procedures.

10. GUILDHALL SCHOOL CAPITAL AND SUPPLEMENTARY PROJECTS PLAN 2020/21

This Item was taken in the non-public section of the meeting.

11. **REMUNERATION ANNUAL STATEMENT**

The Board received a Report of the Principal concerning remuneration.

Due to the meeting being inquorate, a decision to approve would be taken under urgency procedures.

12. **RECRUITMENT STRATEGY DOCUMENT FOR CO-OPTED MEMBERS OF THE BOARD AND ITS COMMITTEES**

The Board considered a Report of the Principal concerning co-opted members.

Due to the meeting being inquorate, a decision to approve would be taken under urgency procedures.

13. **INTERNAL AUDIT ANNUAL REPORT AND OPINION**

The Board received a Report concerning the Internal Audit.

Governors welcomed the improvement in timeliness compared to previous years, however, they encouraged officers to inculcate a greater culture of challenge and stretch both during the next six months before completion of the 2019-20 Internal Audit Plan and in the longer term.

RESOLVED – that the Board noted the Report.

14. **ANNUAL REPORT OF THE AUDIT & RISK MANAGEMENT COMMITTEE**

The Board received a Report of the Principal concerning audit and risk.

RESOLVED – that the Board noted the Report.

15. ***INTERPRETATION OF OFFICE FOR STUDENTS GUIDANCE CONCERNING THE INDEPENDENCE OF MEMBERS**

The Board received a Report of the Principal concerning the independence of Members.

A Co-opted Governor expressed his concern that City Officers had approached the Office for Students directly without liaison with the Chair of the Board of Governors or the Principal, the latter, who as the “accountable officer”, was the most appropriate person to seek any clarifications from the OFS. This same concern had been expressed in writing by another co-opted member unable to be present at the meeting and whose comments had been read out.

The Governor noted that it was vital, that with the RISTA (Review of Institution Specific Targeted Allocation) funding round coming up, that the School was perceived to have a recognisable and effective governance structure. All stakeholders should be conscious of the risk that the OFS would be keeping a very close watch on all governance related matters and that this approach might well have flagged a closer inspection in due course.

Another Governor stated that City officers had operated in good faith and, significantly, in their City of London corporate capacity and had every right to do

so. The Principal accepted that appropriate City officers had the right to communicate with external bodies such as the OFS but said it would have been helpful if the initial communication had gone through her, so any further discussions or outcomes were dealt with swiftly and effectively.

RESOLVED – that the Board noted the Report.

16. ***REPORT OF URGENT ACTION TAKEN BETWEEN MEETINGS**

The Board received a Report of the Town Clerk concerning decisions taken since the last meeting.

RESOLVED – that the Board noted the Report.

17. **QUESTIONS ON MATTERS RELATING TO THE WORK OF THE BOARD**

There were no questions.

18. **ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT**

There was no urgent business.

19. **EXCLUSION OF THE PUBLIC**

RESOLVED – That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Local Government Act.

20. **+NON-PUBLIC MINUTES OF BOARD MEETINGS**

20.1 **Board of Governors - 13 May 2019**

Due to the meeting being inquorate, the non-public minutes of the meeting held on 13th May 2019 would be resubmitted for approval to the meeting of the Board on 17th February 2020.

20.2 **Board of Governors (inquorate meeting) - 23 September 2019**

Due to the meeting being inquorate, the non-public minutes of the meeting held on 23rd September 2019 would be resubmitted for approval to the meeting of the Board on 17th February 2020.

21. ***NON-PUBLIC MINUTES OF COMMITTEE MEETINGS**

21.1 **Finance & Resources Committee - 4 November 2019**

The non-public minutes of the Finance and Resources Committee of the Board of Governors of the Guildhall School of Music & Drama meeting held on 4th November 2019 were noted by Governors.

21.2 **Governance & Effectiveness Committee - 28 October 2019**

The non-public minutes of the meeting of the Governance and Effectiveness Committee of the Board of Governors of the Guildhall School of Music & Drama held on 28th October were noted by Governors.

21.3 Audit & Risk Management Committee - 13 November 2019

This item was deferred.

21.4 Remuneration and Nominations Committee - 18 November 2019

This item was deferred.

22. PRINCIPAL'S NON-PUBLIC REPORT AND BREXIT UPDATE

The Board considered a Report of the Principal updating Governors on several issues.

Due to the meeting being inquorate, a decision to approve would be taken under urgency procedures.

23. BUSINESS PLAN

The Board considered a Report of the Principal concerning the 2018 – 2023 Business Plan.

Due to the meeting being inquorate, a decision to approve would be taken under urgency procedures.

24. ANNUAL ACCOUNTABILITY RETURN

The Board considered a Report of the Principal concerning the accountability return.

Due to the meeting being inquorate, a decision to approve would be taken under urgency procedures.

25. FINANCIAL FORECAST TO THE OFFICE FOR STUDENTS

The Board considered a Report of the Principal concerning the financial forecast to the OFS.

Due to the meeting being inquorate, a decision to approve would be taken under urgency procedures.

26. OFFICE FOR STUDENTS ACCOUNTS DIRECTION FOR 2018/19

The Board considered a Report of the Principal concerning the OFS Accounts Direction.

Due to the meeting being inquorate, a decision to approve would be taken under urgency procedures.

27. RISK REGISTER

The Board received a Report of the Principal concerning risk management.

RESOLVED – that the Board noted the Report.

28. **FINANCIAL STATEMENTS FOR 2018/19 AND AUDIT ASSESSMENT**

The Board received a Report of the Principal concerning Report and Financial Statements for the 2018/19 Financial Year.

RESOLVED – that the Board noted the Report.

29. **REVIEW OF YEAR ON YEAR SALARY MOVEMENTS**

The Board received a Report of the Principal concerning the year on year salary movements.

RESOLVED – that the Board noted the Report.

30. **INDEPENDENT REASONABLE ASSURANCE REPORT TO THE GUILDHALL SCHOOL OF MUSIC AND DRAMA AND CITY OF LONDON CORPORATION**

The Board received BDO LLP's Reasonable Assurance Report.

RESOLVED – that the Board noted the Report.

31. **GUILDHALL SCHOOL MANAGEMENT INFORMATION 'DASHBOARD' 2019/20 - SEPTEMBER 2019 (PERIOD 6)**

The Board received a Report of the Principal concerning management information.

RESOLVED – that the Board noted the Report.

32. **GUILDHALL SCHOOL BUDGET REPORT - 2020/21**

The Board considered a Report of the Principal concerning the School Budget.

Due to the meeting being inquorate, a decision to approve would be taken under urgency procedures.

33. **WAIVER REPORT: MA CTPD BERGERAC CIRCUS PROJECT**

The Board considered a Waiver Report of the Principal concerning a residential course in production arts for circus skills.

Due to the meeting being inquorate, a decision to approve would be taken under urgency procedures.

34. **SAFEGUARDING UPDATE**

The Board received a Report of the Principal concerning safeguarding.

RESOLVED – that the Board noted the Report.

35. **NON-PUBLIC QUESTIONS ON MATTERS RELATING TO THE WORK OF THE BOARD**

There were no questions.

36. ANY OTHER BUSINESS THAT THE CHAIRMAN CONSIDERS URGENT AND WHICH THE BOARD AGREE SHOULD BE CONSIDERED WHILST THE PUBLIC ARE EXCLUDED

There was no other business.

36.1 Guildhall School Capital and Supplementary Projects Plan 2020/21

The Board considered a Report of the Principal concerning the Capital and Supplementary Plan.

Due to the meeting being inquorate, a decision to approve would be taken under urgency procedures.

The meeting ended at 15:45

Chairman

Contact Officer: Greg Moore
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Board of Governors of the Guildhall School of Music and Drama – Outstanding Actions – February 2020 update

Item	Date	Action	Officer responsible	To be completed/ progressed to next stage	Progress Update
1	November 2019	The various Actions to be progressed under urgency procedures following inquorate meeting on 25 November 2019	Town Clerk	February 2020	Complete – see report of action taken on agenda for 17 November 2020.
2	November 2019	Governors asked for more information concerning the application process for both drama and music.	Town Clerk	February 2020	Link to the webpage to be provided with the agenda for 17 November 2020.

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Agenda Item 6

Committee: Board of Governors of the Guildhall School of Music and Drama	Date: 17 February 2020
Subject: Terms of Reference and Frequency of Meetings of the Board of Governors of the Guildhall School of Music and Drama	Public
Report of: Town Clerk	For Decision

Summary

1. As part of the post-implementation review of the changes made to the governance arrangements in 2011 it was agreed that all Committees/Boards should review their terms of reference annually. This will enable any proposed changes to be considered in time for the reappointment of Committees by the Court of Common Council.
2. The terms of reference of the Board of Governors of the Guildhall School of Music and Drama are attached as an appendix to this report. Meetings for 2020 are scheduled for 17th February; 18th May; 21 September and 23 November.

Recommendations

The Board is recommended to:

- a) approve the Terms of Reference of the Board for submission to the Court as set out in the appendix, subject to any comments; and
- b) consider the frequency of their meetings going forward.

Contact:

Julie Mayer

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Email: julie.mayer@cityoflondon.gov.uk

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ESTLIN, Mayor	RESOLVED: That the Court of Common Council holden in the Guildhall of the City of London on Thursday 25th April 2019, doth hereby appoint the following Committee until the first meeting of the Court in April, 2020.
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BOARD OF GOVERNORS OF THE GUILDHALL SCHOOL OF MUSIC & DRAMA

1. Constitution

A Non-Ward Committee consisting of,

- 11 Members elected by the Court of Common Council for a term of three years (renewable twice) at least one of whom shall have fewer than five years' service on the Court at the time of their appointment
- the Principal of the Guildhall School of Music & Drama
- one member of the Guildhall School academic staff to be elected by the Academic staff for a term of three years (renewable twice)
- one member of the Guildhall School administrative staff to be elected by such staff for a term of three years (renewable twice)
- one Guildhall student representative who shall normally be the President of the Students' Union
- up to six co-opted non-City of London Corporation Governors with appropriate expertise for a term of three years (renewable twice)

None of the appointed Governors shall serve on the Board for more than a maximum of nine years.

The Chairman and Deputy Chairman of the Board shall be elected from the City Corporation Members.

The Chairman of the Barbican Centre Board, the Chairman of the Culture, Heritage & Libraries Committee and one representative of the Centre for Young Musicians shall be permitted to attend the Board in a non-voting, advisory capacity.

2. Quorum

The quorum consists of any seven Common Council Governors plus three co-opted Governors.

3. Membership 2019/20

- 3 (3) Michael John Cassidy, C.B.E, Deputy
- 3 (3) Graham David Packham
- 6 (3) William Anthony Bowater Russell, Alderman
- 2 (2) Randall Keith Anderson
- 8 (2) John Douglas Chapman
- 2 (2) Ann Holmes
- 5 (2) Vivienne Littlechild, M.B.E., J.P.
- 1 (1) George Christopher Abrahams
- 7 (1) Marianne Bernadette Fredericks
- 7 (1) Jeremy Paul Mayhew

Vacancy

together with those referred to in paragraph 1 above, and:-

- the Principal of the Guildhall School for the time being - Lynne Williams
- one Academic Member of the Guildhall School Staff, elected by the Academic Staff - Andy Taylor
- one Non-Academic Member of the Guildhall School Staff, elected by the administrative staff - *Vacancy*
- one Guildhall School Student representative (President of the Student Union for the time being) - Felicity Chilton
- up to 6 Non-City of London Corporation Members with appropriate expertise - Sir Andrew Burns, K.C.M.G (*N.B. term expires end of April 2019*)
Professor Geoffrey Crossick
Professor Maria Delgado
Shreela Ghosh
Michael Hoffman
Vacancy

4. **Terms of Reference**

These terms of reference should be read in conjunction with the Guildhall School's *Instrument & Articles of Government* which lists the primary responsibilities of the Board of Governors. In summary, these are to be responsible for:-

- (a) the approval of a strategic plan and the determination of the educational character and the mission/aims of the Guildhall School of Music & Drama and oversight of its activities, assuring itself that appropriate steps are being taken to deliver the strategic plan;
- (b) Institutional sustainability and the approval of an annual Business Plan, assuring itself that there are effective systems of control and risk management;
- (c) the approval of annual estimates of income and expenditure;
- (d) the approval of the annual audited financial statements of the Guildhall School of Music & Drama;
- (e) ensuring that the requirements of the Office for Students, UK Research & Innovation and other relevant statutory bodies are followed and compliance is monitored;
- (f) responsibility for the promotion of equality and diversity throughout the School;
- (g) the appointment of the Principal of the Guildhall School of Music & Drama.

Agenda Item 7

Committee: Board of Governors of the Guildhall School of Music & Drama	Date: 17/02/2020
Subject: Principal's Public Report February 2020	Public
Report of: Lynne Williams, Principal, Guildhall School	For Information
Report author: Lynne Williams, Principal, Guildhall School	

Summary

This report updates the Board on a number of current issues:

- Sector update
 - Quality of learning and teaching environment by department (including Music, Drama, Production Arts, Advancement and GYA)
 - Awards and Prizes
- Appendix: Annual snapshot of Higher Education student numbers

Recommendation: that the Board receives the report and notes its contents.

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Principal's Public Report February 2020

Introduction

Now that the UK has officially left the European Union, we will be continuing to contribute to discussions with Government re higher education policy priorities, especially in terms of international mobility for staff and students and collaborative international research opportunities.

We will also be making the point that if the UK is to remain a global leader we must focus on developing an immigration system which will ensure the most talented students choose the UK to study and work. We will also be suggesting that the proposed salary requirement for international workers to gain a high skill work visa should be lowered to 21,000 GBP to recognise the lower salaries within the arts and culture sector.

2019 was dominated by the Augur Review and we are still waiting to hear what, if any, recommendations will be implemented. It has recently been suggested that a government response will be made at the same time as the spending review in the Summer. The School has been active as a member of Conservatoires UK, UUK, the Specialist Institutions Forum of UUK and the Creative Industries Forum in registering our concerns over many of the recommendations which adversely affect small and specialist conservatoires.

The Secretary of State for Education has recently written to the Office for Students setting out details of the teaching grant budget for the financial year 2020/21. The sector is currently in consultation with OfS as to how best to manage a decrease in the recurrent funding budget which represents a 0.5% reduction since 2019/20 in cash terms. We were pleased to see that the letter included a strong steer from the Minister for maintaining budgets for the institution specific teaching allocation. The consultation for this extremely important area of the School's funding will take place in April and is likely to focus on the

previous criteria of world-leading status but perhaps with a greater emphasis on access and participation.

The School extends congratulations to School board member, the Right Honourable The Lord Mayor Alderman William Russell as he commences his year in office. Culture is a major theme within his year-long programme and we are supporting him in many of the events and activities which bring focus to arts and culture. The Principal contributed to the Lord Mayor's Gresham Lecture as part of a culture-focussed panel and the Vice Principal, Director of Music Jonathan Vaughan accompanied the Lord Mayor to Edinburgh for meetings with Scottish cultural organisations including the Edinburgh Festival and Fringe Festival. They have their 75th Anniversary in 2022 and have accepted a proposal from the Lord Mayor for a Culture Mile showcase at the Festival, which will involve Guildhall students.

The Lord Mayor will launch our Institute for Social Impact Research in May of this year at the Mansion House as an integral part of his mayoral year theme. We will also be holding a fundraising evening at Mansion House in October 2020 to celebrate the Guildhall School's 140th anniversary.

**Academic Assurance:
research infrastructure**

Highlights of current departmental achievements are grouped under two headings: Quality of Learning and Teaching and Organisational Sustainability.

Quality of Learning and Teaching

Music Highlights

- 1) We had a very successful trip to New York where three of our students performed an outstanding concert at Carnegie Hall to an almost full house.
- 2) Our NYC audition week was also successful with 15 offers made from an original 41 applicants (although we had an usually high incidence of 12 no-shows this year).
- 3) We had three excellent meetings in New York with:

- Sir Clive Gillinson, Executive & Artistic Director of Carnegie Hall
 - Damian Woetzel, the new President of the Juilliard School
 - Tanya Bannister, the President of the Concert Artists Guild
- All three organisations are keen to partner us to explore social impact through our new Institute for Social Impact Research.

4) We attended a recital at the Armoury in New York given by Iain Burnside, one of our most eminent Keyboard Professors, in collaboration with the soprano Rosa Feola.

Strings Update

- London Symphony Orchestra String Experience Scheme: all three viola places were awarded to Guildhall students, Nicholas Hughes (AIS, MPerf), Theodore Chung and Mabon Rhyd (Orchestra Artistry, MMus). Bassist Gabriel Abad (AIS, MMus) was also awarded a place on the scheme.
- The Guildhall String Ensemble performed in Milton Court 30 January, led by violinist Candida Thompson, Artistic Director of the Amsterdam Sinfonietta.
- Cellist Benjamin Tarlton (AIS, MMus) was selected as a finalist for the Gold Medal, playing Elgar Concerto.
- Artist Diploma cellist Jamal Aliyev is now supported not only by Young Concert Artist Trust (UK), but as a prize winner at Concert Artists Guild's Victor Elmaleh Competition (New York), Aliyev benefits from professional guidance, development and concert opportunities from both institutions.
- The winner of the Max & Peggy Morgan prize, violinist Ragnhild Kyvik Bauge (AIS, MPerf) will perform a solo recital 11 February at Southwark Cathedral. She plays a violin of Domenico Montagnana (1730-40) provided by the Anders Sveaas' Charitable Foundation (Oslo).
- Guildhall Junior Fellow cellist Leo Popplewell shared the stage with two other Guildhall students for the Guildhall Artists in

New York concert at Milton Court 10 January and Carnegie Hall 14 January.

- Violinist Sophie Philips (OA, MMus) won a place in Southbank Sinfonia.
- Violist Lorena Canto-Wolteche (BMus), winner as a member of the Mirage Duo of the St James Prize, performed a recital at St James Piccadilly on 27 January.
- Patricja Mynarska, violin (AIS, MPerf , '18) and Lyrit Milgram, violin (OA, MPerf, '18) are both currently on trial with the London Symphony Orchestra.
- Cellist Yoanna Prodanova (AIS, MPerf, '18) was selected with pianist Mihai Ritivoiu for the Tunnell Trust for Young Artists. The duo will be featured in a series of recitals across Scotland in 2021.
- Chamber music featured Meet the Ensemble sessions (mini-concert/masterclass/Q&A) with international contemporary music stars the Bazzini Quartet and the Gould Trio. Legendary cellist of the Alban Berg Quartet, Valentin Erben gave 6 hours of lessons, including a 3-hour public masterclass with Guildhall Chamber Fellows and multiple international prize-winners, the Marmen Quartet, as well as student ensembles. International visiting artists, the Takacs Quartet were in residence for masterclasses and lessons on 31 January.
- At the end of November, Chamber music also realised a brilliant Tallinn Chamber exchange project with the Estonian Academy of Music and Theatre, presenting concerts in the Silk Street Music Hall and in the new concert hall of the EAMT in Tallinn. Ensembles were composed of Guildhall students paired with colleagues from Estonia in an ambitious programme of works by Britten and Schumann.
- The Harp department organised The Big Blue Bash, a full day of workshops and performances in the Silk Street Music Hall to mark the arrival of the school's new Blue Harp, with guest artist

harpist Eleanor Turner and Tara Minton Trio, plus the Guildhall Jazz Singers.

- 2nd year Undergraduates performed in the Studio Orchestra in Milton Court with guest artist Mark Lockheart.
- Six former and current strings students have been participating in the Guildhall Young Artists Teacher training programme. A 4th-year Undergraduate violinist, Paula Gorbanova, was selected to begin as a Teaching apprentice at the Centre for Young Musicians (Morley College). 21 3rd and 4th year students in Professional Studies 2 seminars have participated in Teacher observations at Junior Guildhall in late November and January. 2 students participated in Teacher observations at the Centre for Young Musicians (Morley College).
- The Strings@6 concert series in Milton Court featured performances by violist Kate de Campos Correia (last year's winner of the Max & Peggy Morgan Prize) and violinist Hatty Haynes (also currently selected for the apprenticeship scheme with the Monteverdi Orchestra/Orchestre révolutionnaire et romantique).
- Chamber@6 presented four ensembles in Milton Court in works of Britten, Hurlstone, Takemitsu and Beethoven.
- The Undergraduate Strings concert 22 January in the Lecture Recital Room featured six students, including three complete Bach partitas and sonatas. Postgraduate Strings 13 January featured 5 students with student and staff pianists performing complete works of Prokofiev, Schumann, Beethoven, Bax and Bartók.

Professors continue to be invited guest artists at many external festivals, concert series, courses, competition juries and masterclasses internationally, and are of course highly visible in ensembles and concert halls across the United Kingdom.

Keyboard Department

- Keyboard Department celebrated the 75th anniversary of Bartok's death a few months early, with BMus1&2 pianists performing a selection of his shorter works in a December recital in the Music Hall. The project was coached by Noriko Ogawa and Pamela Lidiard, and the pianists chose, and in some cases created, images to accompany each work.
- A project instigated by Maria Razumovskaya and coached by Iain Burnside, will see two singer-pianist duos visit St Petersburg later this term. They will be working with singers from the Mariinsky theatre and performing in the Rimsky-Korsakov Museum, before returning to repeat the concert in Milton Court.
- Two Keyboard students (Soohong Park and Ke Ma) will be among the three finalists in the 2020 Guildhall Gold Medal in May.
- The Guildhall Wigmore Prize has been won by a Keyboard student (Elisabeth Pion) who will make her Wigmore Hall solo recital debut in June.

Vocal Studies Update

- **Visiting artist** Masterclasses & Residencies (made possible by donation from Peter & Corinne Young): Claire Rutter; Joan Rogers; Tobias Truniger; Edith Wiens; Michael Chance; Kamal Kahn; Carlos Conde; Michael McMahon; Ido Ariel; Michael Harper
- **Performance projects** including opera scenes, Songs at Six series, American Songbook, Barbican/BBC collaboration *Prisoner of the State*; LSO semi-chorus with Michael Tilson-Thomas
- **2020 Summer Opera Festival** contracts (in addition to those in last report)
 - **Opera Holland Park:** Joseph Chalmers (BMus 4); George Reynolds (BMus 4); Jonathan Evers (Masters); Jack Dolan (Masters); Liam McNally (Masters)
 - **Garsington Festival Opera:** Jonathan de Garis (Masters)

- **Grange Park:** Holly Brown (Masters)
- **Buxton Festival Opera:** William Searle (Masters); George Curnow (BMus 4)
- Clonter Opera: Jacobo Ochoa (BMus 4)
- **Samling Institute** for Young Artists 2019-20: Joël Terrin (Art Dip)& Michael Daub (Masters)
- **Mirjam Mesak** (Vocal Masters 2018): Bavarian State Opera, Fixed Contract from 2020-21 season
- **Erika Baikoff** (Vocal Masters 2018): Recitals with international pianist Helmut Deutsch, incl. Deutsche Oper, Berlin, Jan 2020 & MuTH, Vienna, Dec 2019 & Mahler 4th Symphony, soprano solo, Lyon Opera, Feb 2020

Academic Studies

The result of the **The Rose Lawrence Horner's Award 2019**, adjudicated this year by Dr John Cranmer came through early in 2020. The winner is **Aidan Marsden** (Masters) with the research paper (Research Elective Module): *An Ill-Defined Air of Otherness: Exploring the impact of black metal music and lyrics on its performers' beliefs, ideologies, and experiences* who “drew on a wide field of reference and introduced original thinking to an emerging area of musicological enquiry”. The adjudicator notes that “the diverse nature of the topics brings great credit on the School for enabling and encouraging students to pursue such highly specialised research across so broad a range of subjects, genres and approaches. The provision of staff supervision is also clearly of an exceptional standard.” The range of topics included also BMus3: *Improvisatory approaches to North Indian, Basso Continuo and Jazz Genres: Theoretical and Empirical Perspectives and Practical Applications for Contemporary Performers* ; *On Intent in Postmodern Ironic Music* ; *Was Mozart's bassoon concerto KV191 playable by bassoonists of the time?* ; *How can the provision of music therapy to offenders in Her Majesty's Prison Service help combat a system 'in crisis?'* and Masters: *Is Charlemagne Palestine a Minimalist Composer?* and *The Road Less*

Academic Assurance: student experience

Travelled: A Compositional Journey in Progress. The adjudicator continues “it was particularly impressive to witness how students combined their research with personal experience (practical and intellectual).”

Drama: Highlights

Acting BA/MA:

- The Autumn Season of public productions has proved hugely popular with both students and industry. The final show last term ‘Provok’d: A Restoration’ marked a step change in the type of work that represents the department and was widely and publically acclaimed as a moment that marked a new direction of travel for Acting training in the UK. As we harness the energy of this production and release the student voice around issues of cultural appropriation, class, gender politics, erasure and privilege, we are in a very strong position to take a lead in re-imagining actor training for the 21st century.
- We are on course for the revalidation of our programmes following a year long curriculum review. The new programmes retain the heart of the craft training that has so long been our hallmark whilst bringing in ground breaking new modules to contextualise the work and ensure the training is as inclusive and accessible as it can be for our increasingly representative student cohort as well as being up to date with current industry practice.
- We have begun the recruitment process for a new Head of Movement. This brings the opportunity for evolution in an area increasingly important in contemporary actor training.
- A significant number of current students are receiving offers of work and there is great interest in general in the current 3rd year.

Academic Assurance: student experience
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PACE BA:

- A number of recent graduates and 3rd year students have their work curated in the Vault Festival next month.

- A group of students are representing Guildhall at the national spoken word competition UNISLAM under the mentorship of celebrated performance poets Jacob Sam La Rose and Paula Varjack.
- Nikisha Reyes in the 2nd year is in the process of re-starting the Guildhall Afro- Caribbean Society.

Acting Studies BA:

- Exciting industry partnerships are being explored including collaborations and projects with: The Globe, The Royal Court, RSC and a number of Drama Schools in Beijing and Shanghai
- The opportunities for short courses for a Chinese speaking market are being explored with the Innovation Department as well as partners in China.
- The recently revalidated programme provides greater clarity and opportunity for self-led work and new writing projects, which increasingly marks the programme out as distinctive and attractive for the Chinese market.

Production Arts: Highlights

- Student employability remains very high from the PA programmes
- The 3rd year PA student graduation Projects are becoming more innovative. We have a 3rd year DSM undertaking the 1st paperless DSM role in the UK using a software called Startwrite. Two Technical Theatre pathway students have also developed technology that could be industry changing, one of which is a transportable production desk.
- Guildhall Live Events presented their third public performance event in the Bascule Chamber of Tower Bridge just before Christmas. It was very well received and continued the trend of involving students from across the Production Arts department in Production Management, Lighting and Sound as well as the VDLP Video Designers. This term there are two significant

Academic Assurance: employability/ sustainability
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projects in pre-production – locally at Broadgate in February and in Norwich in March.

- ‘Provok’d’ was successfully recorded in VR and the recording will be available soon. Currently, plans are for this to be the first recording available for public view and as a teaching and marketing tool for the school.
- The Department is very close to confirming the rental of a new storage facility in Purfleet which although an hour away provides necessary storage space for items not required on a day to day basis.

Organisational Sustainability

Advancement: Highlights

Preparations are well underway for the School’s 140th Anniversary celebrations. The School opened its doors for the first time in September 1880 taking in 62 students. This anniversary provides an opportunity to celebrate our past, reinforce our current ambitions and lay down the vision for our future with our close community and external audiences. Our engagement plans involve publicity, events and fundraising.

- Two unique fundraising events will carry the 140th anniversary messaging. These are:
 - A preview screening of the new James Bond film, *No Time To Die*, on 1 April in the Barbican Cinema, in support of actor training
 - A 140th anniversary gala dinner in the Egyptian Hall at Mansion House on 20 October in the presence of the Lord Mayor and Sheriffs of the City of London in support of the School’s world-class training
- Two regular giving appeals will take place this year carrying the 140th anniversary messaging and these include Take Your Seat, a seat plaque appeal for naming rights on seats in performance spaces and a general annual appeal to all donors, alumni, local residents and Circle members giving under £1,000.

- 140th messaging will feature in speech and film content at key events including Season Opener, Gold Medal, Graduation, Summer Gala.
- 140th messaging will feature across digital content, social media and targeted publications including alumni and supporter magazine and newsletters.
- Other events in the School's performance season may offer opportunities for receptions to welcome back key stakeholders to the School.

The next opportunity for the Board to introduce new guests to the School is the Principal's Guest Night: the *Guildhall Symphony Orchestra* reception and performance on 11 March. Board members will also shortly receive their invitation to this year's Gold Medal, the finalists for which have now been announced, and the annual Committee Dinner, which Advancement are delivering in partnership with the Remembrancer's Office. This year's dinner will focus on the theme of Production Arts, offering an opportunity to showcase this work to external guests at the event.

Innovation and Engagement: Highlights

Guildhall Live Events

The Museum of London Exhibition, *Beasts of London*, closed on 5 January. The experience attracted just over 70K visitors during its run. The visitor profile was mainly families (65% of visits were in family groups) attracted to the Museum for a different type of visiting experience, however adults also visited.

The exhibition received huge critical acclaim for its originality and creativity, and featured in over 340 items of press coverage with four-star reviews in the Evening Standard, the Daily Telegraph and the Londonist and Culture Whisper websites. The Daily Telegraph wrote: 'It all feels wonderfully creative and some of the visuals are really special' and 'the imagination and innovation with which this

exhibition has been put together is second to none.’ Beasts featured in Time Out’s activities for ‘Best. Easter. Ever!’ and the Evening Standard’s Great Days Out. The Week Junior dubbed it ‘This week’s big exhibition’.

Visitors said:

‘with Beasts, it just grabs them, it was immersive and the kids were learning at the same time’ (a parent)

‘it was really good – it was a different type of experience than in normal museums.’ (child, 10 yrs)

‘I love the idea of giving a voice to the animals and hearing what they have to say.’ (adult)

‘It gave you a different view on London’s history and took you right back before it was a city.’ (child, 11 yrs)

‘the interaction made it more engaging and we spent more time.’ (adult)

The Museum of London has entered *Beasts of London* into the 18th Museum and Heritage Awards (2020) for Partnership of the Year.

The de-install will complete on 31/01/20. The large-scale pigeon sculpture, which was a centrepiece in the exhibition, has been taken on by Blackpool Lightworks (Illuminations).

Artichoke has entered Guildhall School’s involvement in Lumiere 2019 into the Corporate Engagement Awards (2020) for Best Arts Programme. A film about the project can be found here:

<https://www.youtube.com/watch?v=ia41WoNo-Ys>

Looking ahead, GLE has just won a commission from Medway Council’s Guildhall Museum, to create an exhibition to commemorate the 150th anniversary of Dickens’ death. The exhibition is due to open in June 2020. This exhibition will follow Norwich Light Festival, in February 2020, and a commission by Broadgate Estates in mid-March 2020.

Open Programmes

Spring short courses launched in January, with over 60 course participants. These courses are attracting a different kind of audience to our established summer school participants. Attendees are adults who are generally not in the performing arts professions – and looking for some form of personal development through the arts.

Coaching & Mentoring

Guildhall Coaching & Mentoring training is generating real interest from CoL departments. Our two spring courses are fully booked (Coaching for Advisors, Mentors & Teachers, and Coaching for Leaders & Managers), and we have a waiting list of 12 CoL staff members for our summer Leaders & Managers course. Bookings include staff members from; Remembrancers, Learning and Organisational Development, City of London School, Education and Early Years Service team, City Bridge Trust, City Surveyors, and Community & Children's Services.

The overall programme has now trained over 260 people across a range of sectors and levels, including chief executives, business owners, Olympic Champions, and former government ambassadors.

Our Coaching Lead is currently developing a new training programme for the Orchestral Sector. She recently co-presented research at ResearchWorks and ran a workshop for 8 Principal Players of the Hallé Orchestra in conjunction with the ABO conference 2020.

Guildhall Young Artists

- Rosie Whitfield has now been appointed as Head of Junior Guildhall.
- Junior Guildhall student Leia Zhu has her UK professional debut as a concerto soloist with the English Chamber Orchestra at Cadogan Hall in February.
- Junior Guildhall student Madeline Grambow won first prize in the 2020 Golden Classical Music Awards International

Competition and as a result has been invited to perform a violin solo at Carnegie Hall in New York, in March.

- Junior Guildhall student Kaelyn Soh won 3rd Prize at the National Piano and Violin Competition, Singapore.
- Students from CYM Taunton took part in “An Evening with Sir Tim Rice” which featured an interview with lyricist Sir Tim Rice alongside young singers performing Sir Tim's famous songs such as 'A Whole New World' from Aladdin and 'Hakuna Matata' from The Lion King. It was recorded by BBC Somerset and broadcast on 1 Jan 2020.
- CYM Taunton received a £2,00 grant from the Michael Tippett Musical Foundation to help run a new programme for young composers.
- Students from CYM Peterborough performed in a sell-out showcase featuring a film and music presentation of the Snowman in Peterborough which reached over 3,000 school children.
- CYM London had a successful Open Day last week attended by the Director of Guildhall Young Artists
- LSSO presented “Music from the Dark Side” an exploration of music and text about the nature of evil and why humans are so intrigued. The performance conducted by Sian Edwards featured Dame Janet Suzman, Fiona Kimm and student soloists from senior Guildhall.
- The first Cohort from the Primary Years Programme have progressed to joining the full Music Programme this year.
- Work is ongoing to complete a new brand identity for GYA.

Prizes and Awards

External

**The Mithras Trio: Lionel Manciu, Leo Popplewell,
& Alumni - Dominic Degavino**

➤ Winners of the RPS Henderson Award for Chamber Ensemble
(Prize: £5000)

Academic Assurance: employability
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Ema Nikolovska & Alumnus Michael Sikich

- Winners of the Eugène Pannebakker LiedDuo Award at the International Vocal Competition Hertogenbosch
(Prize 7,500 euros)

Harriet Burns

- Winner of the Oh che tranquillo mar Award at the International Vocal Competition Hertogenbosch
(Prize 1,750 euros)

Gary Beecher (Keyboard Fellow)

- Winner of the Rudolf Jansen Award at the International Vocal Competition
(Prize 1,500 euros)
- Winner of the Nadia and Lili Boulanger International Voice-Piano Competition

Víctor Braojos

- 2nd prize at the “El Primer Palau” Music Competition

Alumni

Osian Gywnn (BMus 2011)

- Appointed Director of Pontio Arts at Bangor University's Arts and Innovation Centre

Miguel Pliego (BMus 2019)

- Joined ORR/Monteverdi Choir academy apprentice programme
- Winner of Amsterdam Viennese days competition

Emanuel Oliviera (BMus 2019)

- Tutti position in Flemish Opera (Antwerp/Gent)

Joel Terrin (BMus 2018)

- Winner of the Kattenburg 2019 competition

Lorena Paz Nieto (BMus 2014)

- Winner of the LUKAS: UK Latin Awards, Vocalist of the Year

Mirjam Mesak (BMus 2016)

- Winner of the Bavarian Art Prize 2019 - Performing Arts category

Rosalind Ventris (BMus 2011)

- Selected as a 2019 CMF Artist (viola) at The City Music Foundation

Cem Mansur (BMus 1981)

- Appointed as General Art Director at Cemal Resit Rey (CRR) Concert Hall in Istanbul

George Tarlton (BMus 2015)

- Winner of the London International Guitar Competition

Lucy Anderson (BMus 2018)

- Winner of the Bampton Classical Opera Young Singers' Competition

Junior Guildhall

Kaelyn Soh won third prize in the intermediate category for the National Violin and Piano Competition in Singapore in Dec 2019.

Madeline Grambow (aged 12!) won first prize at the 2020 Golden Classical Music Awards International Competition

**STUDENT NUMBERS as at 1 December 2019
(excl. Erasmus)**

UNDERGRADUATE (UG)	FTE		Headcount	
<i>Programme</i>	HF	HN/OS	HF	HN/OS
BA Acting (FT)	60.0	6.0	60.0	6.0
BA in Acting Studies (FT)	0.0	16.0	0.0	16.0
BA Production Arts (FT)	104.0	9.0	104.0	9.0
BA Video Design for Live Performance (FT)	6.0	1.0	6.0	1.0
BA Performance & Creative Enterprise (FT)	15.0	2.0	15.0	2.0
BMus (FT)	408.0	34.0	408.0	34.0
Totals	593.0	68.0	593.0	68.0
Grand Total	661.0		661.0	
Total 2018/19	649.0		649.0	

POSTGRADUATE (PG)	FTE		Headcount	
<i>Programme</i>	HF	HN/OS	HF	HN/OS
MA Acting (FT)	12.0	3.0	12.0	3.0
MA Training Actors (FT/PT)	0.0	0.0	0.0	0.0
MA in Collaborative Theatre Production and Design	4.0	5.0	4.0	5.0
Artist Diploma (FT)	0.0	31.0	0.0	31.0
Extended Guildhall Artist Masters (FT)	3.0	4.0	3.0	4.0
Guildhall Artist Masters Performance Part 1 (FT/PT)	96.0	28.5	109.0	29.0
Guildhall Artist Masters Composition Part 1 (FT/PT)	5.0	1.0	5.0	1.0
Guildhall Artist Masters Leadership Part 1 (FT)	0.0	0.0	0.0	0.0
Guildhall Artist Masters (all pathways) Part 2 (FT/PT)	57.0	19.0	57.0	19.0
MA Opera Making & Writing (FT)	2.0	4.0	2.0	4.0
MA Music Therapy (FT/PT)	14.5	5.0	15.0	5.0
PG Cert in Performance Teaching	2.0	3.3	6.0	10.0
MPhil/DMus (FT/PT)	14.0	5.5	18.0	6.0
MPhil/PhD (FT/PT)	14.0	1.0	22.0	1.0
MPhil/PhD - Writing up	0.1	0.0	1.0	0.0
MPhil/DMus - Writing up	0.3	0.3	3.0	3.0
Totals	223.9	110.6	257.0	121.0
Grand Total	334.5		378.0	
Total 2018/19	335.0		369.0	

Sex profile (new intake excl. Erasmus, Fellows and Short Term)

			2019
UG %	UK Domiciled	Male	50.0%
		Female	49.3%
		Other	0.7%
UG %	All Students	Male	50.0%
		Female	49.5%
		Other	0.5%
PG %	UK Domiciled	Male	49.6%
		Female	50.4%
		Other	0.0%
PG %	All Students	Male	44.9%
		Female	55.1%
		Other	0.0%

**EQUALITY STRANDS PROFILE
(new intake)**

2019 data presented as "UK Domiciled" and "All Students" for OFS purposes, historic data available in previous reports

Disability profile (new intake excl. Erasmus, Fellows and Short Term)

			2019
UG %	UK Domiciled	Declared disability	23.6%
	All Students	Declared disability	16.9%
PG %	UK Domiciled	Declared disability	15.0%
	All Students	Declared disability	9.3%

Age profile (new intake excl. Erasmus, Fellows and Short Term)

			2019
UG %	UK Domiciled	Under 21	89.3%
		21 to 25	7.8%
		Over 25	2.9%
UG %	All Students	Under 21	85.4%
		21 to 25	10.8%
		Over 25	3.8%
PG %	UK Domiciled	Under 21	0.0%
		21 to 25	56.6%
		Over 25	43.4%
PG %	All Students	Under 21	0.0%
		21 to 25	52.8%
		Over 25	47.2%

NON OFS-FUNDED ACTIVITY (HN only)

Programme	FTE	Headcount
AGSM (UG Level)	0.0	0.0
Advanced Certificate (PG Level)	26.0	26.0
UG/PG Short Term	2.5	5.0
Fellows*	45.0	45.0
Total	73.5	76.0
Total 2018/19	62.0	63.0

FT = Full-time

PT = Part-time

HF = OfS funded

HN = Non OfS funded

OS = Overseas

*Fellows are students only in respect of their extramural tuition

Principal Study/Department (as at 1 Dec 2019) **(excl. Erasmus, Fellows, and Short Term)**

Department	Total FTE	
	UG	PG
Composition	17.0	15.0
Electronic Music	34.0	0.0
Historical Perf	0.0	5.5
Jazz	100.0	24.0
Keyboard	35.0	44.0
Leadership	0.0	0.0
Music Therapy	0.0	19.5
Opera	0.0	28.0
Performance	0.0	5.3
Strings	91.0	64.5
Vocal	56.0	54.5
WBP	109.0	38.5
Totals	442.0	298.8
Grand Total	740.8	
Total 2018/19	732.5	

From 2014, Principal study figures have been split by department rather than instrument

Ethnicity profile (new intake excl. Erasmus, Fellows and Short Term)

			2019
UG %	UK Domiciled	White (British, Irish, Other)	87.1%
		All other ethnicities*	12.9%
		Not known / Info refused	0.0%
UG %	All Students	White (British, Irish, Other)	74.1%
		All other ethnicities*	25.4%
		Not known / Info refused	0.5%
PG %	UK Domiciled	White (British, Irish, Other)	88.5%
		All other ethnicities*	10.6%
		Not known / Info refused	0.9%
PG %	All Students	White (British, Irish, Other)	75.8%
		All other ethnicities*	23.8%
		Not known / Info refused	0.4%

What is your religion? (new intake excl. Erasmus, Fellows and Short Term)

		Prefer not to say	Buddhist	Christian	Jewish	Spiritual	Other religion or belief	No religion
UG %	UK Domiciled	44.4%	0.0%	18.9%	0.0%	1.4%	0.8%	34.5%
	All Students	44.9%	0.0%	17.6%	0.5%	0.9%	0.9%	35.2%
PG %	UK Domiciled	45.5%	0.0%	13.8%	0.8%	1.5%	1.5%	36.9%
	All Students	43.5%	0.9%	19.6%	0.9%	1.7%	1.3%	32.1%

What is your sexual orientation? (new intake excl. Erasmus, Fellows and Short Term)

		Prefer not to say	Gay man	Gay woman	Hetero-sexual	Bisexual	Other
UG %	UK Domiciled	38.9%	1.3%	1.3%	48.9%	7.5%	2.1%
	All Students	42.5%	1.5%	0.9%	45.8%	6.5%	2.8%
PG %	UK Domiciled	46.2%	1.5%	0.7%	49.3%	2.3%	0.0%
	All Students	43.9%	3.0%	0.4%	47.9%	3.5%	1.3%

Is your gender identity the same as the gender you were assigned at birth? (new intake excl. Erasmus, Fellows and Short Term)

		Prefer not to say	Yes	No
UG %	UK Domiciled	28.2	70.5	1.3
	All Students	28.9	70.2	0.9
PG %	UK Domiciled	33.8	66.2	0.0
	All Students	30.0	70.0	0.0

ASSESSMENT

Qualifications awarded (as at 28 January 2019 2018/19 cycle data)

	2014/15	2015/16	2016/17	2017/18	2018/19
Bachelors degrees (excludes Ords)	113	132	150	153	160
Masters degrees	162	161	160	167	169
PG Diplomas	0	1	2	0	0
Total	275	294	312	320	329

Bachelor's degree classifications (as % awarded in category)

	2014/15	2015/16	2016/17	2017/18	2018/19	Numerical figures
First (1)	29.2	31.0	36.7	34.0	38.1	61.0
Upper Second (2.1)	61.9	59.8	57.3	58.8	55.6	89.0
Lower Second (2.2)	8.9	8.3	4.0	5.9	5.6	9.0
Third (3)	0.0	0.7	2.0	1.1	0.6	1.0
Total	100	100	100	100	100	160

Master's degree classifications (as % awarded in category)

	2014/15	2015/16	2016/17	2017/18	2018/19	Numerical figures
Distinction	54.3	49.0	53.1	55.7	53.8	91.0
Merit	40.1	36.6	43.8	39.5	39.6	67.0
Pass	5.6	14.2	3.1	4.8	6.5	11.0
Total	100	100	100	100	100	169

PG Diploma classifications (as % awarded in category)

	2014/15	2015/16	2016/17	2017/18	2018/19	Numerical figures
Distinction	0	0	0	0	0	0
Merit	0	0	0	0	0	0
Pass	0	100	100	0	0	0
Total	0	100	100	0	0	0

Top 10 non-UK countries of origin* (new intake) (new intake excl. Erasmus, Fellows and Short Term)

	UG	PG
1	China	Portugal
2	Spain	Canada**
3	Poland	China**
4	Portugal	Hong Kong**
5	United States	Spain**
6	Italy	United States**
7		Australia
8		Italy
9		South Africa
10		

*Nationality

**Canada, China, Hong Kong, Spain, United States are in equal position

UG - No other country had more than 2 new enrolments

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Committee: Board of Governors of the Guildhall School of Music & Drama	Date: 17/02/2020
Subject: Research annual report for 2018/19	Public
Report of: Lynne Williams, Principal, Guildhall School	For Information
Report author: Professor Cormac Newark, Head of Research, Guildhall School	

Summary

This report updates the Board on a number of current issues:

- Research income
- Post-doctoral research
- Partnerships
- Doctoral Programme – student numbers, studentships staffing
- Research-led teaching
- Public engagement & dissemination
- Research Excellence Framework (REF) 2021
- Research & Knowledge Exchange Committee
- Internal Funding and the Peer Review College
- Research Ethics
- Knowledge Exchange

The report contributes to the assurance that there is an adequate research infrastructure to support doctoral studies and maintain the standards for award.

Recommendation: that the Board receives the report and notes its contents.

Professor Cormac Newark

Head of Research

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Research

Annual report to Academic Board and Board of Governors Academic year 2018–2019

General introduction

The academic year 2018–19 saw further personnel changes in this part of the School. To support a continually growing portfolio of work, a new Research Support Officer, Dr Cinzia Yates, was appointed in October 2018. In March 2019 Shona Dale resigned her post as Research Co-ordinator to return to her native Edinburgh and Dr Emily Moore was appointed in her place. Shona's dedication and attention to detail will be sorely missed but we were delighted to welcome such well qualified candidates to the team. Sadly for Research, Head of Knowledge Exchange and Senior Research Manager Aoife Shanley also left us in August 2019 for the Royal College of Art. Aoife was a valued member of the team whose portfolio had expanded over her four years at the School, eventually involving most aspects of Research and Knowledge Exchange activity, and her departure has necessitated a rethink in the staffing for both areas. To reflect growth and to support ambitious plans for REF2021 and beyond, Aoife's role will be replaced with a Head of Research Office. In the absence of any notable developments in the government's plans for KEF (a Knowledge exchange Excellence Framework to match those for Research and Teaching), responsibility for Knowledge Exchange will move to Sian Brittain's team through the continued work of Jo Chard (see below under 'Knowledge Exchange').

The beginning of 2018–19 had also seen the departure of Prof. Helena Gaunt, who for many years was responsible for a wide range of work across Research, Knowledge Exchange and Enterprise in the School. As detailed in last year's report, Research continued as part of Guildhall Innovation under the joint stewardship of Jonathan Vaughan and Sean Gregory for 2018–19. Towards the end of the academic year it was announced that the three departments would form a new entity, Guildhall Innovation and Engagement, part of Sean Gregory's portfolio. Enterprise (incorporating, at least for the foreseeable future, Knowledge Exchange) would be renamed Innovation. Cormac Newark and Sian Brittain would continue to sit on the senior management team. Discussions were begun about how to ensure active researcher representation at Director level in the future.

Research income

Research grant activity continued to develop strongly during the academic year 2018–19, evidenced in particular by the submission of two major bids. One was a first for the School, an application to the EU Horizon2020 programme under its International Training Network call. This €2M application was not successful, but was scored very highly (93.4%) and Principal Investigator (PI) Alex Mermikides is currently exploring the potential for a resubmission, Brexit allowing. This application represented further development in one of the areas Research is developing, that of Arts & Health. The long and intensive process of drafting and refining the bid also gave us the opportunity to establish a number of institutional partnerships (see below under Partnerships).

We fared better with John Sloboda's application to the Arts and Humanities Research Council, learning in June (after a protracted delay on the AHRC side) that it had been

successful. This project is due to start in January 2020 and John has been busy recruiting and setting up the project in preparation. This grant is a major achievement for the department, at £984,000 by far the largest ever in which the School has been the lead organisation. Furthermore, it will be a flagship project of Guildhall School's new Research Institute for Social Impact, expected to launch in 2020. It is hoped that both grant and Research Institute will share administrative support. 'Music for social impact: practitioners' contexts, work and beliefs' is a three-year investigation into the professionals involved in the growing number of participatory music-making activities being offered to disadvantaged groups around the world. These Socially Impactful Music Making (SIMM) activities focus on marginalised or excluded groups such as those in regions of poverty, conflict or social disruption, in prison or among those who are homeless, and assist participants to perform music for its intrinsic value as well as its capacity to help them to achieve defined social goals such as inclusion, empowerment, community building and activism. The AHRC project involves four other partners, one in the UK, two in Europe and one in Colombia, and will recruit four post-doctoral students; one each in our overseas partner institutions and one of which will be based at Guildhall full time for 3 years (again, see under Partnerships).

These two large applications (which occupied a great deal of Research Office time during the period in question) and especially this success (which was widely reported, and stimulated lively debate around the issues in the sector) mark a point of transition in the School's strategy regarding research income. After participating in the national research assessment for the first time in 2008, the School had some success as part of consortia, notably the initial Creativeworks London Knowledge Exchange Hub 2012–16. With the increasing maturity of its research environment, it was determined that the School would target opportunities in which it could take the lead, assembling and directing partnerships involving other institutions in the UK and abroad. As lead institution, Guildhall School has now won well over £1.2 million in external funding from the AHRC alone.

Late in the academic year the department submitted another large-scale grant application to the AHRC for 'Performing the Barbican: From the Estate to the World'. (£672,480) The bid was led by an external Principal investigator, Prof. Helen Gilbert (Royal Holloway) with Co-investigators Dr Matthew Harle, Dr Tom Overton, Joe Kerr. Matthew Harle and Tom Overton initially began working with GSMD as post-doctoral researchers co-funded with the Barbican to investigate the Guildhall/Barbican archives, a joint Creative Alliance initiative that began in 2016. If funded, 'Performing the Barbican' will be a three-year project to approach the assemblage we call 'The Barbican' as both a material entity and a place-making performance with many diverse strands. This project will pioneer a rigorous interdisciplinary analysis addressing those gaps, and in doing so unlock a vast untapped archive of data for scholarly, institutional and public uses. To begin doing this it will research, catalogue and make available three sample collections within the Barbican Archive. Gilbert, a professor of Theatre Studies, will be examining the way in which the Barbican Centre has interacted with global artists and performers through extant programmes and ephemera. Overton, a Barbican Archivist, will investigate the history and role of Complicité in developing the programming of the Barbican Centre. Harle, also a Barbican Archivist, and Kerr, an architectural historian, will examine the architectural history of the Estate and Centre through the lens of the archived architectural plans and images. Gilbert will manage the project with support from a funded post-graduate Research Assistant and will recruit a School-funded PhD student to

complete a complementary research project. We are confident that the bid stands a good chance of being funded, but even if it is not, the experience of drafting it will have afforded significant learning: in the strategic use of the Creative Alliance and our common resources to generate interest and establish cross-sectoral means of working, in the identification of common goals and sharing of costs across our two institutions, and in testing the model of buying in high-level external expertise in order to kick-start research activity in a particular area.

The final event in the 'Finding a Voice' project was held on 9 July 2019 at the Guildhall School. This AHRC-funded project aimed to understand the journeys of adult non-singers learning to sing, from a number of different perspectives (psychological, developmental, educational, practitioner and participant). One strand of the project involved twenty participants working with a team of ten singing teachers over the course of an academic year. The second strand was an experimental study involving the development of a mobile app to train auditory imagery. The PI was Dr Karen Wise (Research Fellow) with Co-investigator Prof Andrea Halpern (Bucknell University, USA). Around 60 delegates from the UK, Europe and the US met for a one-day conference to share research and practice related to adult non-singers. There were sixteen presentations, including 'The unexpected mysteries of working with adult learners' and workshop demonstrations such as 'Natural Voice Network'. The Conference was attended by seven of the 'Finding a Voice' project participants, who concluded the day by giving an informal performance to share some of the work they had done together in the project. This included improvisation as well as some of their favourite songs. Two years after their involvement in the project ended, most of the original 20 participants have fully reclaimed singing in their lives, participating in choral societies (including the LSO Community Chorus) and other groups, or singing for their own private pleasure, and experiencing associated improvements in wellbeing. One participant is now aiming to set up a singing group in her local community.

A number of other externally funded research project are just entering the development pipeline:

- *Alex Mermikides: bid to Arts Council England for redevelopment of 'Careful' performance and development of an impact case study.*
- *Stuart Wood: bid to the AHRC for a Research Project on the role of accompanists*
- *Rolf Hind: bid to the AHRC for a Mindfulness related Research Network.*
- *Barry Ife: bid to the AHRC for a Variorum of Scarlatti sonatas with post-doctoral research assistants.*
- *Preetha Narayan: Leverhulme/British Academy Post-Doctoral Fellowship.*

Post-doctoral research

As detailed in previous annual reports, from 2015 onwards the development strategy of the department was focused on the expansion of the doctoral programme: the axiom was that it should be the foundation of the research culture of the institution. The School invested accordingly, notably in the new post of Doctoral Programme Leader, and now boasts the largest programme among comparable institutions. We are in a good position to apply for Research Degree-Awarding Powers (RDAP) when this is deemed opportune by the senior management as a whole. Following this success, strategic emphasis has shifted to the next

tier of the research culture, post-doctoral research. Building on a partly externally funded initiative established in 2016 (the Post-doctoral Fellowship for which we were able to negotiate support from the Barbican, and from which has developed a programme of work around the archives of our two institutions that will, among other things, feed into our respective forthcoming anniversary celebrations), we have again looked to external sources to develop our work at post-doctoral level.

We were extremely successful in the Leverhulme Early Career Fellowships competition for the academic year 2018–19. As in 2017–18, we published a preliminary call for expressions of interest, and, following a process of elimination, colleagues in the Research and Innovation office and across the School developed four applications for submission. We were awarded two fellowships, which not only represents an extremely impressive 50% success rate but also half the total awards in music nationally this year (the other two went to Russell Group research-intensive universities) and the same as UCL were awarded across *all* humanities subjects. Fellowships are funded at 50% by the Trust and last three years, so this means a combined real income totalling around £156,000. Dr Kate Wadsworth will begin her project 'The Flexible Text: reuniting oral and written traditions in 19th-century music' in October 2019, while Dr Toby Young will begin his project 'Transforming the Operatic Voice' in January 2020. A third post-doctoral researcher has recently been engaged jointly with Creative Learning, funded partly through a grant from the Esmée Fairbairn Foundation: Maia Mackney, who wrote her (University of London) PhD while embedded in the Creative Learning team, and who will carry out a programme of research designed to evaluate particular Barbican outreach initiatives. With Alessandro Mazzola, the post-doctoral researcher to be employed on John Sloboda's AHRC grant (i.e. starting around the beginning of January 2020), this makes four post-doctoral early career researchers engaged during 2018–19, all to begin in the academic year 2019–20.

Partnerships

During the academic year we created new external partnerships with the University of Southern Denmark, Trinity College Dublin, Aristotle University of Thessaloniki, Royal Holloway University of London, University College Ghent, Juan N. Corpas University Foundation, University of the Arts Helsinki. We built on our existing close relationships with the Barbican, Museum of London, London Metropolitan Archive, and we engaged in exploratory talks with other non-academic partners, notably the Policy and Evidence Centre at Nesta, established to provide independent research and authoritative recommendations that will aid the development of policies for the UK's creative industries, contributing to their continued success.

Doctoral Programme

We had an intentionally reduced intake of 8 students this year. We have undertaken extensive forecasting work (for which we have had some, but, owing to staffing levels, very insufficient help from Finance), and our sense is that at this stage of the School's development we should allow the programme to plateau at around 55 students. Supervisory capacity is one factor in this calculation, and we have a long-term strategy to address this by encouraging colleagues to undertake the programme: the more doctorates we have in the building, the better able we will be to take on students, reduce the cost of training them, and lever our leading position in the sector. Accordingly, this number included 3 staff members:

Jo Hensel is researching the psychology of one-to-one teaching, Scott Stroman is researching popular opera, while Jon Armstrong is researching magic and theatre, taking our total of Production Arts staff doctoral students to four. In partnership with the SIMM Platform and the Global Challenges Research Fund, we also welcomed two students on fully funded studentships: Imogen Flower is researching the community activism with marginalised communities in the context of the Sex Workers' Opera. while Natalia Puerta is researching music education and social development in Colombia. The SIMM Platform is an independent international scholarly association founded with support of the University of Ghent and the Baillet-Latour Fund of Belgium, and the GCRF is a £1.5 billion fund announced by the UK Government in late 2015 to support cutting-edge research that addresses the challenges faced by developing countries.

Studentships

In their first year of study Natalia and Imogen have been very active students, both attending events and conferences run by SIMM. In March 2019, Imogen travelled to Cape Town to participate in a symposium on participatory theatre and production of equality organised by the Sex Workers Education and Advocacy Taskforce in collaboration with the Centre for Theatre, Dance and Performance Studies (CTDPS) and the African Gender Institute (AGI). After completing her first year of study in the UK, Natalia left for Colombia where until 2020, she is conducting her fieldwork. She is working in partnership with Canto por la Vida, a municipal music school participating in the Colombian Ministry of Culture's National Music Plan for Living Together (PNMC). Designed to provide non-formal music education for local communities, the PNMC forms part of Colombia's attempts to overcome problems of inequality and violence and to promote 'equity and coexistence' as part of a 'cultural democratic citizenship'. It represents a joint initiative between civil society, cultural agents and the state. Natalia's project is a first for the School and represents an exciting opportunity both for the student and the Research department. The project aligns with the School's strategic focus on the social impact of music-making, and the associated funding reflects positively on our growing research profile generally.

Following the positive reception of work done as part of the inaugural Barbican-Guildhall studentship (held by Stefania Donini), we were successful in securing continued funding from the Barbican. Sarah McCabe was recruited to begin in Autumn 2019, with a project on open mics and 'art without boundaries'. The Royal Opera House Doctoral Composer in Residence Na'ama Zisser submitted her thesis, concluding her project on Jewish cantorial artistry in contemporary opera. Her successor, Oliver Leith, was appointed to the scheme, to start alongside Sarah in 2019.

Overview

In order to contextualise these exciting developments within the history of the programme, a table of student activity since its inception is included on the following page.

(NB: in the columns indicating how many students upgraded or submitted within the statutory time-limits, those limits are to be understood to include their part-time equivalents, and in that listing students in the process of Writing Up, the figures in brackets show how many are due to continue into the following academic year.)

As may be seen from the table, the position in 2018/19 reflects a fully mature programme, with a total of 60 students currently enrolled. As outlined above, we do not anticipate the programme growing more than this in the foreseeable future. One particular issue to contend with if and when the School does decide to resume growing the programme will be the limited number of 'category A' supervisors (those who have seen at least one student through to completion: each student requires one of these on their supervisory team). In the meantime, however, continued diversification in terms of topics is likely (and welcome) as our supervisor pool grows and we develop external partnerships. One of the most stimulating examples of this is the emerging strand of research investigating the social impact of the performing arts, including on health and wellbeing.

Year	Students	Headcount	Exit	Upgrade <18 months	Submission < 4 years	Suspension	Withdrawn	WU	Total completions	Continuing
08/09	1	1	0	0	0	0	0		0	1
FT	1	1	0	0	0	0	0		0	1
PT	0	0	0	0	0	0	0		0	0
09/10	4	5	0	1	0	0	0		0	5
FT	4	5	0	1	0	0	0		0	5
PT	0	0	0	0	0	0	0		0	0
10/11	2	7	1	0	0	0	1		0	6
FT	2	7	1	0	0	0	1		0	6
PT	0	0	0	0	0	0	0		0	0
11/12	7	13	2	0	1	0	2		0	11
FT	6	12	2	0	1	0	2		0	10
PT	1	1	0	0	0	0	0		0	1
12/13	4	15	3	0	3	0	0	5 (2)	3	12
FT	4	14	3	0	3	0	0	5 (2)	3	11
PT	0	1	0	0	0	0	0	0	0	1
13/14	7	19	2	1	3	0	0	3 (1)	2	17
FT	5	16	2	0	3	0	0	3 (1)	2	14
PT	2	3	0	1	0	0	0	0	0	3
14/15	11	28	1	0	2	3	0	3 (2)	1	27
FT	9	22	1	0	2	3	0	3 (2)	1	21
PT	2	6	0	0	0	0	0	0	0	6
15/16	14	41	4	2	0	5	1	3 (1)	3	37
FT	9	28	4	2	0	3	1	3 (1)	3	24
PT	5	13	0	0	0	2	0	0	0	13
16/17	17	54	9	6	7	5	5	3 (0)	4	45
FT	12	31	3	5	3	3	1	3 (0)	3	28
PT	5	23	6	1	4	2	4	0	1	17
17/18	13	59	5	10	3	2	3	3 (3)	2	54
FT	7	36	2	7	3	2	1	3 (3)	1	34
PT	6	23	3	3	0	0	2	0	1	20
18/19	8	60	3	9	4	4	2	4	3	54
FT	4	33	2	7	2	3	2	4 (1)	2	27
PT	4	27	1	2	2	1	0	0	1	27
TOTAL	88	-	30	29	23	-	14	-	18	-
FT	63	-	20	22	17	-	8	-	15	-
PT	25	-	10	7	6	-	6	-	3	-

Staffing

This year we welcomed a new Doctoral Programme Co-ordinator, Sarah Bell, who took over from Pauline Galea. In her year with us, Sarah has instituted new systems for financial monitoring and the monitoring of students' academic progress. These have proved invaluable as the programme has grown in size and diversity. The rest of the team remains in place: Dr Alex Mermikides continues to oversee the doctoral programme, with increasing attention this year to identifying sources of student funding—hence the investment of her time in the ambitious Horizon 2020 funding bid mentioned above. Although ultimately unsuccessful, the work on this bid enabled us to develop partnerships with academic and non-academic institutions that may well be beneficial to doctoral students in other ways. Dr Biranda Ford also continues as Graduate Training Leader with responsibility for maintaining our robust research training programme, one of the most comprehensive in the sector. (It is important to note that this programme is open to all staff, whether or not they are considering enrolment on the doctorate.) Biranda has also been developing resources for a large pool of supervisors (around 123 people) and contributing to their training and development. As well as providing our students with a wide range of expertise, engagement in supervision provides staff members with opportunities for professional development.

Feedback from Students

This is an integral part of the development of the doctoral programme. This year's Whole School Survey results saw a slight decline in reported satisfaction levels overall, but it is important to remember that last year's were exceptionally high. One notable drop in satisfaction was in relation to resources (with only 65.4% of students feeling they were fit for purpose); perhaps more concerning were those to do with the students feeling sufficiently mentored (dropping from 94.4% to 65.4%) and part of the research community (from 83.3% to 46.2%). Other comments included some complaints about the clarity of the submission guidance in the handbook, which had already been updated for 2019/20. Despite these quantitative results giving cause for reflection, the text commentary was reassuring. Many of the negative comments related to resources and community focused on the lack of a common room and bookable space, which is part of a School-wide issue around lack of space. The comments around not feeling sufficiently mentored were somewhat contradicted by the other comments on supervision (88.5% of respondents were satisfied with the quality of supervision and 96.2% of respondents felt feedback on their work was constructive). With just 26 respondents, small numbers have a large percentage impact and despite the slight decline in the figures, satisfaction levels remained at over 80% across 9 out of 14 questions.

Validation arrangements

The Doctoral programme continues to be validated by City, University of London, overseen by the City Course Board (comprised of City and Guildhall staff), with City regulations incorporated into Guildhall research degree regulations and the doctoral handbook. Oversight by City, University of London has become more light-touch since revalidation in 2016, but scrutiny at key points of the doctoral journey continues, notably in the approval of external examiners. The programme is next due for revalidation in 2021. Planning has already begun between the doctoral team, Registry and City, University of London and a draft timetable is to be confirmed shortly.

Future Developments

As mentioned above, provisional planning for RDAP has begun. The doctoral team is working with Registry to who are identifying precisely when we are likely to meet the basic criteria; in any case it will be soon. But there are strategic and capacity issues to be taken into account, notably to do with dovetailing the work with that going into preparations for REF2021 and with the revision of our TDAP that an RDAP application will entail. There are also significant cost implications to be considered. In the meantime, we will be continuing with revalidation.

Research-led teaching

Two notable initiatives with the aim of ensuring research activity is relevant to both students' job prospects and to industry standards took shape in 2018–19: a Graduate Teaching Assistantship (GTA) and proposals for fractional salaried 'embedded' roles tasked with the integration of research and the various Music departments.

The GTA scheme has been an ambition of the programme for a long time; the rationale is that those doctoral students intending to pursue careers in academia need at least a minimum of mentorship and experience in the area of teaching in order to be able to compete in an increasingly challenging job market. Under the mentorship of the Doctoral Programme Leader and/or the Graduate Research Training and Development Leader, the GTA will assist with planning and administering the Spring and Summer Term Doctoral Training Programme, and will observe, assist with and teach on selected sessions. Duties are likely to include:

- participating in termly meetings to plan and develop the training schedule
- organising student and guest speakers, promoting the training to the doctoral community
- observing, assisting on and co-teaching selected sessions
- planning and teaching selected sessions

Payment will be made for 5 hours of administration (£13.52 per hour) and 30 hours of assistant teaching (£18.01 per hour). The postholder will be supported to participate in the Guildhall Catalyst programme which leads to the qualification of Associate Fellow of the Higher Education Academy.

The plan for the so-called 'embedded roles' is the result of a comprehensive process of consultation between Research and Music HoDs which identified a need for designated points of contact to facilitate efficient inter-departmental working, especially in order to support doctoral students effectively based jointly in Research and another department. The purpose of the posts was agreed as:

- To act as an ambassador in both directions between Research and [name of department where embedded], and to encourage and enable colleagues to collaborate, by liaison with the respective Heads of Department, with hourly paid professors, and with doctoral students, and by taking responsibility for promoting the School Research Strategy at departmental level.
- To take the lead at departmental level in the promotion of research-led teaching wherever appropriate, and in the conception, design, oversight and reporting of a programme of projects appropriate to the development of the relationship with Research at postgraduate (and, where advantageous, undergraduate) level.
- To maintain a personal programme of practice-led research in at a level commensurate with qualifications and experience, enhancing the strong international

reputation of the School. Wherever possible and appropriate, to enhance this research with School-based and/or School-funded projects.

- In general, especially where the post is combined with teaching responsibilities in [name of department where embedded], to set a positive and dynamic example of interaction between the teaching and research goals of the School.

An in-principle funding model was agreed, which would provide for four or five 0.2fte posts on a two-year trial basis in the first instance, with the costs shared between Research and the Music investment budget. The roles have presented some Corporate HR Pay & Grading difficulties, however, partly to do with the flexibility necessary to be able to pick from a pool of candidates with different disciplines and seniority. There has also been an HR bottle-neck with recruitment generally, so not as much progress has been made with this initiative as might reasonably have been hoped.

Public Engagement and Dissemination

Through the academic year, our ResearchWorks seminar series has seen a total of 27 events, including lecture-recitals, academic papers, panel discussions and workshops. Providing a space for staff members and guests to present innovative new ideas, the events attracted over 500 attendees across the year. It is now firmly established as a regular Monday evening event with a core audience and the capacity regularly to attract external visitors in respectable numbers, and thus as a fixture in an increasingly solid research environment.

Research Excellence Framework (REF) 2021

The School is continuing to plan its submission to the national research assessment process, REF2021; below is a timeline of major decisions and deadlines:

September–November 2017: first decision documents published about REF2021
July 2018: first guidance documents published for consultation
October 2018: consultation closes
June 2019: submission of institutional code of practice (see below)
December 2019: survey of submission intentions (outline submission information)
31 July 2020: staff census
November 2020: final submission
December 2021: publication of outcomes.

The academic year 2018–19 saw the planning, constitution and ratification of a new REF sub-committee that reports directly in to the Research & Knowledge Exchange Committee via the Chair Cormac Newark. It was constituted with the aim of ensuring representation of as wide a range of colleagues and of characteristics (protected and otherwise) as possible, including a mix of disciplines, research career stages, employment contract types, and genders. The sub-committee was approved by the Research & Knowledge Exchange Committee and ratified by Academic Board at their respective autumn 2018 meetings. As per the draft Code of Practice (see below), the sub-committee sits six times a year and will oversee the development of a strong REF submission in conjunction with the Research Office. As the REF sub-committee will deal with assessing and choosing outputs as part of our submission, it was necessary for the members all to undergo unconscious bias training, which was duly planned by the Research Office and carried out by EW Group in the summer of 2019.

Code of practice

In June of 2019 we submitted a full code of practice based on the published REF documents, covering the staff identification/eligibility and output selection processes and the committee structure required to develop our submission in line with the REF regulations and relevant legislation. The School REF2021 Code of Practice went out to all staff for consultation and was discussed at the Research & Knowledge Exchange Committee, REF sub-committee and Academic Board. All feedback was taken into consideration when drafting the final submission. Research England fed back in September 2019: the comments were broadly positive, but like a lot of HEIs we were asked to submit supporting documentation to evidence our consultation with staff groups. As the School does not have a recognised academic staff union to approach as other HEIs do, Principal Lynne Williams drafted a letter on behalf of staff outlining our process and assuring Research England that the staff body had been duly consulted. This was submitted in October 2019. As per our submitted Code of Practice in August 2019 an e-mail was drafted and sent to all staff, both establishment and hourly paid, to invite them to self-identify as research active. This was a similar process to that carried out during academic year 2016-17 but with a focus on eligibility to REF rather than requesting outputs. This process generated further conversations with staff that had not previously featured in REF discussions, and a number of formal individual meetings with the Head of Research and Research Support Officer to ascertain eligibility according to the REF2021 criteria. We are currently working with HR to access and process HESA and payroll data on staff hours to ascertain exactly which staff who are potentially returnable fulfil the requirement of a minimum of 0.2fte average over the current REF cycle—which, given the irregular hours worked by a large number of staff from year to year, has proved an incredibly burdensome task.

Research & Knowledge Exchange Committee

Termly Research & Knowledge Exchange Committee meetings took place with Prof. Julian Philips and Dr Alex Mermikides deputising for the Chair at the spring and summer meetings. A number of new policies were drafted and approved:

Intellectual Property (IP)

Following work undertaken in 2016/17 to review the current School policy on intellectual property, a full review of current conservatoire and university practice, School-wide consultation and drafting a new policy, a new Intellectual Property Policy was approved by Research & Knowledge Exchange Committee and Academic Board in Autumn 2017 and adopted during the academic year, including new signage around the School.

Research data management

In order to promote best practice in research data management, the School drafted and approved a policy for Research Data Management in summer 2018 that supports the principle of making research data 'as open as possible, as closed as necessary'.

Staff development

Support for staff to develop or enhance their research skills is a priority for the department. Staff members are invited to participate in research training sessions devised for doctoral

students and offered individual meetings to discuss their research interests and how to develop these interests.

Visiting researchers

In order to facilitate collaboration with national and international researchers, during this academic year we discussed and drafted a mechanism to support the reception of visiting researchers to the School, which will be refined in 2019/20 following the approval of two pilot cases, that of Sarah Fuchs (from Syracuse University NY, working on opera and technology) and Steve Berryman (City of London Girls' School, working on the teaching of composition). Issues to be determined include the extent to which we solicit applications and how we might strategise it, and the limiting of resource implications (including inter-library loans).

Research leave

A more robustly defined research leave policy is still to be drafted and approved; this is a casualty of the sustained staff turnover in the department. We are confident that we can demonstrate provision for this important means of supporting staff research to the extent necessary for the REF2021 environment template, but a dedicated scheme remains a priority.

Internal Funding and the Peer Review College

Sixteen applications were received this year to the Research & Knowledge Exchange Committee Funding Scheme, of which thirteen were successful. The scheme supported four new research projects, one new curriculum initiative, one lightbulb innovation project, and seven professional development dissemination opportunities. Selected abstracts have been included in Appendix A below for reference.

The research pages of the school website were updated to provide information about internally funded projects, and regular updates and reminders about the fund are now included in the School's staff ezine to increase awareness of the potential research opportunities available.

Research ethics

A table of applications is included below:

External	2
Internal	
Doctoral Student	11
Staff	6
UG or PG student	2
Total applications	21

Ensuring due diligence for research ethics and governance is met through policy and the Research Ethics Committee, which in 2018/29 had nine members (including two lay members). Applications to our research ethics process decreased slightly this year, with a notable drop in the number of external applicants. We also saw a decrease in the number of taught students submitting applications, however the number of applications from doctoral students increased. Information is provided on the MyGuildhall and doctoral students are

required to attend ethics training as part of their research training programme in the first year of study. Ethics applications are reviewed by email circulation, with the committee raising questions or requesting further information in order to support the highest ethical standards for our research. Of the 21 applications, 19 were approved and 2 were withdrawn due to changes in the research design. The ethics committee makes every effort to ask questions, request information, and suggest revisions that can support the application to reach approval. Undergraduate or Postgraduate projects are assessed by risk: if a research project involves human participants, the student completes a risk assessment form below and submits this to their Module Tutor. If the project is categorised as 'medium' or 'high' risk by the tutor, it will be referred to the Head of Department for referral to the Research Ethics Committee by circulation. Low risk assessment is noted and filed; the tutor and student discuss steps to keep risks to a minimum. External applications are considered in the case where applicants wished to circulate a study to internal students.

Knowledge Exchange

Developing the School's engagement with external organisations to create opportunities and explore new research ideas remains a key priority, and the continued close association of the Research and Innovation departments (including being based in the same office) remains a good way of fostering this. The development of a new Knowledge Exchange Framework (KEF) metrics system was announced in October 2017 by the then Universities Minister Jo Johnson, and highlighted in the Government's Industrial Strategy White Paper, published in November 2017. Following multiple reviews and reports over the last few years, KEF metrics will help support the Industrial strategy, which includes a commitment to increase Higher Education Innovation Funding (HEIF). The KEF metrics system aims to provide more information for the public and businesses on the performance of universities in knowledge exchange: how they share knowledge, expertise and other assets for the benefit of the economy and society. Preparation for KEF metrics began with consultation in spring 2018, but pilot mechanisms are currently delayed, with further information expected in the autumn of 2018. Performing arts Institutions have a long history of knowledge exchange: bringing ideas into the world as creative output, inviting artists into the institution to develop ideas, and working with communities, theatres, and other initiatives to generate new work. Currently our Knowledge Exchange activity is captured in our HEIF strategy and our Higher Education Business and Community Interaction (HE-BCI) survey returns. The long-standing triennial Reflective Conservatoires Conference, which has regularly brought together a generation of performers, teachers, scholars and entrepreneurs, has been an important part of the School's work in this area. Following Helena Gaunt's departure, we have re-conceived the event with more of the feel of a festival of practice. Notwithstanding the risk of losing what used to be a central position in the field of musical performance pedagogy, it was felt by a working-group of senior colleagues that this would better advance our KE profile. Going forward, we are aware that we need to look carefully at how we are capturing evidence of all the KE activity happening across the school so we can better reflect the breadth of our contribution to the economy and society.

Appendix A

Sample abstracts of projects funded under the Research & Knowledge Exchange Committee's three main funding schemes 2018/19

Project title: Time4Change

Project type: Curriculum Initiative

Principal Investigator: Gill Allen

Abstract: The number of students entering into Higher Education experiencing mental health and resilience difficulties has increased significantly over the last few years. Vocational training within a Conservatoire environment is by nature intensive. I intend to investigate how other vocational HE institutions, and the entertainment industry are engaging and supporting Mental Health and wellbeing. This will include an investigation into the Time4Change initiative and the ways it is being embraced.

My aim is to develop a curriculum strand within the existing Personal & Professional Development modules in year 1, 2, and 3 of the Production Arts degree to support transition and wellbeing throughout the different stages of the programme. The project will examine ways to support:

- Year 1: transition in Higher Education, personal wellbeing and peer support within these areas. Towards the end of the academic year supporting the transitions into the second year, which by nature is a move into a more intensive vocational training.
- Year 2: transition into production practice, personal wellbeing and managing intense work schedules + linking into the industry for preparation into 3rd year work placement expectations
- Year 3: transition into 3rd year production managerial roles and expectations + transition in the industry. Working as a professional and personal well being.
- .

Project title: Beethoven Appassionata

Project type: Lightbulb Fund

Principal Investigator: Maria Razumovskaya

Abstract: Beethoven's 'Appassionata' Sonata in F minor Opus 57 is a warhorse of the piano repertoire. Recent attempts to reinvigorate it have predominantly focused on removing the layers of subjectivity that have gathered over its surface. This project records an annotated video of an interpretation of the work that adopts research on Russian pianism to move beyond the goal of a purely historically-informed approach to one that integrates a significant autoethnographic perspective. It does so by taking inspiration from the imaginative piano techniques that pianists from Russia's Golden Age' – namely Heinrich Neuhaus, Vladimir Sofronitsky and Maria Yudina -- developed to support their profoundly subjective readings in response to Beethoven's persona and their personal interaction with literary techniques from poets in their milieu. Many of these techniques have become lost on the mainstream concert platform from the mid-twentieth century, making this project's adaptation of these a way of stimulating our excitement for initiating dialogue with past practices, rather than clearing them away.

Project title: Walton - Evolution of his voice through the violin

Project type: Research Project

Principal Investigator: Matthew Jones

Abstract: I propose to research four of the violin/piano based chamber works of English composer Sir William Walton (1902-83), whose recent scholarly editions demonstrate numerous key differences from the previous published versions. Through lecture-recitals, written output and a premiere recording of the new editions, I aim to introduce listeners to these fascinating but underperformed

works and to explore Walton's extraordinary musical journey of which they form a fascinating microcosm.

Project title: The John Clare Project: incubation funding

Project type: Research Project

Principal Investigator: Julian Philips

Abstract: The John Clare Project is a developing music theatre work that explores the life, work and contemporary resonance of 'peasant poet' John Clare (1793-1864), through music, spoken and sung text, field recordings and film. Led by composer Julian Philips, the project is conceived for alternative performance spaces, with a small ensemble of actors, singers and instrumentalists. Video adds another layer, projecting images, natural phenomena and landscapes from the Northamptonshire and East Anglian places with which Clare's life and poetry is so strongly connected.

Supported by producer Kate Romano (Goldfield Productions), the project reunites the creative team behind Philips' ROH family opera *How the whale became* (2013): writer Edward Kemp and director Natalie Abrahams. Presenting more a dramatized sequence of dialogues with Clare than a conventional narrative, the project is using Clare's *Journey out of Essex* (1841) as a starting-point but also a possible structural frame.

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Committee: Board of Governors of the Guildhall School of Music & Drama	Date: 17/02/2020
Subject: REF2021 Code of Practice	Public
Report of: Lynne Williams, Principal, Guildhall School	For Information
Report author: Professor Cormac Newark, Head of Research, Guildhall School	

Summary

The Research Excellence Framework (REF) 2021 requires submitting institutions to have a Code of Practice.

In June of 2019 a full code of practice was provided based on the published REF documents, covering the staff identification/eligibility and output selection processes and the committee structure required to develop our submission in line with the REF regulations and relevant legislation. The School REF2021 Code of Practice went out to all staff for consultation and was discussed at the Research & Knowledge Exchange Committee, REF sub-committee and Academic Board.

Research England fed back in September 2019: the comments were broadly positive, but like a lot of HEIs the School was asked to submit supporting documentation to evidence the consultation with staff groups. As the School does not have a recognised academic staff union to approach as other HEIs do, Principal Lynne Williams drafted a letter on behalf of staff outlining our process and assuring Research England that the staff body had been duly consulted.

The Code of Practice was formally approved in November 2020.

Recommendation: that the Board receives the Code and notes its contents.

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Research Excellence Framework (REF) 2021

Code of Practice for the Guildhall School of Music & Drama



This policy is of relevance to staff / Research England

Version No.	Final (4)
Approved on	21 May 2019
Approved by	Research & Knowledge Exchange Committee
Written by	Research

Last Reviewed	2019
Date of last amendment	6 June 2019

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

ALTERNATIVE FORMATS

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

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Glossary of REF definitions

REF2021: Research Excellence Framework 2021.

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

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

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

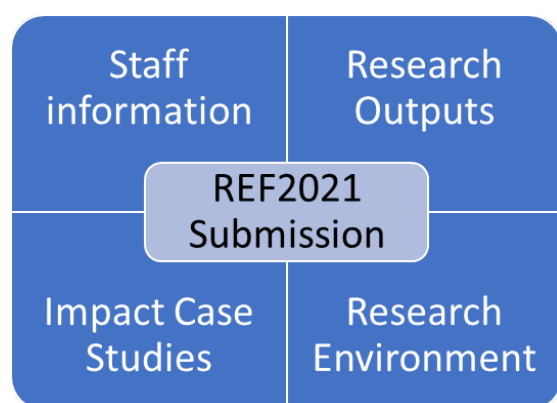
‘Category A Eligible’ staff: academic staff with a contract of employment of 0.2 FTE or greater on average over the cycle, on the payroll at the institution on the census date (31 July 2020), whose primary employment function may be described as to undertake either ‘research only’ or ‘teaching and research’.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

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

Part 1: Introduction

1.1 Overview

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



Our REF2021 submission will comprise

- 1) information on staff in post on the census date, 31 July 2020,
- 2) details of research outputs produced by our staff and submitted for assessment,
- 3) case studies describing impact achieved and its underpinning by research, and
- 4) data including doctoral degrees awarded and

research income received.

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

This document contains three main sections:

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

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

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

The School’s research strategy forms part of the Guildhall Innovation strategy, which in turn feeds into the new, progressive institutional strategy. The research strategy has been drawn up in light of many contextual factors, perhaps the most important of which is that the research environment at the Guildhall School is still relatively young. Historically a teaching-focussed institution, the School submitted research to a national assessment for the first time only in 2008. We now support all staff members to engage with research in a way that is meaningful for them, without preconceptions about where it may lead them. We recognise that being part of our research environment may not in every case mean being involved in our REF submission, and that colleagues contribute to that environment and to the School generally in many ways. Most colleagues are not required to engage with research,

and some will not want to; non-engagement will not have a detrimental effect on an individual's career trajectory within the institution.

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

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

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

Both the Scheme and the action plan are frequently reviewed.

1.2 Actions taken since REF2014

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

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

The School has implemented policies for Open Access for Research, Research Data Management, and Intellectual Property since REF2014. The Research team has revised internal funding mechanisms, clearly advertised staff development opportunities, and encouraged individual staff meetings to discuss actual or potential research activity (over 120 one-to-one meetings 2015–17). Furthermore, there has been increased investment in research infrastructure, with new roles and more support staff.

Recognising the breadth of research potential in the School's range of disciplines, we currently do not try to confine activity within branded strands of work; rather, as part of our strategy to promote a culture of enquiry encompassing the whole institution, from 2015 onwards we have been supporting research wherever it emerges, allowing all staff members the opportunity to identify and pursue individual areas of exploration. Over the past four

years, this organic approach has produced natural concentrations, and, in line with developments in the School more broadly, these have been the object of strategic investment. Notable in this context are Arts and Health (which has benefited from the appointment of researchers in the area of dramatic performance and the body) and Music Therapy (which benefited from a fixed-term Research Lead in partnership with the NHS and subsequently the Wellcome Trust). Further investment, in the area of research into the social impact of the performing arts, is planned for 2019–20.

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

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

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

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

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

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

1.3 Principles for the development of this code

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

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

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

Inclusivity: all staff members are invited to engage with the drafting of the code and our REF procedures. The School encourages anyone who is carrying out research to get in touch with the institutional REF team (see section 1.6), and to declare any individual circumstances that may have affected the extent of that research activity. For example, following a large number of exploratory meetings with individual colleagues in the early part of the cycle, in 2017 we began a formal programme of all-staff communications with the aim of ensuring that all staff members feel informed and included in our REF2021 planning.

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

1.4 Legislation observed

The Guildhall School is a department of the City of London, which has a comprehensive equal opportunities policy to which the School is fully committed. Accordingly, we undertake to ensure, as a minimum, that this code of practice and our REF procedures do not

discriminate unlawfully against, or otherwise have the effect of harassing or victimising, individuals because of age, disability, gender identity, marriage and civil partnership, race, religion or belief, sex or sexual orientation, or because they are pregnant or have recently given birth (see Appendix A for detailed equality legislation). The School will also ensure that fixed-term employees and part-time workers are treated comparably to open contract, permanent, or full-time workers, and that no other characteristic of any of its employees be used as the basis for unfair discrimination of any kind. The following legislation will be observed:

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

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

1.5 Consultation, communication, and approval process for this code

1.5.1 Modes of Communication

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

How to access the code:

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



How to respond:

- Fill in the survey
- Attend the open session
- Respond at a meeting
- E-mail research@gsmd.ac.uk
- Request another mechanism

The document will be disseminated by the following means:

- a) Guildhall School Intranet, accessible to all staff members.
- b) E-mail to all staff e-mail addresses.
- c) Posters around the Guildhall School advertising the consultation and methods of engagement (aimed in particular at those less electronically engaged).
- d) Advertisement in the monthly all-staff e-zine, which is circulated by e-mail.
- e) Items at formal meetings, committees, and boards, including RKEC, Academic Board, Heads of Department meetings, All-Staff meetings, and Senior Management Team.
- f) For staff absent from work, HR will send an e-mail or hard copy to their personal address.

Feedback will be invited on the draft document during January 2019. Staff members who wish to contribute feedback are invited to do so via an online form accessible at

<https://bit.ly/2GldjVF>, by response at one of the meetings or the open session mentioned above, through direct contact with research@gsmd.ac.uk, or by another mechanism of their request. Feedback should be received by 31 January 2019.

1.5.2 Consultation and communication timeline



- The first draft of this code of practice was developed by the Senior Research Manager in consultation with the Head of Research (spring 2018) and shared with RKEC (May 2018) and the Senior Management Team (June 2018) (DRAFT 1).
- Feedback from RKEC and SMT was collated and interpreted, and, taking into account further guidance from Research England received in July 2018, informed a second draft (DRAFT 2). This draft was presented to Academic Board in December 2018 and approved for consultation, and the newly constituted REF sub-committee was mandated to oversee the process of consultation and re-drafting.
- DRAFT 2 was circulated to all staff inviting feedback through the modes of communication outlined above (January 2019).
- The consultation feedback was collated and summarised in February 2019. It was reviewed by the REF sub-committee, and now informs the present draft (DRAFT 3). The REF sub-committee has been constituted with the aim of ensuring representation of as wide a range of colleagues and of characteristics (protected and otherwise) as possible. Annexe 2 will contain details of the consultation feedback and methods for informing DRAFT 3.
- DRAFT 3 will be circulated to those co-opted members of the School's Board of Governors with relevant expertise and considered for approval by Research & Knowledge Exchange Committee (RKEC) during spring 2019.
- Following approval from RKEC, the Senior Management Team (spring 2019) will consider DRAFT 3 for final approval.
- The approved code of practice will be submitted to Research England by noon on 7 June 2019.

1.6 Roles and responsibilities

Strategic responsibility for REF submission:

- Head of Research: Cormac Newark

Responsibility for the overall strategic direction of the School:

- Principal: Lynne Williams

Co-ordination responsibility for REF submission:

- REF Team, including:
 - Head of Research: Cormac Newark
 - Head of Knowledge Exchange & Senior Research Manager: Aoife Shanley
 - Research Support Officer: Cinzia Yates
 - Research Coordinator: Role currently in recruitment June 2019

and, in respect of our Open Access obligations,

- Library staff, including:
 - Senior Librarian: Kate Eaton
 - Assistant Librarian (Cataloguing): Knut Maseide

Governance responsibility for Research:

- Research & Knowledge Exchange Committee (RKEC)

Sub-committee with direct responsibility for governance of REF submission procedures:

- REF sub-committee (designated by Research & Knowledge Exchange Committee and confirmed by Academic Board, terms of reference in Annexe 3)

Chair of the Appeals Process:

- Vice Principal & Director of Advancement: Jeremy Newton

Secretary to the Appeals Process:

- Secretary & Dean of Students: Katharine Lewis

Relationships between roles:

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

Conflicts of interest:

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

1.7 Training

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

Equality in the Workplace

This course provides an overview of why equality is important in the workplace. It also gives practical help in challenging unlawful discrimination or inappropriate behaviour. This online course is mandatory when joining the City Corporation; the REF sub-committee will be asked to undertake this course again as a refresher, to update their knowledge and understanding of equality considerations in the workplace.

REF guidance workshop

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

Unconscious bias training

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

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

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

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

- 1. 'Category A Eligible' staff:** academic staff with a contract of employment of 0.2 FTE or greater, on the payroll at the institution on the census date (31 July 2020), whose primary employment function is to undertake either 'research only' or 'teaching and research'. Staff should have a 'substantive research connection' with the School and should meet the definition of an 'independent researcher' (including, for example, those staff who may be attached to a programme of research work directed by someone else).
- 2. 'Category A Submitted' staff:** academic staff from the pool identified as 'Category A eligible' who are identified as having 'significant responsibility for research' on the census date. For each staff member identified as 'Category A submitted', a minimum of one output will be required for submission, except in special circumstances (see Part 4).
- 3. 'Category C' staff:** individuals employed by an organisation other than an HEI, whose contract or job role includes research, and whose research is primarily focussed in the submitting unit (i.e. Music, Drama or Production Arts at the Guildhall School) on the census date.

Guildhall School Context

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

Staff members are supported to participate in research activities through a variety of mechanisms (examples include Guildhall Innovation funding, one-to-one advice and mentoring, participation in the doctoral programme, external grant application support, involvement in doctoral supervision teams and presentation at research seminars), tailored in each case to suit the expertise and experience of individual members of staff. The aim in providing these opportunities is to nurture staff members to explore their interests in a creative, developmental environment. We allow for a range of outcomes (which may include completion of outputs and/or training and decisions to undertake further research as well as

decisions to continue processes of exploration and enquiry outside formal research structures), all of which are treated as success.

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

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

- The varied contractual status of our staff, including the high number of fractional appointments, reflects normal practice in the conservatoire sector in our disciplines. As an institution, we encourage staff to be active in both industry and academia. Therefore, all 'Category A submitted' staff shall for the present purposes be considered to have a 'substantive research connection' to the School, regardless of fraction.
- The transitional nature of our current institutional context and the variety of employment models, workloads, and fluctuations in staff members' professional lives means that our research activity needs to be considered very differently from what may be typical in other academic settings. Career trajectories are more fluid, variable, and – crucially – staff members may move in and out of research work. To account for this, 'research activity', 'significant responsibility for research', and 'independent researcher' will be considered within the timeframe of the current REF cycle and re-considered cycle by cycle. That is, previous research activity or eligibility for REF will not automatically mean eligibility for the current REF cycle; the status of each staff member will be determined anew within each cycle.

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

2.1 Criteria for identifying staff

Figure 1 'Category A Eligible' staff identification

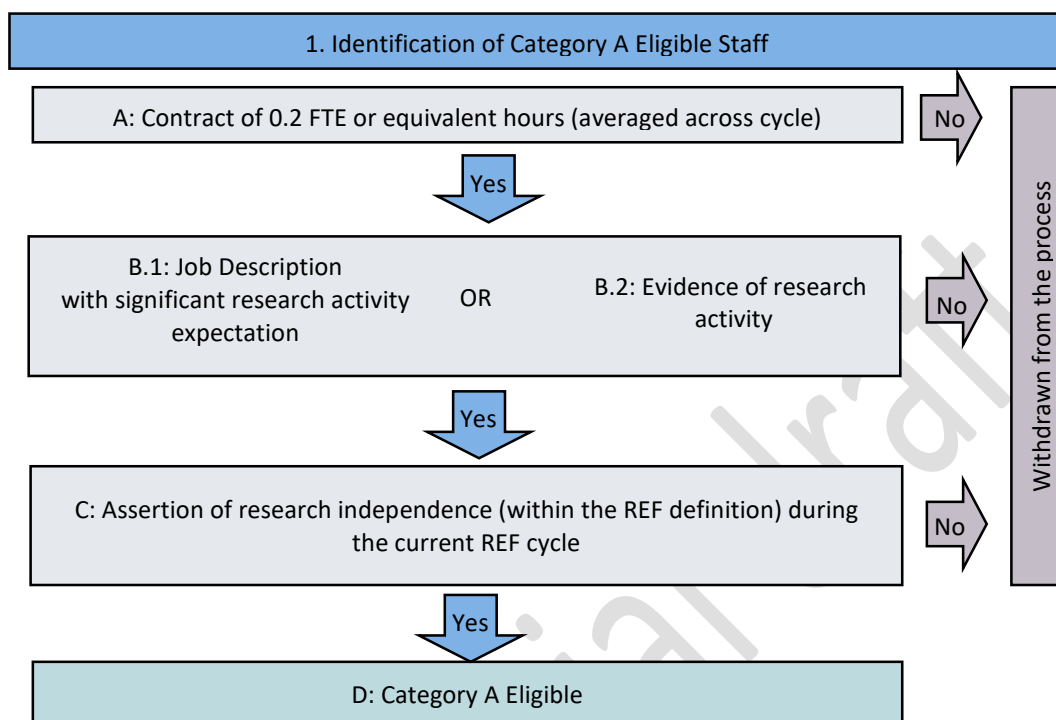
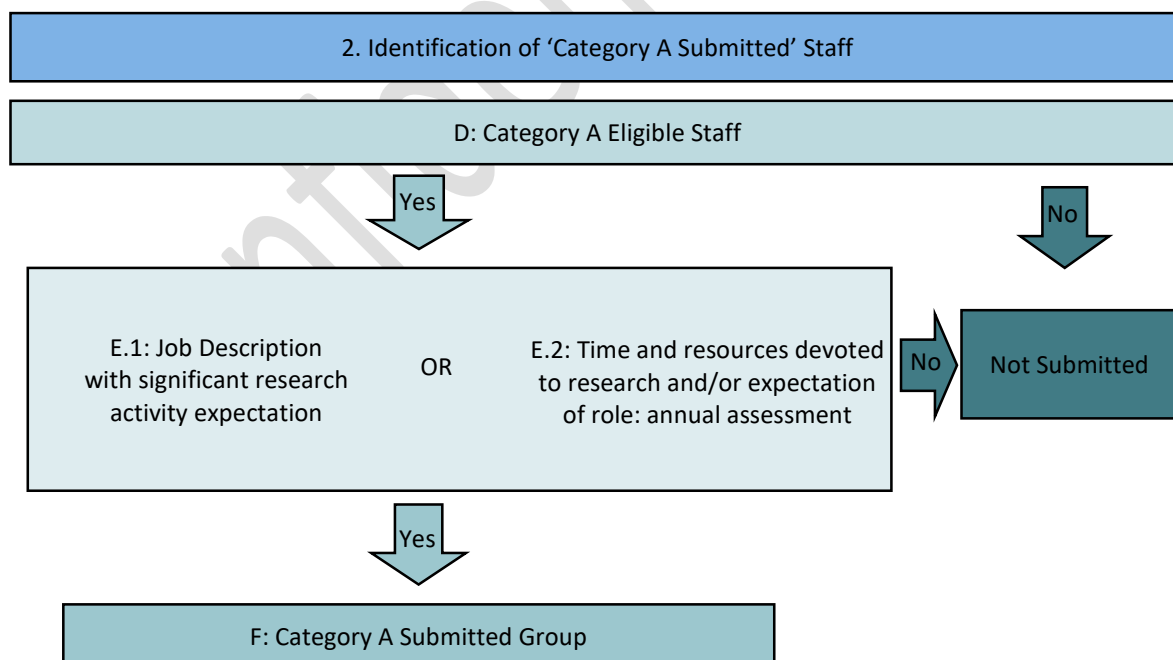


Figure 2: 'Category A submitted' staff identification



- A. Staff members must have an employment contract of at least 0.2 Full-Time Equivalent (FTE) or (for hourly paid staff) equivalent hours calculated annually and averaged over the REF cycle HESA reports (academic year 2014–15 to 2019–20). Staff who self-identify as conducting research will be supported to clarify (in HESA terms) their fraction or equivalent hours if necessary.
- B.1 A job description that indicates a significant expectation for research activity will in general contain detailed research clauses, meaning (in the case of older contracts) more than two clauses related to research; an example of such clauses is provided in Annexe 4. If a staff member has such a contract and no other teaching commitments at the School, they shall be reported to HESA as ‘research only’.

OR

- B.2 ‘Evidence of research activity’ will mean that a staff member has been identified as having shown evidence of research activity during an annual process of consideration of institutional research activity. All staff members (salaried and hourly paid) will be invited to put forward their research activity for consideration of eligibility against the definitions set out by Research England. Evidence of research activity may include:
- i. Research outputs (as per the REF definition) completed during the REF cycle;
 - ii. Receipt of Guildhall Innovation Research Project funding to undertake research;
 - iii. Support to complete a doctorate and to undertake subsequent research activity;
 - iv. Other activities that may be declared by staff and discussed with the Head of Research.

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

- C. Independence – see section 3.

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

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

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

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

OR

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

Many staff members do not have a job description that on its own indicates 'significant responsibility for research'; in order to identify if such staff members meet the REF definition, consideration will be given to the time and resources for research made available to them by the institution, and/or to demonstrable expectations of their role within the institution in practice. It is important to underline that this consideration will be based on the institution's expectations, not on the quality or volume of work the member of staff has produced to meet those expectations; it is not in any way a judgement on performance of duties, implicit or explicit. Indicators may include:

- i. external funding received from a national or international peer reviewed funding agency, through which the staff member is identified as an 'investigator' (in the sense used by research funding bodies) and time and resources are allocated to conduct research;
- ii. Guildhall Innovation funding awarded to the member of staff for a 'Research Project' (in the sense used in our internal criteria) which reaches successful completion (what counts as 'successful completion' will vary depending on the planned project outcomes, but could include completion of a pilot study, workshopping of a performance, or a completed research output);
- iii. designated doctoral supervision as lead supervisor of at least three students during the REF cycle;
- iv. designated curation of a series within ResearchWorks, the School's research seminar series (i.e. three or more linked events).

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

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

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

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

Category C Staff

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

2.2 Development of the identification process

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

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

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

Draft 3: Developed further by the REF team in conjunction with the REF sub-committee (representing RKEC and a mix of disciplines, research career stages, employment contract

types, and genders) based on final guidance on submissions, considered for approval by RKEC and the Senior Management Team.

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

2.3 Staff, committees and training

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

The REF team and REF sub-committee, as outlined in section 1.6 and Annexe 3, will have direct responsibility for, respectively, managing and overseeing the REF Submission. The REF team will gather all staff identification documentation for consideration. The REF sub-committee will assess for validity all documents submitted as part of the process, where necessary seeking authoritative advice.

2.4 Appeals

All staff members will have the right to appeal decisions made during the processes outlined in this code. Appeals may be made on the grounds of 1) concerns over application of processes or 2) alleged or potential discrimination. The academic judgement of the REF sub-committee will not be subject to appeal.

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

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

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

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

The appeals process will be as follows.

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

- ii. The Secretary will complete an administrative check within seven working days of receipt of the appeal. The administrative check will determine a) that the documentation is complete; and b) whether sufficient evidence has been provided to merit consideration of a claim on one or both of the grounds for appeal.
- iii. The Secretary may reject an appeal if the documentation is not complete and/or insufficient evidence has been provided. The rejection will be communicated to the appellant with the reason for rejection.
- iv. If the administrative check confirms the necessary documentation and sufficient evidence for appeal, the Secretary will convene an Appeals Panel.
- v. The Appeals Panel will consist of:
 - the Chair
 - an HR representative
 - an external researcher (to be nominated by the Principal when required, as far as possible from a relevant field)The Secretary to the Appeals Panel will be in attendance.
- vi. All three members are required for quoracy. The Chair of the Research & Knowledge Exchange Committee will be asked to provide in writing a formal response to the appeal, which will be provided to the appeals panel, along with the appellant's documentation. The Secretary to the Appeals Panel and the appellant will circulate the documentation five working days before the panel hearing.
- vii. The Appeals Panel will undertake a panel hearing.
 - The appellant will have the right to appear before the Appeals Panel, to be accompanied by a representative of a trade union or professional body, or to be absent from the Appeals Panel. The name of any representative must be communicated to the Secretary at least two working days before the panel hearing.
 - The Appeals Panel will invite the Chair of the Research & Knowledge Exchange Committee or other representative of the REF sub-committee to the hearing as well as and any other witnesses who may provide clarity on any aspect raised in the appeal.
 - The panel will interview the appellant, any witnesses, and the Chair of the Research & Knowledge Exchange Committee or representative. The appellant and Chair of the Research & Knowledge Exchange Committee or representative will also be invited to make a statement to the panel.
 - A written record of the panel proceedings will be kept by the Secretary.
- viii. The Appeals Panel will determine whether to uphold the appeal or reject the appeal. The decision of the panel will be communicated to the appellant and the REF Sub-committee chair within three working days of the hearing.
- ix. Where the panel upholds the appeal, the panel will indicate the reason. Where the appeal has been upheld on the grounds of concerns over the application of processes, the panel will determine whether these were sufficiently substantive to bring the

decision of RKEC into doubt. Where substantive, the appellant will be invited to re-enter the identification procedure at the point before the procedural error occurred. Where the panel upholds the appeal on the grounds of discrimination, the panel will take advice from HR on the appropriate way forward with the intention of ensuring that the appellant may re-enter the identification procedure at the point before the discrimination occurred, and will make recommendations for ensuring that the discrimination does not re-occur.

2.5 Equality impact assessment

The Initial Screening Assessment Form used in the drafting of this Code of Practice can be found at Annexe 6. Further iterations of the process-specific assessments below and in sections 3.4 and 4.4 will be undertaken by the Senior Research Manager and HR at regular intervals, and any emerging issues reported to the REF sub-committee.

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

Risk	Characteristic(s) affected	Mitigation
'Early' or 'Senior' research career stages might be misunderstood as being related to age, leading to exclusion of those who do not consider themselves in that age bracket (for example, someone who might not be considered early career in other ways might still be an early career researcher).	Age	Terminology in the documentation will explain clearly that career stage and age are not necessarily related: seniority in age does not imply seniority in research career, and vice versa.
Timeframes for staff to return consultation information or staff research information requests might be (or seem) unmanageable for staff members who are less frequently engaged in work at the institution.	Disability, gender reassignment, pregnancy or maternity, other medical or care reasons; part time or hourly paid staff	All timescales for consultation or information requests will have an ideal timeframe of five weeks for return, with a minimum (only where absolutely necessary) of three weeks, providing adequate time for those who require longer timeframes to respond. Should a staff member request an extension

		on return, we shall endeavour to accommodate an extension.
Some staff members may not feel they have the same connection to the research community as others. In particular, hourly paid staff and/or staff whose employment at the School predates its increased commitment to research will almost certainly not have a job description that defines a significant responsibility for research.	Part-time salaried staff, hourly paid staff	All staff members, regardless of contract type, will be invited to engage with the REF submission process (see section 1.5.1). A callout for research activity in 2017 had a very positive response. Mechanisms (including funding) are available to support staff research. All staff are regularly invited to engage with these at any time and the institution continuously seeks out new ways to engage staff with research.

Part 3: Determining 'Research Independence'

3.1 Policies and procedures

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

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

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

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

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

Indicators of independence will include:

- leading or acting as principal investigator or equivalent on an externally funded project;
- holding an independently won, competitively awarded fellowship where research independence is a requirement;
- acting as a co-investigator on an externally funded project, where the individual is leading a significant piece of the work;
- leading a research group or substantial work package;
- significant input into the design, conduct, and interpretation of research, which may be evidenced by research outputs.

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

3.2 Staff, committees and training

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

3.3 Appeals

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

3.4 Equality impact assessment

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

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

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

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

Part 4: Selection of outputs

4.1 Policies and procedures

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



To be eligible as per the REF guidance, each output must be:

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

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

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

- originality
- significance
- rigour.

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

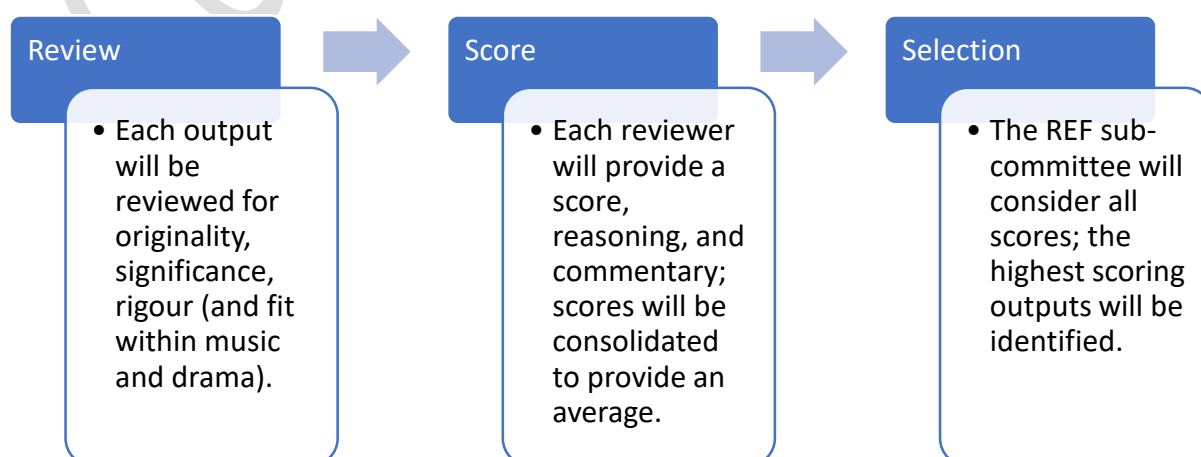
The REF sub-committee, with the support of appropriate external peer reviewers, will assess outputs submitted for consideration for inclusion in the REF submission. The REF sub-committee will appoint external peer reviewers a) in cases of disagreement across the panel, b) in line with the principle of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

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

The REF sub-committee, using the mechanism below, will review all research outputs identified and provided by Category A submitted staff. Possible conflicts of interest will be a standing item on the agenda of REF sub-committee selection meetings, and will normally be addressed by the member or members concerned withdrawing during discussion relating to them and their outputs.

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

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



It will be the task of the REF sub-committee to ensure an appropriate balance of constructive, collegial internal peer review and independent external peer review, including, where deemed productive or necessary by the Chair, measures to assure the anonymity of reviewers.

4.2 Staff, committees and training

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

4.3 Staff circumstances

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

Reductions may be applied:

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

Applicable circumstances of constraints in research productivity:

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

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

- other circumstances relating to the protected characteristics listed in Appendix A or any activities protected by employment legislation.

The tariffs for defined reductions will vary depending according to circumstances, and applicable circumstances may be combined sequentially for an individual; see Appendix C for details. Some circumstances require individual consideration and judgement; only one circumstance can be considered for any period where multiple circumstance applied simultaneously.. As part-time working is taken account of in the overall calculation of outputs, reductions for part-time working will only exceptionally be considered as potential grounds for application for a reduction.

All staff members that are identified as Category A submitted will be invited by e-mail to complete an individual staff circumstances form, as per Annexe 5. We recognise that the potential circumstances are varied and individual to staff members, any staff member who is uncertain about the circumstances outlined and their applicability is invited to contact research@gsmd.ac.uk or HR to discuss their individual situation. All disclosures of circumstances will be treated confidentially; if a reduction is judged appropriate, only its extent will be made known to the REF sub-committee; the circumstances will not be disclosed.

It is worth underlining that, as part of this process, members of the REF sub-committee will necessarily have some access to information normally only provided to HR. Accordingly, a data protection impact assessment (run by the Senior Research Manager in collaboration with HR and Registry) will take place once a detailed timetable for the assessment of staff circumstances and outputs has been established, and if necessary repeated for further iterations within the process.

4.4 Equality impact assessment

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

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

Risk	Characteristic(s) affected	Mitigation
Any staff member might have a concern that their protected characteristic may be known by the REF sub-committee and that individuals may bias their	All protected characteristics	As part of the REF guidance training, members of the REF sub-committee will be reminded of their position as institutional representatives and the need to disregard their opinion about

opinion of an output based on that characteristic.		<p>anything other than the quality of the output. Unconscious bias training will support the REF sub-committee to be aware of, and mitigate, any bias that might unconsciously occur.</p> <p>All external reviewers will receive anonymised outputs where appropriate, which will reduce the possibility of bias. As part of their contract of work, External reviewers shall be bound to impartiality should any outputs be identifiable to an individual.</p>
The perceived age and/or gender of a staff member may lead to bias about the quality of research outputs.	Age, gender	All documentation will clearly define research career stage as independent of age. The REF sub-committee will undertake unconscious bias to support awareness and prevention of any bias.
Some staff members might have experienced circumstances that constrained their ability to work productively during the REF cycle and hence feel excluded from the process.	Disability, gender reassignment, pregnancy or maternity, other medical or care reasons; part time or hourly paid staff	All staff members identified as 'Category A submitted' will be invited to complete the individual staff circumstance form, declaring any circumstances that might have constrained their ability to work productively during the REF cycle. These forms will be considered above all where an application to REF2021 to waive the minimum requirement of one output is possible.
Some staff members might feel particularly private about	Gender reassignment	The individual staff circumstances consideration will be managed by Human

disclosing circumstances of gender reassignment.		Resources to ensure that staff members feel that the highest levels of confidentiality are in place. The REF sub-committee shall only be made aware of reductions, not applications or circumstances leading to reductions.
Data breach arising from the processing of sensitive personal data (usually only handled by HR) by REF sub-committee and REF team	All protected characteristics	REF sub-committee and REF team to undertake core Data protection training, following City of London Corporation data protection protocols and policies. Data processed and stored only on City of London Corporation encrypted laptops.

Annexes

Annexe 1: Full timeline of processes

Summer 2017	First call for staff self-identification for the REF process
Autumn 2017	Initial decisions on REF2021 released by Research England
March 2018	Panel membership for criteria phase announced by Research England
May 2018	REF code of practice outline drafted and shared with RKEC and SMT
July 2018	Draft guidance and panel criteria published by Research England
15 October 2018	Consultation on draft guidance closes
October 2018	Draft 2 of Institutional code of practice considered by RKEC and SMT
October 2018	Staff consultation on institutional code of practice opens and open session held
November 2018	Staff consultation on institutional code of practice closes
December 2018	Staff consultation feedback collated and considered by RKEC
2019	Gathering of outputs and internal and external peer review of outputs
January 2019	Final guidance on submissions and panel criteria published by Research England
May 2019	Draft 3 of institutional code of practice considered by RKEC, SMT and co-opted Governors.
May 2019	Final comments from RKEC, SMT, and co-opted Governors considered by REF sub-committee and code of practice finalised
7 June 2019	Institutional code of practice submitted to Research England
June 2019	Call for staff self-identification for the REF process
Autumn 2019	Invitation to staff members to disclose individual circumstances opens
Autumn 2019	Submission of survey submission intention to Research England
December 2019	Publication of approved codes of practice by Research England
Early 2020	Announcement of submission system by Research England
31 July 2020	Census date for staff; end of assessment period (impact, environment, income data; doctoral degrees awarded)
27 November 2020	Closing date for submissions
31 December 2020	End of publication period (publication of outputs, including those underpinning impact case studies)
2021	Assessment of submission led by Research England
December 2021	Publication of outcomes
Spring 2022	Publication of submissions and reports by Research England

Annexe 2: Code of Practice consultation feedback

Staff consultation questions:

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

General

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

Y/N plus box to provide further information

Part 2: Identification of staff

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

Text plus box to provide further information

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

Y/N plus box to provide further information

Part 3: Research Independence

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

Text box to provide further information

Part 4: Selection of outputs

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

Text box to provide further information

Are there any other comments you would like to add

Annexe 3: REF sub-committee terms of reference

Role and purpose

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

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

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

Terms of reference

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

External reviewers

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

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

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

Membership

The members of this committee have been selected to reflect a range of criteria, representing a range of disciplines and employment types, specifically:

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

The quorum will be six.

List of members

Dr Cormac Newark, Head of Research (Chair)

Nell Catchpole, Creative Learning

Prof Sir Barry Ife, Honorary Senior Research Fellow

Dr Alex Mermikides, Doctoral Programme Leader

Cassandra Miller, Associate Head of Composition

Orla O'Loughlin, Director of Drama

Jacqueline Ross, Professor of Violin

Eliot Shrimpton, Head of Academic Studies - Drama

Ann Sloboda, Head of Music Therapy

Prof John Sloboda, Research Professor

Dr Christopher Suckling, Historical Performance & Academic Studies

Ben Sumner, Director of Production Arts

Aoife Shanley, Senior Research Manager

Dr Cinzia Yates, Research Support Officer (Secretary)

Annexe 4: Research clauses in Job Descriptions

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

Job description clauses

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

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

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

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

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

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

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

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

Annexe 5: Individual Staff Circumstances disclosure form

All information on this form will be treated confidentially

Individuals who have encountered circumstances that have constrained their research productivity during the REF cycle (1 Jan 2014 to 31 Dec 2020) are invited to disclose such circumstances, which may result in a reduction of the number of outputs required for the individual or for the total submission (see section 4.1). We recognise that the potential circumstances are varied and individual to a staff member; any staff member who is uncertain about the circumstances outlined and their applicability are invited to contact research@gsmd.ac.uk or HR to discuss their individual situation.

All staff members who are identified as Category A submitted (see section 2.1) are requested to complete this form.

Section one:

Name

Department

Contact e-mail

Please select one of the following:

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

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

SIGNED:

DATE:

Section two:

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

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

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

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

Circumstance:

Absence from work due to secondments or career breaks

Information Required:

Circumstances, dates and duration in months.

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

Circumstance:

Qualifying periods of family-related leave (such as maternity or paternity leave, or statutory adoption leave)

Information Required:

For each period of leave, please state which type of leave was taken and the dates and duration in months.

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

Circumstance:

Disability

Information Required:

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

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

Circumstance:

Ill health, injury, or mental health conditions

Information Required:

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

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

Circumstance:

Constraints relating to pregnancy, maternity, paternity, adoption or childcare in addition to the period of maternity, adoption or additional paternity leave taken, which are not covered by the family related leave section above.

Information Required:

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

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

Circumstance:

Other caring responsibilities (such as caring for an elderly or disabled family member)

Information Required:

Impact on ability to fulfil contractual hours, and any other impacts on ability to undertake research.
Duration of responsibility in months.

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

Circumstance:

Gender reassignment

Information Required:

Impact on ability to fulfil contractual hours, and any other impacts on ability to undertake research.
Duration of impact in months.

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

Circumstance:

Other exceptional and relevant reasons (part time working is not usually considered but may be considered exceptionally)

Information Required:

Impact on ability to fulfil contractual hours, and any other impacts on ability to undertake research.
Duration of impact in months.

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

Name:

Date:

Signature:

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

What if my circumstances change?

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

Annexe 6: Equality impact assessment (Full)

EQIA Stage One: Initial Screening Assessment Form

The strategy, policy or project		
1.	What is the main purpose of the policy?	To plan and implement transparent, consistent, accountable, and inclusive processes for the execution of the School's REF2021 submission,
2.	Is the policy affected by external drivers for change?	Yes, REF 2021 is a UK wide system for assessing research quality.
3.	List the main activities of the policy?	The code sets out the processes for staff identification (who is eligible and who is submittable) designation of research independence of staff, and selection of outputs for submission
4.	Who implements the policy?	Research team, led by the Head of Research
5.	Who will be affected by the policy?	Current and future staff members
6.	What outcome do you want to achieve, why and for whom?	Clear instructions for staff about the internal process for preparing the institutional REF2021 submission
7.	Are any other organisations involved?	No
8.	Are there any existing assessments or inspections?	This code will be assessed by Research England during summer 2019
9.	Who have you consulted on the policy?	Research and Knowledge Exchange Committee, Academic Board, Senior Management Team, and invited all staff to participate in consultation (autumn 2019).
10.	Who are the main beneficiaries of the policy?	The School's research community

The Impact:		Tick the boxes which apply for each protected characteristic				
Protected characteristics	Positive Impact		Neutral Impact	Negative Impact		Reason/Comment
	High	Low		High	Low	
Sex						All staff members are equally encouraged to engage with the process; all decision making groups will have a balance of sexes; Unconscious bias training will support staff to mitigate potential bias.
Women			✓			
Men			✓			
						Sexual orientation information will not be invited or used as any part of any processes.
Sexual orientation						
Straight			✓			
Gay men			✓			
Gay women			✓			
Bi-sexual			✓			Any staff disclosure of individual circumstances will be dealt with confidentially with advice from HR to ensure highest confidentiality for gender reassignment.
Gender reassignment			✓			
Race						
Asian – Asian Bangladeshi; Asian British; Asian Indian; Asian			✓			

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

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

Appendices

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

Age	<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>
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, 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</p>

	<p>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> <p>The definition of disability is different in Northern Ireland in that a list of day-to-day activities is referred to.</p> <p>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.</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 • 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 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').</p>
Gender reassignment	<p>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.</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>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>
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, 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>
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 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>
Pregnancy and maternity	<p>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.</p> <p>Consequently, where researchers have taken time out of work, or their ability to work productively throughout the assessment period has been affected, because</p>

	<p>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.</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, 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.</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 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, 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.</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 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, 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> <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</p>

	<p>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>
Sexual orientation	<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>
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 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>

Appendix B: Annex K of guidance (REF2019_01)

Output glossary and collection formats

1. An underpinning principle of the REF is that all forms of research output will be assessed on a fair and equal basis. Sub-panels will not regard any particular form of output as of greater or lesser quality than another per se.
2. All research outputs must meet the definition of research for the REF. For the purposes of the REF, research is defined as 'a process of investigation leading to new insights, effectively shared'. Please see Annex C for further detail.
3. All submissions should provide sufficient information to allow a sub-panel to understand the research process, the research insights, and the time and manner of dissemination. Often this will be evident within the materials submitted, requiring no further information. However, where this is not evident within the submission, this may be supplemented by an up to 300-word statement or supporting evidence. See 'Panel criteria', Annex B, for a summary of the additional information requirements for outputs.
4. The table below sets out categories of output types under which outputs will be submitted in REF 2021, the collection formats for the different output types, and a broad definition of each category. This includes examples, which are provided for guidance only and do not represent a definitive list.

Category	Definition
(Parts of) Books	
A – Authored book	<p>An authored book written entirely by a single author or by joint authors who share responsibility for the whole book.</p> <p>Includes:</p> <ul style="list-style-type: none"> • scholarly books • research monographs • textbooks based on significant research (as defined above) by the author(s) • revisions/new editions of the above, providing this includes substantial new research material • novels, plays and screenplays • collections of plays, poems, short stories or other creative writing by the author(s).
B – Edited book	<p>A book or volume in which individual chapters or contributions have been written by different authors. To submit a work in this category the editor must have had sole responsibility, or be identified as having made a substantial contribution to the editing, choices for inclusion and underpinning process of investigation.</p> <p>Includes:</p> <ul style="list-style-type: none"> • edited books or volumes • textbooks or encyclopaedias where significant background research is required • annotated anthologies where research informs the annotations • revisions or new editions of the above providing this includes substantial new research material • literary translations, where these contain significant editorial work in the nature of research.
C – Chapter in book	<p>This category includes contributions to edited books. This may include scholarly work, such as:</p> <ul style="list-style-type: none"> • chapters in edited books

	<ul style="list-style-type: none"> • entries in textbooks incorporating significant research content • entries in scholarly editions • entries in revisions or new editions providing this includes substantial new research material. • translations where these contain significant editorial work which constitutes research.
R – Scholarly edition	An edition of another author’s original work or body of works informed by critical evaluation of the sources (such as, earlier manuscripts, texts, documents and letters) often with a scholarly introduction and explanatory notes or analysis on the text and/or original author. This may include a translation of the original text(s) where this constitutes part of the research.
Journal Articles	
D – Journal article	<p>A scholarly paper, usually on a specific topic, published in an externally circulated scholarly or professional journal that has an ISSN. This may include:</p> <ul style="list-style-type: none"> • full research articles • critical scholarly texts which appear in article form • review articles, where these meet the definition of research for the REF • evidence synthesis, including systematic reviews, analyses, meta-analyses, meta- syntheses, where these meet the definition of research for the REF • rapid communication (short papers, usually published swiftly, in scholarly journals presenting original material) • discussion paper (short articles in scholarly journals that critically address specific results or data provided in a published research paper) • creative articles, including photographic essays.
E – Conference contribution	A conference paper or other contribution published in conference proceedings. The conference proceedings will usually have an ISSN or ISBN and may be published in a number of formats such as:

	<ul style="list-style-type: none"> • volume of proceedings • special or normal edition of a journal • book or a monograph • website. <p>Submitted outputs may include:</p> <ul style="list-style-type: none"> • full written papers that appear in published conference proceedings • other conference contributions which meet the definition of research.
U – Working paper	Research papers disseminated to encourage discussion and suggestions for revision. This may be through pre-print dissemination, lodging in an institutional repository or self-publication for distribution.
Physical Artefacts	
L – Artefact	<p>Artefacts, objects or craftworks, exhibited, commissioned or otherwise presented or offered in the public domain, for example visual arts, craft and cultural creations.</p> <p>This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the artefact and to assess its significance, originality and rigour. This can include (but is not limited to):</p> <ul style="list-style-type: none"> • illustration • sculpture • media installations • ceramics • jewellery • metalwork

	<ul style="list-style-type: none"> • buildings • cultural artefacts such as large permanent public sculptures. <p>The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination</p>
P – Devices and products	<p>An element, system or substance developed to perform a particular function, set, or combination of functions. Incorporates developing the concept and the design and development of any chemical, mechanical, electronic and software components, and where appropriate the overall system architecture.</p> <ul style="list-style-type: none"> • use may be functional, aesthetic or commercial • may be physical including chemical or compound, i.e. medicines • may include digital/virtual products for particular functions, i.e. gaming, analysis, display • may include services, i.e. transportation, energy supply, public broadcasting, healthcare systems <p>may be associated with the manufacturing, extraction and refinement of other devices</p>
Exhibitions and performances	
M – Exhibition	<p>A single or series of public events, or short-term, long-term or permanent installations, at which works of interest are displayed. This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the exhibition and to assess its significance, originality and rigour.</p> <p>Submissions can be:</p> <ul style="list-style-type: none"> • solo exhibitions • curation of exhibitions • contributions to collaborative group exhibitions. <p>Submissions may include:</p> <ul style="list-style-type: none"> • original artistic works and/or designs

	<ul style="list-style-type: none"> • historical, political, social, technical/technological or scientific research and information • works exhibited in a gallery, museum, artist's book or electronic format • works exhibited in non-standard environments • curating an exhibition. <p>The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.</p>
I – Performance	<p>A live or recorded performance (by, for example, an actor, musician, dancer, conductor, artist) to an external audience. The 'author' can have one (or more) of a variety of major roles (e.g. lead performer, director, writer) in the production, which should meet the REF definition of research. The role should be specified within the additional details required, with details of other participants involved in the research.</p> <p>This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the performance and to assess its significance, originality and rigour.</p> <p>Includes (but is not limited to):</p> <ul style="list-style-type: none"> • performance of a play, musical, opera, concert, television or radio production, performance artwork • theatre productions (stage play, mime, circus, puppet show, variety act, comedy show) • concerts and recitals (music or dance) • broadcast performances and other modes of presentation • production of an audio/visual medium (such as CD or DVD recording) • artistic direction of a staged production • input into a theatre production (for example, design, dramaturgy). <p>The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.</p>

Other documents	
F – Patent/ published patent application	<p>Granted patents, copyrights, trademarks, or registered designs on specific products or processes. Patents can have been granted in the UK or another patent-awarding country.</p> <p>The patent should have been granted for the first time during the assessment period.</p>
J – Composition	<p>An original published/publicly available score, first performance or first recording by a record label of a musical composition. Can include (but is not limited to):</p> <ul style="list-style-type: none"> • compositions created while being played for example, electronic compositions, jazz improvisation • published/publicly available score • recordings • sound component of a film or video, lyrics, multimedia composition • commissioned works • combinations or developments of the above. <p>The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination</p>
K – Design	<p>A creative research/problem-solving output in the form of design drawings, books, models, exhibitions, websites, installations or built works. This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the design and to assess its significance, originality and rigour.</p> <p>This can include (but is not limited) to:</p> <ul style="list-style-type: none"> • fashion design • textile design • graphic design

	<ul style="list-style-type: none"> interior design industrial design architectural design multimedia design sound design exhibition design (i.e. not the content of the exhibition) theatre design other designs. <p>The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.</p>
N – Research report for external body	Non-confidential reports, commissioned and/or funded by an external organisation, including reports for private companies, government departments and non- governmental organisations. May also include non-commissioned reports.
O – Confidential report for external body	Confidential reports commissioned and/or funded by an external organisation, including reports for private companies, government departments and non- governmental organisations. For clarity, confidential material is not in scope of the open access requirements (see main text, paragraphs 223 to 224 for details of in-scope outputs).
Digital artefacts	
G – Software	<p>Originally researched, created and published software (computer programs and their associated documentation, consisting of a set of instructions written by a programmer) or database products of commercial quality, which has been made publicly available.</p> <p>May include (but is not limited to):</p> <ul style="list-style-type: none"> operating systems

	<ul style="list-style-type: none"> • utilities • application programs • interactive multimedia • video games • logic systems. <p>The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.</p>
H – Website content	<p>A collection of material which embodies research and is undertaken on a systematic basis specifically for dissemination through a website and/or as an interactive approach to allow users to engage directly with the process or products of the research.</p> <p>Web content is the textual, visual, or aural content encountered as part of the user experience on websites. It may include – among other things – text, images, sounds, videos and animations.</p> <p>May present factual information, analysis or data, or fictional, imaginative and/or creative work, using pictorial, video, audio, etc.</p>
Q – Digital or visual media	<p>Research outputs presented in digitised and/or audio-visual format. This may take the form of moving image, sonic, visual or other digital media or written text, or a combination of these, as appropriate, to enable the panel to access the research dimensions and/or the researcher's contribution to the output and to assess its significance, originality and rigour. Includes but is not limited to:</p> <ul style="list-style-type: none"> • films • documentaries • audio-visual presentations • computer games • animation. <p>Encoded in digital format, machine readable and presenting information and forms of communication not limited to verbal and text-based means.</p>

	The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.
S – Research data sets and databases	<p>Submissions may include:</p> <ul style="list-style-type: none"> • Data sets: May come in a variety of formats, for instance in spreadsheet, but also any collection of data on which analysis can be performed. Most commonly a data set corresponds to the contents of a single database table, or a statistical data matrix, where every column of the table represents a particular variable, and each row corresponds to a given member of the data set. • Databases: Collections of data specifically organised and presented for the ease of viewing, retrieval and analysis. May comprise multiple data sets. Often characterised by data field structuring and searchability tools. <p>The material submitted should provide sufficient information to allow the panel to assess the research process, research insights, and time and manner of dissemination.</p>
Other	
V – Translation	<p>A translation of a work or body of works by another author or authors, informed by critical evaluation of the sources (such as earlier manuscripts, texts, documents and letters), and by critical analysis of the work's original cultural context for the new readership.</p> <p>Translations may also include a scholarly introduction and explanatory notes or contextual analysis. Translation may enhance existing understanding of the material in question, and may provide evidence of creativity in its own right.</p>
T – Other	<p>Other forms of assessable output meeting the definition of research but not captured within any of the above categories. This may include (but is not limited to):</p> <ul style="list-style-type: none"> • new materials • structures • images • buildings • food products and processes

	<ul style="list-style-type: none">• published geological and/or geomorphological maps• creative bodies of enquiry• design processes/ programme of research• multi-platform projects• curatorial projects• a creative writing collection (a number of related works that were published in forms other than a book length collection)• a collection of creative and/or critical work (for example, related articles, books, choreographic materials, essays, dramaturgical works, films, recordings etc.) on a related topic that address different aspects of a single project and are collectively greater than the sum of their parts <p>substantial dictionary or encyclopaedia entries and groups of short items including groups of entries.</p>
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Appendix C: Permitted reductions based on individual circumstances

Given the reduced output requirement for 2021, the tariffs for the defined reductions differ from those set in REF 2014. This is to ensure that a broadly equivalent reduction is given in the context of the submitted output pool, and to ensure that panels receive a sufficient selection of research outputs from each submitted unit upon which to base judgements about the quality of that unit's outputs.

Early career researchers

ECRs are defined in the 'Guidance on submissions' (paragraph 148). Table L1 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for ECRs who meet this definition.

Table L1: Early career researchers: Permitted reduction in outputs

Date at which the individual first met the definition of an ECR:	Output pool may be reduced by up to:
On or before 31 July 2016	0
Between 1 August 2016 and 31 July 2017 inclusive	0.5
Between 1 August 2017 and 31 July 2018 inclusive	1
On or after 1 August 2018	1.5

Absence from work due to secondments or career breaks

Table L2 sets out the permitted reduction in outputs without penalty in the assessment that HEIs may request for absence from work due to secondments or career breaks outside of the HE sector, and in which the individual did not undertake academic research.

Table L2: Secondments or career breaks: Permitted reduction in outputs

Total months absent between 1 January 2014 and 31 July 2020 due to a staff member's secondment or career break:	Output pool may be reduced by up to:
Fewer than 12 calendar months	0
At least 12 calendar months but less than 28	0.5

At least 28 calendar months but less than 46	1
46 calendar months or more	1.5

The allowances in Table L2 are based on the length of the individual's absence or time away from working in HE. They are defined in terms of total months absent from work.

As part-time working is taken account of within the calculation for the overall number of outputs required for the unit (which is determined by multiplying the unit's FTE by 2.5), reduction requests on the basis of part-time working hours should only be made exceptionally. For example, where the FTE of a staff member late in the assessment period does not reflect their average FTE over the period as a whole.

Qualifying periods of family-related leave

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

Statutory maternity leave or statutory adoption leave taken substantially during the period 1 January 2014 to 31 July 2020, regardless of the length of the leave.

Additional paternity or adoption leave²², or shared parental leave²³ lasting for four months or more, taken substantially during the period 1 January 2014 to 31 July 2020.

This approach to reductions for qualifying periods of family-related leave is based on the funding bodies' considered judgement following consultation in the previous REF exercise that the impact of such a period of leave and the arrival of a new child into a family is generally sufficiently disruptive of an individual's research work to justify the specified reduction.

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

By applying a reduction in outputs where there are additional circumstances, for example where the period of leave had an impact in combination with other factors such as ongoing childcare responsibilities.

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

Any period of maternity, adoption, paternity or shared parental leave that qualifies for the reduction of an output under the provisions in paragraph 6 above may in individual cases be associated with prolonged constraints on work that justify more than the defined reduction set out. In such cases, the circumstances should be explained in the request.

Combining circumstances

Where individuals have had a combination of circumstances that have a defined reduction in outputs, these may be accumulated up to a maximum reduction of 1.5 outputs. For each circumstance, the relevant reduction should be applied and added together to calculate the total maximum reduction.

‘Additional paternity or adoption leave’ refers to leave of up to 26 weeks which is taken to care for a child where the person’s spouse, partner or civil partner was entitled to statutory maternity leave or statutory adoption leave, and has since returned to work. The term ‘additional paternity leave’ is often used to describe this type of leave although it may be taken by parents of either gender. For the purposes of the REF, we refer to this leave as ‘additional paternity or adoption leave’.

‘Shared parental leave’ refers to leave of up to 50 weeks which can be shared by parents having a baby or adopting a child. This can be taken in blocks, or all in one go

Where Table L1 is combined with Table L2, the period of time since 1 January 2014 up until the individual met the definition of an ECR should be calculated in months, and Table L2 should be applied.

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

Where an individual has a combination of circumstances with a defined reduction in outputs and additional circumstances that require a judgement, the institution should explain this in the reduction request so that a single judgement can be made about the appropriate reduction in outputs, taking into account all the circumstances. The circumstances with a defined reduction in outputs to be requested should be calculated according to the guidance above (paragraphs 2 to 10).

Other circumstances that apply in UOAs 1–6

In UOAs 1–6, the number of outputs may be reduced by up to one, without penalty in the assessment, for Category A submitted staff who are junior clinical academics. These are defined as clinically qualified academics who are still completing their clinical training in medicine or dentistry and have not gained a Certificate of Completion of Training (CCT) or its equivalent prior to 31 July 2020.

This allowance is made on the basis that the staff concerned are normally significantly constrained in the time they have available to undertake research during the assessment period. Where the individual meets the criteria in paragraph 14, and has had significant additional circumstances – for any of the other reasons set out in the ‘Guidance on submissions’ in paragraph 160 – the institution can make a case for further reductions in the unit reduction request.

Circumstances requiring a judgement about reductions

Where staff have had other circumstances during the period (see paragraph 160e. in this ‘Guidance on submissions’ document) – including in combination with any circumstances with a defined reduction in outputs – the institution will need to make a judgement about the effect of the circumstances in terms of the equivalent period of time absent, apply the reductions as set out in Table L2 by analogy, and provide a brief rationale for this judgement

Committee: Board of Governors of the Guildhall School of Music & Drama	Date: 17 February 2020
Subject: Prevent: Annual Monitoring Report for 2018/19 to the Office for Students (OfS)	Public
Report of: Director of Guildhall Young Artists and Safeguarding	For Information
Report author: Alison Mears, Director of Guildhall Young Artists and Safeguarding	

Summary

The School is required to report annually to the Office for Students on the number of Prevent cases in a given year.

This now takes the form of an online data return rather than an Annual Report so we can only report on specific questions asked with a set word limit. The return information is attached. The question relating to “referred” student welfare cases was problematic as we do not distinguish in the way the data has requested and a technical specification has not yet been provided although it was requested in the last reporting cycle. We are considering ways of collecting data in this way for future years but it is not straightforward. There were no Prevent referrals during the Academic year 2018/19.

The OfS will report back in March to confirm that the School is fulfilling its statutory obligations regarding the Prevent duty.

Recommendation

Members are asked to: receive and note the report

Alison Mears

Director of Guildhall Young Artists and Safeguarding

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E: Alison.Mears@gsmd.ac.uk

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Prevent duty monitoring Accountability and data return 2019

Provider Guildhall School of Music & Drama

UKPRN 10007825

If you have any queries please contact prevent@officeforstudents.org.uk. For technical queries, for example how to upload the template, please contact dfaprevent@officeforstudents.org.uk.

Notes:

1. This is a mandatory return.
2. The data to be submitted should cover the year from 1 August 2018 to 31 July 2019.
3. Providers are able to provide further contextualisation of their data through the free text boxes e.g. role types identified within number of key staff identified for training. However this is limited to 300 words per section.
4. Guidance on data to be provided in each section can be found below:

Welfare

- i) This refers to cases which have been 'actively managed' i.e. that a provider has taken action in response to a welfare concern/need. This would normally include referrals reported to and managed by central student services or being managed by a designated safeguarding or welfare lead. This refers to both students and staff. This does not include self-referrals or other referrals where no action has been taken. This provides some information and assurance that your welfare processes are being implemented in the absence of any Prevent-related concerns. Note: you have the choice of providing an exact figure, or an estimate to the nearest 10.
- ii) This refers to cases reported to your Prevent lead (or appropriate group or committee where this does not reflect your referral process). This provides some information and assurance that your welfare processes are being implemented.
- iii) This refers to where you have sought advice and information from a multi-agency partner for a Prevent-related case e.g. DfE co-ordinator. This provides some information and assurance that your welfare processes are being implemented, and you are working with Prevent-partners effectively.
- iv) This refers to where you have made a formal referral to the Channel process regarding a case. This provides some information and assurance that your welfare processes are being implemented and the appropriate referral pathways with multi-agency partners are in place.

Events & speakers

- i) The total number of events/speakers approved through your external speakers and events process i.e. not related to the academic curriculum. Note: you have the choice of providing an exact figure, or an estimate to the nearest 10. This provides contextualisation of the other data provided on events and speakers.
- ii) This refers to the number of events/speakers that have required some form of mitigation related to Prevent (or associated free speech) following a risk assessment as part of the speaker process.
- iii) This refers to the number of events/speakers that have required a decision by the highest decision maker within the process i.e. where the request has been escalated through the process. This provides information that the process is being implemented and concerns escalated where necessary.
- iv) This refers to the number of events that have not been approved through the process. This should include decisions on risk and on process. This will help inform how a provider is balancing its other legal duties in respect of Prevent.

Training

The number of staff reported in this section of the return should be returned as a headcount number.

- i) The current number of staff the provider has identified as key in relation to Prevent. This provides further contextualisation of data submitted.
- ii) Training related to their Prevent role or responsibility. This provides assurance that key staff are receiving training on the duty.
- iii) Refresher training related to their Prevent role or responsibility. This provides assurance that key staff continue to have skills and knowledge to support their role/responsibility.
- iv) The number of staff being made aware through guidance, advice or instruction. This provides assurance that staff are able to use relevant policies or are being sign-posted to key staff etc.

Validation checks

Within this document there will be a range of technical validation checks, which will ensure consistency of how the spreadsheet is populated, for example: if a provider inputs that the number of key staff that received training during the period is higher than the total number of key staff, this will not pass a validation check.

1. Please ensure you have selected whether the total number of welfare cases and total number of events/speakers is an estimate or an actual figure in the 'Submission' sheet.

Validation passed

2. The sum of the number of staff who received initial training and those who received refresher training would not be expected to be greater than the number of key staff.

Validation passed

3. The number of staff identified as key to Prevent delivery would not be expected to be zero.

Validation passed

**Prevent duty monitoring
Accountability and data return 2019**

Provider Guildhall School of Music & Drama

UKPRN 10007825

In all cases this data should cover the year from 1 August 2018 to 31 July 2019.

Welfare	Number
i) Number of welfare cases referred for specialist advice and support <i>Please state whether this is an estimate or an actual figure:</i>	Actual 413
ii) Number of Prevent-related cases escalated to the point at which the Prevent lead has become involved	0
iii) Number of Prevent-related cases which lead to external advice being sought from Prevent partners	0
iv) Number of formal referrals to Channel	0
<i>Please add any further technical information in the free text box below which you believe would be helpful or relevant for OfS to know regarding Welfare. (max. 300 words)</i>	
<p>409 students accessed one or more of our services, (excluding the counselling service) during the past academic year. We do not keep data about whether these are self-referrals so would need to the technical specification for this for future years and cannot estimate this number. Student Affairs services are wide ranging including disability and study skills, referral to specialist practitioners for performance-related injury or illness, financial hardship, academic and accommodation concerns, and general pastoral support. We are a very small organisation with a specialised and extensive support service. We would not expect high numbers being referred because we would expect these students to already be known to us but any student can self-refer.</p> <p>The School does not collect data on staff welfare referral matters and staff can receive support through a number of routes including the Employee Assistance Programme, HR, Mental health first aiders, Occupational Health and locally via their line manager or department. There were 4 Safeguarding concerns raised about current members of staff which were managed by the Head of Safeguarding and are included in this figure.</p> <p>During the 2018/19 Academic year we had 12 internal student case conferences, of which 5 then proceeded to a Progress Review. There was one case of Welfare/Safeguarding in the Senior School. We had one case of the Principal's Emergency powers being evoked for a student welfare concern. We have weekly Students of Concern Meetings and actions are agreed at the end of each meeting.</p> <p>Although as yet we have not had any Prevent related cases we do have a rigorous welfare and safeguarding system in place and we showcased our provision at the HEFCE What Works seminar in April 2016. We also have two dedicated Safeguarding Governors and have created a new role of Head of Safeguarding.</p>	

Events & speakers	Number
i) Total number of events/speakers approved. <i>Please state whether this is an estimate or an actual figure:</i>	Actual 1
ii) Number of Prevent-related events/speakers approved with conditions/mitigations	0
iii) Number of events/speakers referred to the highest decision maker in the provider's process	1
iv) Number of events/speaker requests rejected	0
<i>Please add any further technical information in the free text box below which you believe would be helpful or relevant for OfS to know regarding Events & Speakers. (max. 300 words)</i>	
<p>The Guildhall School of Music & Drama does not generally host "external speaker" events. Most visiting artists to the School are visiting lecturers or practitioners invited because of their particular specialism as leaders in their field as part of the academic curriculum. Most events present a low level of risk and can be approved entirely at a local departmental level. Many guest performers or directors have been regularly working in the institution over many years without incident and only require a low level due diligence in these cases.</p> <p>However, some events may be complex and may require referral for further consideration. The referral process only applies where events or speakers deemed to be higher-risk such as events hosted by the school that fall outside the curriculum an example being Guardian Live events. Colleagues in Barbican business events who are involved in booking external events in our Milton Court premises have attended Prevent training at the School.</p> <p>No Prevent related events were referred and only one artistic event was referred. This was a public event in Milton Court programmed by the Barbican, which contained artistic images of adolescents. There was an ethical assessment of this production and it was referred to the Chair of the Events Committee as the event was not raised in time to discuss at the next scheduled Events Committee meeting. The request was referred to the highest level and it was agreed that the event could go ahead.</p> <p>No other events were submitted to Events Committee with Prevent concerns mainly because the number of Barbican business events in Milton Court has drastically reduced this academic year.</p>	

Training	Number
i) Number of staff identified as key to Prevent delivery	94
ii) Number of key staff receiving induction Prevent training	26
iii) Number of key staff receiving refresher Prevent training	2
iv) Number of staff receiving broader welfare/safeguarding awareness training/briefing	45
<i>Please add any further technical information in the free text box below which you believe would be helpful or relevant for OfS to know regarding Training. (max. 300 words)</i>	

i) The School believes that safeguarding is a collective responsibility and all staff have compulsory online safeguarding training as part of their induction which includes Prevent. This is refreshed every 3 years. For the purposes of this return SMT, Safeguarding Leads and their deputies and at least one member of staff in each area of the School has been identified as being key to Prevent delivery.

ii) All staff undertake online safeguarding training including Prevent as part of their induction. A total of 59 new members of staff with 26 identified as key to Prevent delivery. Additionally, The Head of Safeguarding completed online Prevent training on 02/01/19 and attended a conference "Safeguarding Young People from Extremism in Universities and Colleges: The Next Steps" on 10/10/18

iii) Online refresher training was completed by two members of staff and we held two Prevent information events to raise awareness delivered by our colleagues in the City Police on 26/06/19 and 09/07/19. These informal events provided an opportunity for students and staff to pick up information leaflets and over 40 students and staff engaged in conversation with the Prevent team and Head of Safeguarding on the stalls.

iv) The Head of Safeguarding delivered face to face training to over 45 members of staff and governors through the following face to face training sessions which were introduced to provide a balance with the online training. Although these were safeguarding sessions Prevent was covered in each - Adult Safeguarding Awareness briefing 07/02/2019 and "Safeguarding Culture" briefing 15/7/2019.

A monthly Safeguarding Newsletter has been developed this year and the Head of Safeguarding liaised with the Student Life Officer to discuss Prevent awareness raising. The Guildhall School is part of the London HE Prevent Network and the London Prevent Coordinators' Monthly Digest is regularly circulated to key staff

Prevent annual accountability statement

Throughout the year and up to the date of approval, [Provider name]:

- has had due regard to the need to prevent people being drawn into terrorism (the Prevent duty)
- has provided to OfS all required information about its implementation of the Prevent duty
- has reported to OfS in a timely way all serious issues related to the Prevent duty, or now attaches any reports that should have been made, with an explanation of why they were not submitted
- has reviewed, and where necessary, updated its Prevent risk assessment and action plan

Accountability statement

Governing bodies/proprietors are required to provide a short statement (max 300 words) outlining the mechanisms to which they have been assured that they are able to sign the above declarations satisfactorily.

The appointment of a Head of Safeguarding in October 2018 has increased safeguarding awareness across the whole institution. Through sustained engagement with staff and students there has been a development of the safeguarding culture of vigilance which has seen increased reporting of concerns although to date there have not been any Prevent referrals. A "Lessons Learned" template developed for complex or challenging safeguarding cases to serve a quality assurance purpose after investigations have been completed.

Links with other City departments have continued to be strong and the School took part in the City of London Safeguarding Review in March 2019. Although primarily focussing on our under 18 work the review found that the safeguarding arrangements in place at the Guildhall School are "effective". Two Prevent information events were held at the School in the summer term delivered by colleagues in the City of London Prevent Team.

An annual safeguarding report (including Prevent) is presented to the Board of Governors where the policy is reviewed and approved. The Prevent return is discussed at the February Board of Governors meeting. In addition, there are two dedicated safeguarding governors who meet regularly with key staff. The Head of Safeguarding delivered a training session "Creating a Safeguarding Culture" for the Board of Governors and Senior Staff on 17/07/09 which included Prevent. The Board is kept up to date on Safeguarding and Prevent issues which are key risks in the School's Risk Register. A separate Prevent Risk Register and Action Plan is revised on an annual basis most recently in December 2018.

Additionally, the Audit and Risk subcommittee selected Safeguarding and Prevent as part of the programme of deep dives into each risk which was discussed in February 2019. Through these measures we are reassured that the School is demonstrating due regard to the duty.

Name	Vivienne Littlechild
Signed	

Committee: Board of Governors of the Guildhall School of Music & Drama	Date: 17/02/2020
Subject: Access & Participation Plan: Monitoring Report 2018/19	Public
Report of: Lynne Williams, Principal, Guildhall School	For Information
Report author: Katharine Lewis, Secretary & Dean of Students, Guildhall School	

Summary

It is a requirement of registration with the Office for Students and to charge the higher fee rate that the School has a valid Access & Participation Plan. The impact of the plan is monitored each year.

All the measures in the Access & Participation Plan have two primary aims - to increase diversity in the student body from under-represented groups and support these students whilst they are here to succeed. Whilst this is an OfS requirement it is also fundamental to the School's wider mission and strategy. There has been a mixed success rate in respect of the impact of activities; some activities (eg application fee waivers and acting workshops) are having a direct impact and offer a model going forward, others (CYM and Juniors) are a slower burn but their activities as a whole have an impact on admissions and enrolments. Going forward other activities, such as Creative Learning outreach, will be refocussed.

The new five-year plan 2020/21 to 204/25 is available at:
https://www.gsmd.ac.uk/fileadmin/user_upload/files/Policies_and_Reports/GuildhallSchoolOfMusic_Drama_APP_2020-21_V1_10007825.pdf

Recommendation: that the Board receives the report and notes its contents.

Katharine Lewis
 Secretary & Dean of Students
 E: katharine.lewis@gsmd.ac.uk

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Access Agreement Monitoring Return 2018/19

It is a requirement that the School reports annually on its access activities in respect of the preceding academic year. The deadline for submission is 28 February 2020. This reporting cycle is transitional and the OfS is only asking for institutions to report on spend (by various categories). However, given the very stretching targets in the 2020/21 to 2024/25 Access & Participation Plan, the School and the Board of Governors need to keep an eye on the direction of travel.

Background

The School's Access Agreement 2018/19 had the following elements:

Access & Outreach

- Assisted places in GYA Division
- Projects delivered by Creative Learning
- Projects delivered by the Access & Participation Officer
- Assisted places at summer schools
- Application fee waivers

Student Success

- Disability support
- Student Funding support

Financial support to students:

- Access (Maintenance) Bursary for care leavers, estranged and independent students on low incomes

Targets and Milestone

- Admissions
- Enrolment
- Retention

During the year we were fortunate to recruit a new Access & Participation Officer, Ashleigh Hope, who has had a very productive year. Unfortunately, we did not have an Access Workshop leader as the role holder took up other duties within the Acting Department. The Secretary & Dean of Students continues to support this work with help from Registry and a HE experienced Head of Access & Participation is being recruited to lead this work for 2020 onwards.

During 2018/19 a significant amount of time and energy was spent preparing for and drafting the new five-year Access & Participation Plan for 2020/21 to 2024/25; mapping previous activity to the various strands and targets groups, reviewing the success or otherwise of past activity, challenging assumptions, and consulting with staff and students. The new Access & Participation Plan provides the School with some significant challenges, not least having to find ways to mitigate against the current short comings in the arts and music education (the latter specifically) within state school primary and secondary education.

Overview

The Office for Students is looking for outputs and impact not inputs. Despite the School's best efforts and some successes, some access activities have not had the desired impact in respect of state school and state-supported applicants and entrants, or in entrants from low participation neighbourhoods or in BAME applicants and entrants. The new five-year plan is more focused and targeted at specific under-represented groups (eg new entrants from POLAR4 postcodes).

Assisted Places

Assisted places at CYM and Junior Guildhall [available to young people from target boroughs and area from low incomes who just fail to meet MDA requirements (London) and to those who are deemed at audition to be able to benefit from a sustained music education]

The purpose of the scheme is to provide long-term sustained teaching to improve technical and performance musical skills, and progression to higher education generally and the Guildhall School in particular.

The assisted places in the regional CYM centres support the centres' overall sustainability by improving the economy of scale. There is, therefore, a wider benefit from these assisted places.

Assisted places provided in 2018/19

Centre	No of recipients	Target recipients	% of recipients progressing to next year of study (excl yr 13s & 14s)*	Total bursary spend (full and partial)†	Notes
CYM London	22	50	88% (15/17)	£79,668	Five Year 13s, four going to higher education including one conservatoire and fifth doing and internship in artic
CYM Norwich	28		63% (17/27)	£16,373	One Year 13, still studying but not in higher education
CYM Taunton	19		79% (15/19)	£16,999	
<i>CYM Summer</i>	3				
CYM Saffron Waldon	4		33% (1/3)	£3,381	One Year 13 going on to higher education
CYM Peterborough	10		100% (10/10)	£4,673	
Junior Guildhall	8		100 (8/8)	£11,981	
<i>Travel bursaries (Taunton)</i>	3	5	33% (1/3)	£455	
TOTALS	94😊 (excludes travel)	51	78.5% (66/84) 😞 [last year 77.5]*	£133,074	

† Fee structures and content and length of programme differ at each centre

Participant characteristics: all participants were financially disadvantaged in some way, 22.5% were from POLAR4 quintiles 1 and 2, 3% declared a disability, and (where stated) 27.8% were from BAME backgrounds.

The **progression target** is 80% (excluding Year 13 leavers and summer school) but with significant drop out in Norwich we have fallen short. Of the 18 participants across all centres who dropped out reasons were:

- A level commitments or too much school work = 6
- Distance to travel = 2
- Changed school = 3
- Moved to Juniors = 1
- Not committed = 3
- Misc = 3

The Access & Participation Officer is working with the regional centres to look at ways to support students thinking of dropping out due to A level commitments. Progression to higher education was pleasingly strong.

Assisted places at Easter and summer schools 2018/19 [available to young people from target boroughs from low incomes]

Short courses offer a taster of what the School has to offer, provide opportunities for improving technical and confidence skills, and can start a relationship to support progression to higher education and the Guildhall School in particular.

Target places: 21 across all Easter and summer school

44 bursaries were awarded to 39 individuals and 37 individuals took up the offer (some individuals did more than one course)

- Pre-16: 26 individuals
- 16-18: 12 individuals
- Adult: 1 individuals

Actual spend: £23,729 (bursaries), £121 (incidentals)

Personal characteristics of those taking up the offer: all recipients were financially disadvantaged in some way, 56.8% were from BAME backgrounds, and 54% from deciles 1-4 areas of IMD (indices of multiple deprivation).

Participants and their families were supported by the Access & Participation Officer and a full evaluation is included in her separate report to SMT and Academic Board; participants indicated a positive impact on their skills development and how the course had helped to supported their progression and reaffirm their interest in the area of study. It is expected that 7

participants will be applying for undergraduate programmes at the School for 2020 entry and all have been offered a supported application.

Outreach projects

Creative Learning

Participants: 2655

Age range mostly 8-11 (exceptions NOYO and work with Sydney Russell School)

Personal characteristics of participants – not known

Total project spend: £44,150 project spend in Creative Learning, plus circa £11,000 contribution from Music Department

Total salary spend: circa £110,000 – exact figures to be finalised

In 2018/19 there were 7 Creative Learning Access projects including Decoda reaching 2655 participants (or which 2000 were part of Decoda, a mass participation activity involving chamber music ensembles working in primary schools). As discussed in the previous year's report whilst Decoda is a worthwhile activity in respect of promotion of the arts it has no impact on applications or new entrants as the participants are too young and the engagement is short lived. This project is being phased out.

An evaluation of the Creative Learning projects was presented to SMT and the Academic Board.

Going forward for the five- year plan, Creative Learning projects will be more targeted and will operate on a commissioning basis (ie the School will commission projects that meet the needs of the School's Access & Participation Plan and the direction of travel towards meeting the various metrics. As GYA is best suited to providing long-term musical training, Creative Learning will be asked to concentrate on the 14 plus age range. We will be looking at ways to link Creative Learning participants to other activities (eg summer schools and supported applications) to ensure a sustained and supported journey of progression.

Acting & Other workshops

With support from the Access & Participation Officer, workshops were held as part of the supported (or free) application scheme. This was in conjunction with established partnership arrangements with Open Door, and Stratford East (and RADA) as well as other open access and transition events.

Acting and transitional workshop: places taken up 43, individual participants circa 34 (with some participants attending more than one activity), direct project costs £ 394.

Additional workshops at Leyton Sixthform College and London Bubble; direct project costs £268

North East Music Project (a leader of an undergraduate brass ensemble went to the Newcastle area with his ensemble to deliver three workshops) supported by Access & Participation Officer
Active participants in workshops: 28 (Sage Gateshead and Ellington Colliery Band), 120 pupils at Emmanuel College (plus attendees at the Q&A at Sage Gateshead)

Cost: £2,921

A participant from Sage Gateshead joined the summer School programme on a bursary and applied to the School for 2020 entry, stronger links between Sage Gateshead and Emmanuel College were forged, as too was a stronger link between Sage Gateshead and the School. A greater interest in taking up a brass instrument in Emmanuel College was reported, and positive improvement in breath technique noted by the Ellington Colliery Band.

Other activities of the Access & Participation Officer included visits and talks to GYA centres (London and Regions), Schools and Career/HE fairs, the provision of free tickets to under-represented groups to the School's productions linked with Q&A sessions or meet-and-greet-sessions, supporting teaching departments in school or similar visits (such as workshops at the Durham Lumiere exhibition), and maintaining and building links with creative partners working with under-represented groups. The Access & Participation Officer was also involved in the creation of a promotional video for the School using Beasts of London which it is hoped will have particular resonance with young people not so familiar with conservatoire education.

The Access & Participation Officer provides significant value for money (circa £67K salary with on costs); as well as the projects above she provides the administration and evaluation for Assisted places scheme, the supported applications (fee waivers) scheme, and the Access Bursary scheme as well as running student consultations.

A full valuation is included in the Access & Participation Officer's separate report to SMT and Academic Board.

Application fee waivers for 2019 entry

Application fee waivers were issued following recommendations from partner schools or youth and community arts groups who had already assessed for low income, eg free school meals, 16-19 bursary, and government benefits.

142 application fee waivers were processed in 2018/19 (below target of 220 ☺) and 120 were taken up as full applications.

Total cost: £7,968

Personal characteristics: where postcode data available, 55% IMD 1-4, 9.3 POLAR4 quintiles 1 and 2. Where ethnicity data available 47% from BAME backgrounds.

Department	Number of applications submitted	2018 entry		Value
		Offers	Acceptances	
Acting	110	9 offers made and 3 reserve	7 accepts (1 from reserve)	£7,150
Music	6	4 offers made	3	£648
Production Arts	3	1 offer made and declined	0	£105
PACE	1			

A full valuation is included in the Access & Participation Officer's separate report to SMT and Academic Board. In 2019/20 for 2020 entry the School has been working towards increasing the number of music applicants in this scheme as it has a strong link to offer and enrolments.

Impact of under-eighteen activity on admissions and entrants 2017 -2019 entry Applications

201 (8.3%) of UK domiciled applicants for 2019 self- declared* a previous engagement with the School (some in more than one capacity) continuing the upward trajectory.

The Summer Schools are having a big impact on applications as too is Junior Guildhall.

	CPD	Creative Learning	Music Summer School	Drama Summer School (incl PA)			CYM	Junior Guildhall
	Previous engagement with the School 2017 entry applicants							
Acting		2	3	59			2	17
PACE								1
Production Arts	2	2	3	9			4	1
BMus		3	36				7	24
Total	2	7	42	68			13	43
	Previous engagement with the School 2018 entry							
Acting		2	3	49			2	9
PACE		1						1
Production Arts	1			3				
BMus		2	31	1			17	22
Total	1	5	34	53			19	32
	Previous engagement with the School 2019 entry							
	CPD	Creative Learning	Music Summer School	Acting summer	Preliminary Acting	PA summer	CYM	Junior Guildhall
Acting	1	3	3	59	46	0	2	9
Production Arts	1	0	0	0	0	2	1	1
BMus	0	3	30	0	0	0	12	28
Total	2	6	33	59	46	2	15	38

**Some applicants involved in more than one activity. Whilst self-declaration is unreliable; applicants can pick the wrong box or forget they attended an activity some years ago, the summer school data is compared to known summer school enrolments. Tracking remains an area for development but will require better data collection at the coal face.*

Entrants

26 (17%) of new UK domiciled entrants in 2019 self-declared a previous engagement with the School (note we can track summer schools and Juniors). This compared favourably with 12.5% for 2018 entry, 17.5% for 2017 entry 15.5% in 2016 and 7.7% in 2015.

The biggest influencer continues to be Junior Guildhall followed by the Music Summer School.

	CPD	Creative Learning	Music Summer School	Drama Summer School (incl PA)			CYM	Junior Guildhall
	Previous engagement with the School 2017 entry							
Acting				2 (2*)				1
PACE								
Production Arts		1 (1*)		1(1*)			1 (1*)	
BMus		1	9 (8*)				2(2*)	13 (8*)
Total	0	2	9	3			3	14
	Previous engagement with the School 2018 entry							
Acting				1				
PACE								
Production Arts								
BMus			11 (7*)	1(1*)			4(2*)	4 (3*)
Total	0	0	11	2			2	4
	Previous engagement with the School 2019 entry							
	CPD	Creative Learning	Music Summer School	Acting summer	Preliminary Acting	PA summer	CYM	Junior Guildhall
Acting	0	0	0	0	0	0	0	0
Production Arts	0	0	1	0	0	2	0	0
BMus	0	1	11	0	0	0	2	10
Total	0	1	11	0	0	2	2	10

** number of state school or state supported entrants where known*

Financial support to students

Access (Maintenance) bursary

This new bursary is aimed at care-leavers, and estranged and independent students on low incomes to support them with the additional living costs associated with being without family support (eg no family home to go to in vacations). Care leavers are prioritised over other applicants.

	Spend	Recipient target	Recipient actual	Award
2017/18	£30,000	6	8 (2 care leavers & 6 independent)	£3,750 each
2018/19	£28,380	8	7 (1 care leaver, 1 estranged and 5 independent)	£4,050 each

Participant characteristics 2018/19: 4 out of 7 had home postcodes within the IMD Deciles 1-4, 5 were mature students on entry.

Success indicators: the final year student completed their programme with first class honours and the rest progressed successfully to their next year of study.

An evaluation strategy has been developed by the Access & Participation Officer for 2019/20.

Targets and Milestones

Admissions (UK domiciled undergraduate entrants)

State and State-supported at independent school (via MDA) 2019 entry

Whilst we are back on an upward trajectory the School is still very behind its target in this area.

	Applications 2019 entry			Applications 2018 entry			2017 entry
Dept	State and state supported	UK domiciled cohort	%	State and state supported	UK domiciled cohort	%	%
Acting	1401	1834	76.4	1422	1911	74	76
Production Arts	103	129	79.8	92	113	81	80
BMus	335	434	77.2	322	457	70	69
Total	1839	2397	76.7	1785 (incl PACE)	2504 (incl PACE)	71 (incl PACE)	75
		Target	89		Target	88	87

BAME 2019 entry

UK applicants from Black Minority Ethnic have increased and we are above target. However, on a programme basis Production Arts is the area that requires particular attention.

Applications 2019 entry				Applications 2018 entry			
Dept	BAME	UK domiciled cohort*	%	BAME	UK domiciled cohort*	%	%
Acting	261	1863	16.3	263	1907	14	15
Production Arts	10	130	7.7	5	113	4	6
BMus	64	436	17.2	68	453	15	14
Total	335	2429	16	352 (incl PACE)	2496 (incl PACE)	14.1 (incl PACE)	14.7
		Target	13.3		Target	13.2	13.1

* Excludes "information refused"

Enrolment (UK domiciled undergraduate entrants)

State and State-supported at independent school (via MDA) 2019 entry

Whilst there has been some improvement, the School is still behind this target. Music is the biggest cohort and this is the difficult area where a decline in music provision in state education most impacts entrants to the School.

New Entrants				Entrants 2018			2017
Dept	State and state supported*	UK domiciled cohort*	%	State and state supported	UK domiciled cohort	%	%
Acting	16	19	84.2	17	23	74	65
Production Arts	36	44	81.8	29	36	80	84
BMus	65	88	73.9	48+13 (MDA)	85	72	72
Total	117	151	77.5	113 (incl PACE)	151 (incl PACE)	75	75
		Target	80		Target	79	78

* Excludes entrants with previous HE experience

BAME 2019 entry

Despite being above target for two years running, in 2019 entry we have fallen behind, possibly due to the loss of the PACE programme which had a diverse enrolment. Productions Arts and Music both need to improve on the proportion of applicants from BAME backgrounds which should help improve their offers and enrolments, with Music needing to look at the proportion of offers made to BAME applicants and any drop out prior to enrolment.

	Entrants 2019			Entrants 2018			2017
Dept	BAME	UK domiciled cohort	%	BAME	UK domiciled cohort	%	%*
Acting	8	19	42.1	9	23	39	35
Production Arts	3	44	6.8	2	36	6	6
BMus	10	89	11.2	7	85	8	16
Total	21	152	13.8	22 (incl PACE)	151 (incl PACE)	14.6 (incl PACE)	18.2
		19	13.9		Target	13.8	13.7

* Excludes "information refused"

New entrants from low participation neighbourhoods (POLAR 3)

The participation of local areas (POLAR) classification groups areas across the UK based on the proportion of the young population that participates in higher education. POLAR classifies local areas into five groups - or quintiles - based on the proportion of 18 year olds who enter higher education aged 18 or 19 years old. Quintile one shows the lowest rate of participation. Quintile five shows the highest rate of participation.

New UK entrants from low participating neighbourhoods under POLAR 3 methodology improved from 2.5% (2016/17) to 5% for 2017/18 against a target of 9.6% and a benchmark of 10.4.

The School's outreach activity (Creative Learning & Assisted places and application fee waivers) has to date primarily been focussed on East London boroughs. Whilst, the postcodes in these areas often have multiple indices of deprivation, surprisingly they do better for participation in higher education than areas similarly deprived in other areas of the county. Going forward the School is expanding its reach to work with under-represented groups outside of London and it actively monitoring participants in its Access activities by IMD and POLAR4 methodologies where ever possible. From 2020 onwards Creative Learning will also be required to monitor its participants in Access activities in this way.

Retention into year 2

All UK domiciled entrants from year 1 in 2018/19 progressing to year 2 in 2019/18 target 92% actual **95.4%** 😊 (2017= 96.6%, 2016= 94.9, 2015= 92.5, 2014= 92.5%, 2013=95.3%)

UK domiciled BAME retention target 92%, **actual 92%** 😊 [note just 2 students not progressing]

(2017+ 92.3%)2016 = 94.7, 2015= 100, 2014= 88.9%, 2013=87.5%). However, white progression rate is 95.4% and the OfS requires institutions to be mindful of differentials even when small numbers are involved.

UK domiciled entrants in 2018/19 declaring a disability had a 97.5% retention rate compared with 94.1 for those with no declared disability. (2017 =95.5%, 2016 =90.0, 2015= 92.3, 2014=93.4%, 2013=93.1%)

Summary

There was a mixed performance against milestones and access remains the School's primary concern and focus. However, retention of students (and going forward from 2020 onwards the attainment of students) will need to be monitored and activities adjusted to meet needs and (hopefully) a changing demographic.

KML/February 2020

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Agenda Item 11

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Committees: Corporate Projects Board - for information Projects Sub for decision Guildhall School of Music & Drama Board for decision	Dates: 13 January 2020 27 January 2020 17 th February 2020
Subject: General electrical and dimmer installation Unique Project Identifier: Project Vision ID 11772	Gateway 6: Outcome Report Light
Report of: Guildhall School of Music and Drama Report Author: Hannah Bibbins	For Decision
PUBLIC	

Summary

1. Status update	Project Description: The project was to replace the general electrical installation in the Silk Street theatre, including the house, emergency lighting and dimmer racks. RAG Status: Green Risk Status: Low Costed Risk Provision Utilised: Not applicable as project commenced before current Project Management arrangements Final Outturn Cost: 495,837
2. Next steps and requested decisions	Requested Decisions: That the contents of the report are noted and the project closed.
3. Key conclusions	The objective of this project was to complete the renewal of the small power and general lighting in the Silk Street theatre and

v.April 2019

	<p>replace the dimmer system for the lighting. The opportunity was taken to integrate the emergency lighting and battery back-up into the dimmer controls.</p> <p>The resultant system offers a low energy, flexible and more controllable option and allows the students access to the best of the current industry standard.</p> <p>The project was delivered on time, with a slight increase on the original budget (£13,221) arising from a number of variations found to be necessary on site.</p>
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Main Report

Design & Delivery Review

4. Design into delivery	The design was appropriate to the technical and operational information available related to the School.
5. Options appraisal	Initially it had been intended that the general electrical and the specialist dimmer works be procured and executed separately for operational reasons. However, ultimately it was decided, following a detailed investigation the most effective way to control risk and deliver the project, was for a single contractor to deliver the combined works. This proved to be correct as the experienced specialist contractor was able to deal the very difficult timescale and site conditions and provide speedy solutions to technical issues.
6. Procurement route	This project was procured by traditional tender. Some difficulties were experienced in obtaining competitive tenders as the pool of specialist contractors with suitable experience in theatre work is limited.
7. Skills base	The project was delivered with the assistance of external specialist theatre consultants as the level of expertise or resourcing, needed for this type of project is not available in-house
8. Stakeholders	The School's in-house theatre team played an active part in the evaluation of the proposed systems and in the pre-contract investigation works. A watching brief was also maintained throughout the project.

Variation Review

v.April 2019

9. Assessment of project against key milestones	<p>The key milestones at G5 were listed as: Contract award Feb 2017 Design development Feb 17 Specialist engineering March 17 On site July – Sept 2017</p> <p>Actual dates achieved: Order placed 9th March 2017 Period for design development and order of specialist materials during lead-in period Feb to March 2017 The project commenced on site on 17th July 2017. Practical completion was achieved on 17th September 2017 The contract period on site was as originally planned and the project completed on time</p>
10. Assessment of project against Scope	<p>The tender documents were drafted to deliver the School's objectives as fully as possible given the lack of access, due to School operations, for pre contract inspection. With some minor exceptions the finished project was delivered within the original scope.</p>
11. Risks and issues	<p>This project was carried out prior to the introduction of CRP. The highest risk was the very limited access available for investigation prior to tender and the limited and rigid period available to execute the works. This was managed by the use of experienced specialist consultants and contractors and the extensive local knowledge of the in-house team.</p> <p>To a degree this can also be managed by providing an additional cost assessment based on measures such as out of hours and non- productive working or increased labour force.</p>
12. Transition to BAU	<p>The School remained in operation throughout the whole project.</p>

Value Review

13. Budget	<table> <tr> <td data-bbox="512 1738 799 1955"> Estimated Outturn Cost (G2) </td><td data-bbox="799 1738 1386 1955"> Estimated cost £470,360 (feasibility fees of £7,7000 were shown separately) was included in the 'capital cap' budget (issue report for combined project 23rd Nov 2016) ** </td></tr> </table>	Estimated Outturn Cost (G2)	Estimated cost £470,360 (feasibility fees of £7,7000 were shown separately) was included in the 'capital cap' budget (issue report for combined project 23 rd Nov 2016) **
Estimated Outturn Cost (G2)	Estimated cost £470,360 (feasibility fees of £7,7000 were shown separately) was included in the 'capital cap' budget (issue report for combined project 23 rd Nov 2016) **		

v. April 2019

		At Authority to Start work (G5)	Final Outturn Cost
	Fees *	£58,060	£54,760
	Staff Costs (see note below)		
	Works	424,558.33	441,079
	Costed Risk Provision **		
	Total	£482,618	£ 495,839
	<p>*Including feasibility fees (£7,700)</p> <p>** The costed risk arrangements were not in place at the time of this project. However, members were advised in the issue report that was approved in November 2016, that + 10% (£40,000) tolerance should be assumed in the estimated works cost. This was to take account of the risks associated with the limited contract period and the volatile tender market for works of this nature at this time.</p> <p>To note:</p> <ul style="list-style-type: none"> Staff Costs were not separately identified but included under the global provision included in the Capital Cap arrangements <p>Please confirm whether or not the Final Account for this project has been verified.</p> <p>The account has not been verified</p>		
14. Investment	Not Applicable		
15. Assessment of project against SMART objectives	The original objectives of the project were to carry out the necessary renewal of the general electrical installation, and deliver a new integrated house lighting system to the best current industry standard. It was to incorporate emergency lighting and increased programming controls. These objectives were met and energy reduction, increased flexibility and control also resulted.		
16. Key benefits realised	The new integrated system has greater flexibility and control, with a reduced amount of cable and energy consumption. Feedback from staff and students has been positive.		

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Lessons Learned and Recommendations

17. Positive reflections	A specialist theatre consultant and experienced contractor made the delivery of this project possible within extremely tight parameters.
18. Improvement reflections	There is a continuing conflict between the teaching and operational needs of the School and the availability of time to carry out maintenance and improvements. Time pressure makes it difficult to achieve best value. However, improvements have been made to programme in access requirements and the aim is to review this further.
19. Sharing best practice	The issues outlined above are shared at the School's senior management team and operational meetings.
20. AOB	None

Appendices

Appendix 1	Project Coversheet
Appendix 2	
Appendix 3	

Contact

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Telephone Number	020 7382 2369

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Project Coversheet

[1] Ownership

Unique Project Identifier:11772

Core Project Name: General Electrical and Dimmer Installation

Programme Affiliation (if applicable):

Project Manager: Hannah Bibbins

Next Gateway to be passed: Gateway 5

[2] Project Brief

Project Description: Renewal of general electrical and dimmer installation

Definition of need: To replace time expired electrical installation, including upgrading to current standards.

Measures of success: Installation will be complete and Silk Street theatre available for re-occupation September 2017

[3] Progress Status

Expected timeframe for the project delivery: On site between July and September 2017

Key Milestones:

Procurement December 2016

Gateway February 2017

On site July to September 2017

Are we on track for completing the project against the expected timeframe for project delivery? Yes

Has this project generated public or media impact and response which the City of London has needed to manage or is managing?

No

[4] Finance and Costed Risk

Headline Financial, Scope and Design Changes:

Since 'Project Briefing' G2 report:

Original G2 reports for two separate projects. The projects were combined in an issue report approved in November 2016 with the estimated cost as below

- Total Estimated Cost (including risk): £470,360 (plus £7,700 feasibility fees)
- Costed Risk Against the Project: N/A but 10% (£40k) on works costs included in the issue report against risk of very limited access and volatile tender conditions.

Since 'Project Proposal' G1 and 2 report (PSC Approval March 2016 for two separate projects):

Combined Gateway 1 and 2 issue report as above approved June 2016

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<i>Scope/Design Change and Impact:</i>		
Since N/A		
Since 'Authority to start Work' G5* report : Approved Project Sub 17th February 2017		
<ul style="list-style-type: none"> Total Estimated Cost (including risk): £482,618 Resources to reach next Gateway (including risk) 0 Spend to date: £30,360 Costed Risk Against the Project: N/A 		
Total anticipated on-going commitment post-delivery N/A		
<i>Risk description</i>		
Top issue realised		
<i>Issue Description</i>	<i>Impact and action taken</i>	<i>Realised Cost</i>
Additional works	Chief Officer approved increase in contract sum	£13,221 (Final project cost £495,839)
[5] Member Decisions and Delegated Authority		

Committee:	Date:
Board of Governors of Guildhall School of Music and Drama	17 th February 2020
Subject:	Public
Report of Urgent Action Taken Between Meetings	
Report of:	
Town Clerk	
Report Author:	For Information
Julie Mayer	

Summary

In accordance with Standing Order 41, this report provides Members with the details of decisions taken by the Town Clerk, in consultation with the Chairman and Deputy Chairman of the Board and the Committee. The Board meeting scheduled for 25 November 2019 was inquorate and it was not possible for any decisions to be taken.

Recommendation

That the contents of the report be noted.

Main Report

Standing Order 41(a) provides a mechanism for decisions to be taken between scheduled meetings, where in the opinion of the Town Clerk, it is urgently necessary for a decision to be made. The decisions are taken in consultation with the Chairman and Deputy Chairman of the Sub Committee. The Board meeting scheduled for 25 November 2019 was inquorate and it was not possible for any decisions to be taken. Governors agreed, however, that they should discuss items on the agenda for that day and that the Town Clerk consider approving a number of recommendations before the Board under urgency procedures, as set out below.

REASON FOR URGENCY:

The Board of Governors was not scheduled to meet again until 17 February 2020 and a number of the decisions on the agenda were time critical to ensure:

- a) compliance with OfS statutory requirements (Items 25 and 26);
- b) submission of budgets and business plans for FY 2020/21 (Items 11, 23, 24, 32 and 36a);
- c) academic assurances and strategies were in place and understood by staff, students and the OfS (Items 8b, 8c, 9 and 22);
- d) a waiver was approved in preparation for a project start date of 1 March 2020 (Item 33); and
- e) updated governance is in place for the co-option of Members of the Board when vacancies arise (Item 12).

NB: Decisions taken in respect of Items 22-30 are set out in the Non-Public version of this report

Decisions on the Public Agenda for 25th November 2019 – Action Taken by the Town Clerk, in Consultation with the Chairman and Deputy Chairman:

Item 8b – Academic Assurances Working Group Report and Recommendation

1. The Principal be authorised to sign off academic assurances on behalf of the Board, based on the evidence presented, should these be required by the Office for Students.
2. The Board of Governors should receive themed in-depth reports on academic matters on a regular basis.
3. The Academic Assurance Working Group reframe its future report to map the relevant ongoing conditions of registration.

Item 8c – Programme closure of the BA in Performance and Creative Enterprise

The BA in Performance & Creative Enterprise Programme be closed.

Item 9 – Guildhall School International Strategy

The two-phase approach of the Strategy be endorsed.

Item 11 – Remuneration Annual Statement

The Remuneration Annual Report set out in the main report be approved.

Item 12 – Recruitment Strategy Document for Co-Opted Members of the Board and its Committees

The strategy for immediate adoption and the advertising of co-opted member vacancies be approved.

Julie Mayer

Town Clerk's Department

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