

Code of Practice

Institution name: Courtauld Institute of Art

Date of submission: August 2026

Part 1: Introduction

Robustness – Explain how the policies and processes set out in the CoP ensure that contracts identified as contributing to the volume measure reliably reflect the responsibilities of staff.

The [Courtauld's REF2021 Code of Practice](#) (see Appendix A) outlined the designation of research responsibilities; we have continued to adhere to these principles, while consistently reviewing their appropriateness and efficacy in light of changing institutional strategy, priorities, and needs and to ensure transparency and equity across all policies and processes that might influence research responsibilities of staff.

Our submission profile is intended to reflect the range and diversity of research and researchers at the Courtauld, favouring inclusion rather than exclusion. As in REF2021, we will submit 100% of our 'Teaching and Research' contracts (ACEMPFUN 3) in the HESA staff record. Eligible staff are defined as having a contract of employment of 0.2 FTE or greater, on the payroll of the Courtauld, and whose primary employment function is to undertake teaching and research.

We will submit 100% of staff whose contracts qualify for 'Research, Innovation and Knowledge Exchange only' (ACEMPFUN 2) contracts where the staff member holds an independently won, competitively awarded fellowship requiring research independence to deliver a project of their own design, is named as a co-applicant on an externally funded research grant/award, or has had significant input into the design, conduct and interpretation of the research; and 6 curatorial staff of the Courtauld Gallery whose roles entail a substantial responsibility for independent research.

The Research Office compiles a list of all eligible SRR and RI staff using data generated by our HR records and the HESA returns, which confirms the data in retrospect.

The research status of new staff is assessed upon joining, according to the criteria outlined above. New staff on eligible contracts meet with the Dean for Research and the Head of Research Development and Management to discuss their role and activities against the indicators and criteria.

Transparency – Detail how the CoP is communicated to all staff, including those on leave of absence or based outside the UK. Ensure accessibility by providing information in various formats and through appropriate channels. Highlight any additional resources (FAQs, web pages) to support staff understanding. An up-to-date version of the CoP should be published and available externally.

This Code of Practice reflects policies and practices that have been in place since 2019 and those that have been developed since, in line with the Courtauld Research Strategy 2024-29; it is a living document informed by staged consultation with all staff, as follows:

The first review of the draft REF2026 CoP was undertaken by Research Committee (RC) (see Appendix B), Heads of Department and REF Working Group (Autumn 2025) (see Appendix C). Following revisions by the Impact, Knowledge Exchange and Evaluation Manager, a second version was circulated to REF Working Group and RC via email (November 2025). Following collective consultation and amendments, the CoP was shared on the Courtauld's internal Research Hub (March 2026) and circulated to all members of Academic Board (AB), and to key institutional stakeholders including Director of Governance, Head of People, EDI Group, Student Union President, and Director.

We ensured wide consultation and accessibility in the following ways:

- The CoP was circulated via email, is hosted online on the internal Research Hub, and will be published and available externally via the Research pages of the Courtauld website.
- Staff on leave or sabbatical were included in emails concerning the CoP and given the opportunity to meet individually with the Dean for Research upon returning to work.
- Regular information sessions, annual research best practice sessions, and research updates to termly departmental meetings and Academic Board meetings disseminate information on REF2029 including the CoP and provide the opportunity to ask questions and seek clarification. Training sessions are recorded and published on the Research Hub.
- When there are significant changes or updates to the CoP (e.g. where an EIA reveals potential for differential impacts), the Dean for Research and Research Office will communicate these to all staff, including those on extended periods of leave and sabbaticals.

Equity and inclusion – Explain how decisions about submissions are fair and impartial supporting a diversity of people and research, where diverse contributions are valued and supported.

Decisions about submissions are made in line with the Courtauld's [Equality, Diversity and Inclusion Policy](#) (see Appendix D) and our commitment to a healthy and equitable research environment.

We support diversity of people conducting research in the following ways:

- Staff with SRR undertake an annual research development review meeting to discuss research plans and priorities, expectations and REF, and available support. Bespoke support is given where SRR staff are identified as facing challenges.
- Research is built into workload allocation and performance development review.
- Sabbatical plans are now reviewed by Research Committee in spring prior to the academic year in which the sabbatical is taken. This new process launched in 2024 to offer support and guidance for staff in producing workplans for research and protecting their research time. Feedback is given to all staff.
- Internal competitive funding schemes were run in 2024/25 and 2025/26 to support research activity carried out by Academic-Related and Professional Services (ARPS) staff.
- To reflect the REF focus on supporting outputs from a diverse pool of staff, we invited research-enabling staff to self-nominate outputs for consideration for submission, with the caveat that this is not an expectation, nor will have any positive or negative impact on their career trajectories. The outputs will be assessed according to the guidelines laid out below.

We support diversity of research practice and outcomes in the following ways:

- Non-Traditional Outputs (NTOs) are encouraged, and practice-based and practice-led research is recognised and supported in our resourcing and internal assessment mechanisms. Targeted training supports the capture of practice-led research and documenting NTOs for REF. Alongside this the language of practice-based research is integrated into research development and performance review mechanisms.
- In May 2024, a new mapping exercise of all projects undertaken by faculty across the Courtauld was undertaken by the Impact, Knowledge Exchange and Evaluation Manager to surface research impact and KE activity and outcomes. Regular in person and online meeting

REF 2029

Research Excellence Framework

and training sessions were offered to all staff interested in developing impactful research (beyond those developing impact case studies) and will continue throughout the cycle.

- REF internal assessment and submission decisions adopt a format-blind and venue-agnostic approach, in recognition that researchers at the Courtauld produce outputs across a variety of types and categories.

Contextualisation within Institutional Policies: Describe how this Code of Practice relates to your institution's context on equality, diversity, and inclusion, PCE and responsible research assessment.

The CoP connects to the Courtauld's [Equality, Diversity and Inclusion Policy](#) (see Appendix D) Courtauld EDI strategy and work is overseen by the EDI Steering Group, chaired by the Director of Governance. EIAs that have informed the CoP have in turn informed institutional priorities and decision-making at department and SMT level.

The CoP aligns with the Courtauld's [Research Ethics Policy](#) (see Appendix E) and its Statement on Research Integrity (see Appendix F), which outline expected research values, practices, and behaviours for researchers at all levels. Research Ethics and Integrity is overseen by the Dean for Research.

The activity and processes outlined in the CoP are embedded in people developmental structures that support Courtauld researchers, including Professional Development Review procedures, faculty mentoring initiative, and Research Development Review process.

Staff involved in REF2029 preparation, assessment and decision-making must undertake regular mandated training in EDI and unconscious bias; bullying and harassment; and research integrity.

Update on Actions Since REF 2021: Summarise key actions taken since REF 2021 to address issues or recommendations from previous EIAs.

As part of the Courtauld's commitment to implement good practice, create and support a healthy research environment, reduce and mitigate bias in our processes and ensure an equitable approach to research assessment. Substantial changes have been implemented since REF2021 (for final REF2021 EIA, see Appendix G).

Actions as of Spring 2026

The Courtauld has instigated a continuous internal review of outputs throughout the REF assessment period, to better support staff development and staff planning and as a training exercise for academic faculty in reviewing the work of their peers.

The right to sabbatical has been extended to Gallery curators with SRR; previously the policy applied only to Faculty on T&R contracts. This change reflects a recognition of the extensive administrative commitments for curatorial staff, and of the need to provide equivalent research leave to Faculty.

Our post-REF2021 analysis highlighted a discrepancy in sabbatical entitlement between the Courtauld's two academic departments. Sabbatical entitlement was introduced for Conservation faculty in 2024 along with additional coaching support for long-serving faculty undertaking their first sabbatical. The implementation of this policy part-way through the REF cycle was mitigated by inviting eligible staff to apply for a double sabbatical in the first instance and offering enhanced training in practice-led research and writing coaching.

REF 2029

Research Excellence Framework

Academic leadership for research has been strengthened and embedded at the highest level of the organisation. For REF2021, the academic leadership role was Head of Research, reporting to the Dean and Deputy Director. In 2022, this role was transformed into the Vice Dean for Research, which was recruited to externally, weighted 0.2 FTE, still reporting to the Dean and Deputy Director. In 2023 the role was further revised to Dean for Research, weighted 0.4 FTE, reporting to the Director and sitting on the Senior Management Team (SMT).
The Courtauld created a new role of Director of Governance in 2024, expanded to Director of Governance and Student Services in 2025. This full-time role reports to the Director and is a member of the Senior Management Team, embedding governance at the highest level of the organisation, and supporting strategic developments in relation to EDI and best practice across institutional functions.
Significant changes have been made to the size and shape of the Research Office, to strengthen research development and support, including: an increased remit and seniority for the department lead (formerly Research Manager, since 2025 Head of Research Development and Management); creation of a new role Impact, Knowledge Exchange and Evaluation Manager (from 2024); creation of a new PT role Research Policy and Compliance Manager (0.4FTE, from 2026); creation of a new role Research Officer (from 2026). These changes increase the Research Office from 1.0FTE at REF2021 to 3.1FTE as of 2026.
A REF Working Group was formed in 2024 (see Appendix F). This is a responsive group chaired by the Dean for Research. The group monitors the REF timeline, feeds back on strategic planning, reviews policies for output and impact case study selection and communicating REF developments to the wider academic community.
The Courtauld now has a dedicated internal information site for all research communications (the Research Hub) including information about REF.
The Research Office runs REF Days tri-annually with Heads of Department and the Dean for Research to support the coordination and implementation for the exercise.
Final updates will be reported in the SPRE returns for REF 2029.

Part 2: Identifying Staff Contracts with Significant Responsibility for Research (SRR)

2.1 Policies and Procedures

- **Criteria and Evidence:** Clearly outline criteria and evidence used to assess SRR.
- **Decision-Making and Communication:** Describe the process, roles, and timelines.

We will submit 100% of our 'teaching and research' (ACEMPFUN 3) contracts, which are identified as having significant responsibility for research in the HESA staff record. Eligible staff are defined as staff with a contract of employment of 0.2 FTE or greater, on the payroll of the Courtauld, and whose primary employment function is 'teaching and research'.

We will submit 100% of staff whose contracts qualify for 'Research, Innovation and Knowledge Exchange only' (ACEMPFUN 2) contracts where the staff member holds an independently won, competitively awarded fellowship requiring research independence to deliver a project of their own design, is named as a co-applicant on an externally funded research grant/award, or has had significant input into the design, conduct and interpretation of the research.

We will submit 6 curatorial staff of the Courtauld Gallery (on ACEMPFUN 2 or 3 contracts) whose roles entail a substantial responsibility for independent research, as outlined in their job contract.

Monitoring of research independence is overseen by the Dean for Research and Research Office. The Research Office compile a list of all eligible staff using data generated by our HR records and the HESA returns, which confirms the data in retrospect. The research status of new staff is assessed upon joining, according to the criteria outlined above. New staff on eligible contracts meet with the Dean for Research and the Head of Research Development and Management to discuss their role and activities against the indicators and criteria.

SRR and RI staff members will be informed of their inclusion in the REF volume measure and their output eligibility via email on 1 May 2026. Research adjacent staff will be informed that their outputs will be eligible for inclusion but will not be included in our volume measure on 1 May 2026. They will also be invited to self-nominate eligible outputs to the pool for submission, with an explicit statement that the production of research outputs for REF is not required or expected nor will it have any impact on their career trajectory. The process for the selection of outputs (see below) will be communicated to all staff.

2.2 Staff, Committees, and Training

- **Roles and Responsibilities:** Define roles and responsibilities of individuals and committees, distinguishing between advisory and decision-making roles.
- **Training:** Detail training provided.

Roles and Responsibilities:

Decisions in SRR are determined at contract level before recruitment. Roles that have SRR are proposed via business case by Heads of Department, discussed at Academic Board in an advisory capacity, and approved by SMT.

Staff may apply to move from teaching-only to teaching and research contracts via the Academic Promotions process. These applications are considered annually at the Academic and Curatorial Promotions Committee, which reports to the Courtauld's Governing Board.

Research Committee and REF Working Group (both chaired by Dean for Research) have no decision-making role in assigning SRR or RI, beyond setting out and approving the processes in this CoP.

Training:

All Courtauld staff are required to complete regular mandatory training, including: Sexual Harassment Awareness; Prevent Duty, Bullying and Harassment; EDI, Anti-bribery, GDPR. Tackling Harassment and Sexual Misconduct was introduced as mandatory training in 2025.

All staff with SRR, PGRs and research-enabling staff (broadly defined, to include all involved in supporting and decision-making relating to research staff) are required to complete UKRIO's *Introduction to Research Integrity*.

All staff are invited to participate in regular meetings of the Courtauld's Decolonising Action Groups, facilitated by the Research Forum.

2.3 Appeals

- Clearly outline how staff can appeal decisions about SRR, with appropriate links and contact details.

All staff members have the right to appeal the decision concerning their eligibility for SRR or RI and thus their submission to REF2029. Staff on Teaching and Scholarship (T&S) contracts also have the right to apply for a change to a Teaching and Research (T&R) contract via the Academic and Curatorial Promotions process (see Introduction for information). Appeals from staff will only be considered in respect of staff eligibility decisions. Appeals will not consider which outputs have been allocated to a staff member or the number of outputs submitted connected with a staff member.

- Appeals against SRR and RI decisions can be made to the Dean for Research any time during the appeals window from May-June. A sub-group of the Courtauld's Academic and Curatorial Promotions Committee consisting of two internal faculty members and one external, advised by the Head of People - will meet and consider any appeals in July.
- Ad-hoc cases will be considered at later dates in the case of any staff on long-term leave (e.g. parental leave, sickness absence) during the dedicated window. If a staff member wishes to appeal an eligibility decision after this had been communicated, they will do so by informing the Dean for Research by email. This will be extended until end of August.
- The appeals process will be published on the internal [Research Hub](#), and the Dean for Research and Head of Research Development and Management will remind all staff of the availability of the appeals mechanism during the regular REF update at Academic Board meetings and via email.

Equality Impact Assessment Integration: Demonstrate how EIA informed the selection of outputs and policy/procedure development. Provide information on data, findings, and actions taken.

See Identifying SRR/RI Contracts Equality Impact Assessment in Appendix H.

Part 3: Determining Research Independence

3.1 Policies and Procedures

- **Criteria and Evidence:** Clearly outline criteria and evidence used to assess research independence, particularly for 'research only' (ACEMPFUN 2) contracts.
- **Decision-Making and Communication:** Describe the process, roles, and timelines.

Staff on teaching and research (ACEMPFUN 3) contracts have independence to design their research questions, methods, projects, and trajectory.

We will submit 100% of staff whose contracts qualify for 'research only' (ACEMPFUN 2) where the staff member holds an independently won, competitively awarded fellowship requiring research independence to deliver a project of their own design, is named as a co-applicant on an externally funded research grant/award or has had significant input into the design, conduct and interpretation of the research.

To authentically represent the particular culture of our institution, our submission will include Courtauld Gallery curators whose roles entail a substantial responsibility for independent research. Our process for determining RI aligns with REF2029's criteria.

The following criteria apply to all staff on 'teaching and research' contracts and 'research only' contracts:

'Explicit time and resources are made available'

- Typically have 0.4 FTE allocated to research in their workload model (pro-rated for part-time staff and adjusted in the case of 4 faculty to accommodate senior administrative roles).
- Are entitled to an extended period of research leave in the form of a sabbatical.
- Have access to an annual, personal research fund of £2,000 (pro-rated for part time staff).
- Are eligible to apply to the Research Committee for internal funding to support their research activities (c.£20k available annually).

'To engage actively in independent research':

- Are eligible to apply for external research funding as the lead or co-applicant (subject to eligibility criteria of the funder);
- Are eligible to join, propose and lead research clusters within the institution.

'Research is an expectation of the job role':

- Current research responsibilities as indicated in, for example, career pathways or stated objectives;
- Expectations of research by role as indicated in, for example, job descriptions and professional development review (PDR) mechanisms.
- Will have Annual Research Review meetings and consider their job role and activities against the above indicators and criteria.

3.2 Staff, Committees, and Training

- **Roles and Responsibilities:** Define roles and responsibilities of individuals and committees, distinguishing between advisory and decision-making roles.
- **Training:** Detail training provided.

See training outlined above in Section 2.

3.3 Appeals:

- o Clearly outline how staff can appeal decisions about research independence, with appropriate links and contact details.

The appeals process for Research Independence will follow the same process as outlined above for SRR (Section 2.3).

Equality Impact Assessment Integration: Demonstrate how EIA informed the selection of outputs and policy/procedure development. Provide information on data, findings, and actions taken.

See Identifying SRR/RI Contracts Equality Impact Assessment in Appendix H.

Part 4: Allocating Contracts to UoAs

4.1 Policies and Procedures

- **Criteria and Evidence:** Clearly outline criteria and evidence used to allocate contracts to UoAs.
- **Decision making and communication:** Describe the process, roles and timeline

As a small specialist institution submitting 100% of its research staff to REF, the Courtauld will make a single submission to Panel D, UOA32 - Art and Design: History, Practice and Theory. This approach is consistent with REF2014 and REF2021. The Head of Conservation was consulted with regards to the possibility of a split submission in Autumn 2024, but it was determined that a single unit of submission, with outputs cross-referred to different relevant panels as appropriate, remains the best approach.

4.2 Staff, Committees, and Training

Please refer to Part 2 of this document.

4.3 Equality Impact Assessment (EIA):

N/A

Part 5: Selecting outputs

5.1 Policies and Procedures:

Identifying substantive link to outputs: substantive link to outputs will be demonstrated by an eligible employment relationship with the Courtauld, defined as:

- a minimum of 0.2 FTE for at least 12 months continuous employment by the Courtauld
- Inclusion of an explicit expectation of research activity in the role description.

All staff with SRR are required to log and deposit research outputs on the Courtauld's institutional research repository, Pure. Publication dates are cross-checked with employment dates to confirm employment link.

Substantive link via former staff: for staff retiring mid-cycle or leaving following the end of a fixed term contract (e.g. postdoctoral research fellows), end of employment dates are recorded, with outputs in train during employment tracked to ensure compliance with REF2029 publication windows and to confirm that the research was substantially supported by the Courtauld. These will be assessed on merit and in the context of a desired output portfolio that balances representation across the REF cycle. There has been no compulsory redundancy (except to end fixed term contracts), voluntary redundancy or severance at the Courtauld during the REF2029 cycle.

Assigning outputs to UoAs: the Courtauld will submit only to UOA32. Internal output review mechanisms include identifying where outputs should be cross-referred to different relevant panels.

Procedures for supporting diversity of outputs: internal output review groups include representation from the Courtauld's three departments and broad geographical and period expertise. Internal review guidance and decision-making is format-agnostic in evaluating research across REF2029 output categories. To ensure outputs submitted in British Sign Language, Welsh and other recognised languages, including Scottish Gaelic, Scots, Ulster Scots, Irish and Irish Sign Language are not treated less favourably in output selection and to avoid language-related exclusion or bias that breaks equality law, any outputs proposed for inclusion in these languages will be assessed by external language specialists in their original form. Reviewers with BSL or Welsh language expertise will be assigned to assess the outputs without translation or interpretation and offer feedback to the Research Committee based on the quality of the outputs using the REF indicators of quality - originality, significance, rigour. Other non-English language outputs are included in internal review mechanisms where language expertise exists, with external reviewers being sought where needed.

Our output pool will include NTOs in the form of exhibitions, practice-led and practice-based research portfolios, and research data sets to reflect the diversity of research across the organisation. In addition to outputs produced by SRR staff, in order to recognise research contributions by staff in a variety of roles within the organisation, we will consider submission of outputs produced by other staff whose role descriptor includes an explicit expectation of research activity (in line with the REF definition of research), in line with the REF guidance.

Ensuring that submitted outputs reflect research strategies and structures, the diversity of research outputs, and contributions, collaborations and partnerships, and research strategies: We will prioritise excellence (per REF guidance), prioritising 4* outputs. The Research Office will

develop a map of ideal unit coverage, taking into account department size and shape, research centres and clusters, collaborations, etc. This will be mapped against our output pool only after outputs have been assessed anonymously, with the following criteria applied to ensure a balanced and representative portfolio:

- The number of outputs contributed by the three departments with SRR staff relative to headcount, and alongside contributions to Impact Case Studies.
- The number of outputs contributed by staff at different career stages relative to the composition of our research community.
- Research clusters and centres.
- Research collaborations and partnerships.

We anticipate submitting all outputs assessed as 4* in our internal review and will select those assessed at 3* (or lower) using these indicators.

Policies and procedures: outputs will be internally and externally assessed for originality, significance, and rigour, and alignment with Research Strategy and institutional profile. These reviews are coordinated by the Research Office via the following process:

- All staff with SRR were invited to self-nominate outputs for internal review in Autumn 2024.
- The Library and Research Office undertook the first Open Access (OA) eligibility check, with new outputs assessed for OA compliance on a rolling basis.
- Anonymised and confidential internal output review commenced in Summer 2025 by members of faculty and Gallery curatorial staff with SRR. Outputs were reviewed by two reviewers. Thereafter bi-annual internal output reviews have been held.
- In March 2026, three external reviewers were appointed to perform a calibration check of our internal output review outcomes. Reviewers will take part in a closed discussion with the Dean for Research and Impact, Knowledge Exchange and Evaluation Manager to provide feedback on the outputs and the process.
- Final decisions on the outputs that will be included in our submission will be made by the Dean for Research and Research Office, in consultation with the REF Working Group as needed, and ratified by the Research Committee.
- Faculty members can request to discuss their feedback by contacting the Research Office.
- Mitigating circumstances process to be launched in 2027 in discussion with the Dean for Research, Head of People, and the Director of Governance and Student Services.

Responsible research assessment practice

The processes above are designed to mitigate bias and to reduce detrimental impact of research assessment on staff wellbeing and research community cohesion. Assessment is made on the strength of the research output not the identity of the researcher. To minimise over-reliance on metrics or conventions that may structurally exclude some groups, we will not use citation metrics or publication venues as part of our criteria for selection. The Courtauld does not have formal expectations of how many outputs will be submitted to REF by any member of staff. Output submission decisions are uncoupled from reward and recognition processes. The results of internal and external peer review will not be shared with staff, and we will not circulate a list of our output pool to staff beyond the groups outlined below.

5.2 Staff, Committees, and Training:

REF 2029

Research Excellence Framework

- **Roles and Responsibilities:** Define roles and responsibilities of individuals and committees, distinguishing between advisory and decision-making roles.
- **Training:** Detail training provided.

The final selection of outputs will sit with the Dean for Research and be ratified by the Research Committee.

The REF Working Group provides an advisory function and additional staff with research expertise are co-opted on an ad hoc basis to conduct output reviews.

Since REF2021, we have had a considerable number of new faculty for whom this will be their first REF due to early career stage and/or joining from abroad. To ensure equitable understanding and access to resources, training has been developed and implemented as follows:

Whole community REF training:

- March 2023 best practice training outlining expected shape of REF and detailing research impact mechanisms and pathways.
- Spring 2025 start of ongoing 121 training sessions on output selection, criteria setting and review processes
- March 2025 best practice training introducing internal review processes, setting expectations, and addressing questions regarding output submission and open access requirements.
- June 2025 training on the REF assessment process by members of the REF2021 panel. Presentations from both sessions were recorded and published on our internal Research Hub, which is available to all staff.

Output reviewer training:

- May 2025 training of REF Working Group members in assessing outputs against REF criteria.

Non-Traditional Outputs training:

- June 2025 training for Conservation faculty and Curators with SRR on practice research portfolios and practice research in REF.
- November 2025 training delivered by Dean for Research to Curators on Exhibition outputs to share the template, explain expectations, and discuss methods of capturing curatorial research.

Open Access and repository training:

- All Faculty are expected to upload their outputs onto Pure, the Courtauld's research repository. Information on deposit requirements and how to guides on uploading content are available on our internal Research Hub. Faculty have received training and regular reminders on how to keep their profile up to date and the importance of OA principles. Library staff provide 1:1 support to research staff where needed on depositing outputs.

Research integrity training:

- All teaching and research, research only, and research-enabling staff are required to complete mandatory UKRIO Research Integrity Training (from 2025). All Courtauld staff are required to undertake EDI training.

Equality Impact Assessment Integration: Demonstrate how EIA informed the selection of outputs and policy/procedure development. Provide information on data, findings, and actions taken.

See Output Selection and Assessment EIA and Supporting Data in Appendix I.

Part 6: Appendices

- A. Courtauld - REF2021 Code of Practice
- B. Courtauld - Research Committee Terms of Reference
- C. Courtauld - REF Working Group Terms of Reference
- D. Courtauld - Equality, Diversity and Inclusion Policy
- E. Courtauld - Research Ethics Policy
- F. Courtauld - Statement on Research Integrity
- G. Courtauld - REF2021 Equality Impact Assessment
- H. Identifying SRR/RI Contracts Equality Impact Assessment
- I. Output Selection and Assessment Equality Impact Assessment and Supporting Data

Appendix A: Courtauld - REF2021 Code of Practice

THE COURTAULD INSTITUTE OF ART

REF2021 CODE OF PRACTICE

CONFIDENTIAL

Version 5.0

For Submission

This Code of Practice (CoP) sets out the process that will be followed by The Courtauld Institute of Art in preparing its submission to REF2021, particularly in relation to determining who is an independent researcher and ensuring a fair and transparent approach to the selection of the outputs.

Version Guide

- Outline of policies and procedures reviewed by Research Committee on 6 March 2019
- Version 1.0 reviewed by Joint Consultation and Negotiation Committee on 20 March 2019
- Version 2.0 prepared for consideration by Academic Board on 24 April 2019
- Version 3.0 for submission to REF following recommendations by Academic Board
- Version 4.0 for resubmission to REF following initial assessment
- Version 5.0 for submission to REF following timing changes due to COVID-19

1. Introduction and Overview

Purpose and Background

1.1 The Research Excellence Framework (REF) 2021 is the system put in place by the four UK Higher Education Funding Bodies for the purpose of assessing the quality of research in UK higher education institutions. The Funding Bodies state that the purpose of the REF is:

- to provide accountability for public investment in research and produce evidence of the benefits of this investment.
- to provide benchmarking information and establish reputational yardsticks, for use within the HE sector and for public information.
- to inform the selective allocation of funding for research.¹

1.2 The last REF exercise was completed in 2014, and following that, the Funding Bodies have introduced a number of changes following recommendations made by Lord Stern in the independent review of the REF. Whereas in REF2014 HEIs were able to select which of its eligible staff were submitted, HEIs are now required to submit all eligible staff with significant responsibility for research. The pool of potentially eligible staff is primarily determined by identification of staff in whose contracts the primary job function is given as 'teaching and research' or 'research-only' in the Higher Education Statistics Agency (HESA) staff return.

1.3 The Funding Bodies require HEIs making a REF submission to develop, document and apply a Code of Practice for the identification of eligible staff and the selection of outputs. Our CoP will help us to ensure that we include all eligible staff in submissions. It will also help us to promote equality, comply with legislation, and avoid discrimination. The CoP is grounded in the principles of transparency, consistency, accountability and inclusivity.

1.4 The CoP also provides information on how the REF2021 submission will be coordinated, how decisions are made, timelines and key dates involved, and how individual staff circumstances will be managed.

1.5 The Courtauld Institute is a small, specialist institution focused on the art history, conservation, and curating. We anticipate that the total FTE (Full Time Equivalent) that we submit to REF2021 will be less than 40. The scale of our institution means that we are able to carry out the selection of outputs on the basis of close consultation with individual staff members and a small team of senior figures in the institution. This approach is consistent with the CoP for REF2014 (see Appendix B).

¹ <http://www.ref.ac.uk/about/what-is-the-ref/>

- 1.6 The REF is divided into Units of Assessment (UoAs). We will be submitting to only one UoA (panel 32 – Art and Design: History, Practice and Theory). As such, our Unit submission is coterminous with our submission as an institution.
- 1.7 We will be submitting 100% of our Category A eligible staff. Category A eligible staff are defined as staff with a contract of employment of 0.2 FTE or greater, on the payroll of The Courtauld on the census date, and whose primary employment function is to undertake either ‘teaching and research’ or ‘research-only’.² In the spirit of inclusion, and to represent the unique culture of our institution, we intend that our submission will include senior curatorial staff in The Courtauld Gallery, whose roles entail a substantial responsibility for independent research.

Principles Governing the Code

- 1.8 The Head of Research Alixe Bovey, Research Manager Oliver Wright, and Head of Human Resources Ellen Tsang are working closely together to ensure that the policies and procedures for our REF2021 submission pay due consideration to Equality and Diversity.
- 1.9 In terms of equality and diversity, The Courtauld supports its fixed-term and part-time staff (including contract research staff) in the same way that it supports all other categories of staff. It has transparent policies and procedures to rule out discrimination, to create an inclusive culture that recognises, respects and values difference, enables all staff to contribute and participate fully, and provides equal opportunities to all staff. These policies and procedures are outlined in our Equal Opportunities policy (Appendix D), available to all staff on our intranet.
- 1.10 We will conduct periodic Equality Impact Assessments (EIAs) throughout the preparation of our REF submission. EIAs conducted for REF2014 showed that our approach to selection was unlikely to have either a positive or negative impact on those with protected characteristics, and this has informed our approach to REF2021. The protected characteristics are: age; disability; marriage and civil partnership; pregnancy and maternity; race, religion or belief; gender reassignment; sex and sexual orientation.
- 1.11 Since REF2014, The Courtauld has established an independent Ethics Committee, the remit of which includes reviewing cases of whistleblowing and advising on questions of research ethics. Managers attended Unconscious Bias training in 2015 and new, mandatory, online training modules on Equality, Diversity, Inclusion, and Unconscious Bias will be in the process of being rolled out to all members of staff.

² See definition of Category A eligible staff in Annex M of the REF *Guidance on Submissions*, 2019/01 January 2019, p. 117

1.12 The Courtauld is committed to treating its staff fairly, and in relation to the conduct of the REF2021 exercise, will adhere to the following principles:

- Transparency: it should be transparent in the CoP what the processes will be used for identifying research independence and for selecting outputs to be submitted.
- Consistency: the processes defined and documented in this CoP will be applied consistently throughout the submission.
- Accountability: roles and responsibilities of those involved in the identification of eligible staff and the selection of outputs respectively will be set out clearly in the CoP.
- Inclusivity: the processes for identifying research independence and selecting outputs promote an inclusive environment.

Responsibilities and Committees

1.13 The Head of Research, a member of The Courtauld's Senior Management Team, chairs the Research Committee and is responsible to the Academic Board for the overall preparation of the exercise. The Academic Board is responsible for matters relating to research, as set out in Appendix G.

1.14 Reporting to the Head of Research, the Research Manager has responsibility for coordinating the preparation of the exercise.

1.15 All staff involved in decision-making and reviewing nominations for REF eligibility and output selection are obliged to receive Equality, Diversity and Inclusion training. This will take the form of online training provided by iHASCO.

1.16 The committees involved in the development of the CoP, and the procedures it outlines, are as follows:

- Senior Management Team - The Courtauld's Senior Management Team receives regular updates from the Head of Research. The SMT has an advisory role in the development of the CoP and REF submission.
- Research Committee – the Research Committee is the principal strategic and decision-making committee for our REF2021 submission. The Committee is chaired by the Head of Research. Ex officio members of the Research Committee are the Director of The Courtauld; the Dean and Deputy Director; the Head of Research; and the Chair of the Research Degrees Committee. The Research Committee membership may be found on The Courtauld's intranet. The Research Committee meets on a termly basis and involves representatives from all relevant departments of The Courtauld. Representatives act as conduits of awareness to their

departments and meeting minutes are made available to all staff, including those on extended periods of leave and sabbaticals.

- Academic Board – In the spirit of inclusivity and transparency, the Academic Board, whose membership includes all academic staff, will have responsibility for the final approval of The Courtauld's CoP. Ex officio members of the Academic Board are: the Director of The Courtauld; all members of academic staff; the President of the Students' Union; a Student Representative; the Head of Public Programmes; the Head of The Courtauld Gallery; and the Head of the Libraries.
- Appeals Committee – Independent of the other committees, the Ethics Committee of The Courtauld will serve as the appeals committee for our REF2021 submission. The Ethics Committee reports to the Governing Board. The appeals committee is the group which will review any appeals made in relation to staff eligibility in a consistent and, where necessary, confidential manner, in accordance with the CoP.

Development and Communication of the Code

- 1.17 The CoP has been subject to a series of committee approvals, as well as ongoing staff consultation.
- 1.18 First, an early draft CoP outlining the procedures for determining research independence and output selection was reviewed by the Research Committee on 6 March 2019.
- 1.19 After the Research Committee meeting, the Head of Research and Research Manager updated the CoP. The Research Manager and Head of HR held a collective consultation on Version 1.0 of the CoP 20 March 2019, in accordance with the Joint Recognition and Procedural Agreement and Joint Consultation and Negotiation Committee.
- 1.20 Following collective consultation and any required amendments, The Courtauld's former Research Manager made the updated version of the CoP (version 2.0) available on our staff intranet, and all staff were notified by email. Staff were invited to give feedback, comments and suggestions.
- 1.21 Staff on leave were included in emails concerning the CoP and were given the opportunity to meet individually with the Head of Research upon returning to work.
- 1.22 The CoP (2.0) went before an extraordinary meeting of The Courtauld's Academic Board on 24 April 2019 for their consideration and ratification. The Academic Board unanimously approved the document, subject to revisions documented in the minutes to the meeting.
- 1.23 Following the submission of our CoP to Research England, the Research Manager will prepare a termly REF2021 newsletter, to be disseminated to all staff with significant research responsibilities via email and uploaded on to the staff intranet, compiling any relevant updates.

1.24 When there are any noteworthy changes or updates on the CoP (for example where an EIA reveals potential for differential impacts), the Head of Research and Research Manager will communicate them to all staff with significant research responsibilities, including those on extended periods of leave and sabbaticals. Communications are made by email and the CoP is accessible on the staff intranet.

1.25 The Head of Research presents regular REF updates at both Academic Board and Research Committee meetings, and by email as required.

1.26 Members of staff who join after July 2019 will have special briefing sessions with the Head of Research and/or Research Manager to familiarise them with the REF process.

Timetable

1.27 To ensure our preparedness, we developed a provisional REF submission throughout 2019. This took place in three phases:

- Spring 2019 – annual research review meetings with all Category A eligible staff to determine maximum output pool and research independence
- Summer 2019 – preliminary selection of outputs and impact case studies
- Autumn 2019 – draft impact case studies and Environment statements

1.28 During 2020, we continued to refine our staff submission, addressing staff arrivals and departures and changes in circumstances. Due to the severe disruption caused by COVID-19, annual research review meetings will be held again with all Category A eligible staff in the Autumn term of 2020.

1.29 Staff members were informed whether or not they are eligible to be included in The Courtauld's return by 15 May 2020.

1.30 The deadline for any appeals was 15 June 2020. Decisions were made by 15 July 2020.

1.31 The closing date for REF submissions is 31 March 2021.

1.32 The cut-off point for the publication of research outputs and for outputs underpinning impact case studies is 31 December 2020.

1.33 Equality Impact Assessments will take place in three phases. The first took place in May 2019 and the second will take place in Autumn 2020. Following these two phases, a final EIA will analyse our submission after March 2021.

2. Research Independence

Policies and Procedures

2.1 We will submit 100% of staff who are Category A eligible (as defined in 1.7), and whose primary employment function as recorded within the HESA staff return is to undertake either 'teaching and research' or 'research-only'. Additionally, we will submit those who are not included in the HESA staff return but who have equivalent contractual status.

2.2 In order to evidence that staff submitted are research independent, that is, that the research they undertake as a function of their role at The Courtauld is self-directed, we will refer to the three REF indicators of research independence:

- leading or acting as a PI on an externally funded project
- holding a competitively awarded fellowship
- leading a research group.³

In addition, we will take into consideration the following as indicators of research independence:

- job description and contract require the post-holder to undertake independent research.
- track record of active engagement in independent research, such as authorship of publications and curation of exhibitions which are demonstrably informed by, or which themselves constitute, self-directed research.
- evidence of eligibility to apply for external research project funding as the Principal Investigator.

2.3 All staff employed in senior curatorial roles within The Courtauld Gallery are considered independent researchers, with significant research functions written into their contracts. We note the central importance of the Gallery's curatorial activities to our research environment and work from the principle that their curatorial work fulfils the definition of research as processes of investigation leading to new insights, effectively shared.⁴

2.4 Any Research Assistants employed by The Courtauld at the census date will not be considered research independent and will therefore be deemed not eligible for submission.

2.5 In order to determine systematically staff who meet the definition of research independence, we will compile a list of all Category A eligible staff using data generated by our HR records. The Head of Research and Research Manager will meet with each member of staff from this list during the annual

³ See REF *Guidance on Submissions*, 2019/01 January 2019, p. 33

⁴ For REF definition of research, REF *Guidance on Submissions*, 2019/01 January 2019, p. 102

research reviews in 2019 and 2020 (either in person or remotely) and consider their job role and activities against the above indicators and criteria. The course and outcome of these meetings will be recorded.

- 2.6 All staff (including those who are not initially deemed to be Category A eligible) will have recourse to an appeals process if they are not, through the procedure outlined above, determined to be research independent. The appeals process was communicated to all staff by email during May 2020.
- 2.7 Category A eligible staff were notified of their inclusion in the REF submission as independent researchers by email by the end of June 2020 (except in exceptional circumstances).
- 2.8 New appointments will be reviewed on an ongoing basis, according to the same criteria. New staff on Category A eligible contracts will meet with the Head of Research and Research Manager to discuss their role and activities against the indicators and criteria.

Staff, Committees and Training

- 2.9 Online Equality, Diversity and Inclusion training will become mandatory for all staff. Staff will be expected to complete the training in the Autumn term of 2020. The online training module is provided by iHASCO.
- 2.10 The former Research Manager attended Equality, Diversity and Inclusion training tailored to the REF and disseminated this to the Head of Research, former Head of HR, and Research Committee.
- 2.11 The Head of Research and Research Manager, with the Head of HR and HR Business Partner, using the processes outlined above, compiled the list of Category A eligible staff who have been deemed research independent.
- 2.12 An updated list of staff to be submitted to the REF will be reviewed by the Research Committee when they convene in Autumn 2020.

Appeals

- 2.13 Staff members have the right to appeal the decision concerning their eligibility for inclusion in our REF submission. Appeals will only be considered in respect of staff eligibility decisions. Appeals will not consider which outputs have been allocated to a staff member, the number of outputs submitted connected with a staff member, or the UOA an individual has been returned in.
- 2.14 If staff members wished to appeal an eligibility decision after this had been communicated by 15 May 2020, they would have done so by informing the Research Manager by email. Appeals could be made within one month of receiving confirmation of the decision, and in no circumstances later than 15 June 2020.

- 2.15 The Head of Research and Research Manager reminded all staff of the availability of the appeals mechanism during the regular REF update at Academic Board meetings and via email.
- 2.16 Appeals could be referred to The Courtauld's Ethics Committee, which acts as the appeals committee for the REF submission.
- 2.17 Decisions of the Ethics Committee in relation to REF-related appeals are final.
- 2.18 In addition to appeals, staff may submit complaints to the Ethics Committee if it is believed that the agreed processes in this CoP are not being followed. The committee will subsequently make an adjudication and issue a recommendation to the Head of Research.

Equality Impact Assessment

- 2.19 The EIA will be in three phases – one in May 2019, one in Autumn 2020, and a final EIA following our final submission. The first EIA report is attached as Appendix A.
- 2.20 As with our REF2014 submission, we undertake EIAs within the framework of a small, specialist institution submitting fewer than 40 members of staff. We approach this assessment in the most practical way considering our scale.
- 2.21 The first EIA analysed the cohort of staff to be submitted against records of protected characteristics insofar as information about protected characteristics has been volunteered by staff during recruitment processes.
- 2.22 The outcome of periodic EIAs will be reported to the Research Committee and used to ensure that any necessary changes to prevent discrimination and promote equality are made before the final REF submission deadline.
- 2.23 The outcome of periodic EIAs will be made available to the appeals committee when they convene.
- 2.24 Any changes will be reflected in a revised CoP and clearly communicated to all staff via email, and the intranet will be updated.

3. Outputs

Policies and Procedures

- 3.1 The REF2021 submission is intended to optimise the reputational and financial position of The Courtauld Institute. Decisions on the composition of the submission will be taken with these aims in mind.
- 3.2 We affirm that the REF is not and will not be used as a performance management exercise, but as a review of the quality profile of our research. There are a number of reasons why staff may have a larger or smaller portfolio of outputs, for example as a result of personal circumstances or other factors beyond their control. The number of outputs attributed to staff will not be directly used in performance management, appraisal or promotion criteria. Nor should the inclusion of numerous outputs by any individual be considered a marker of hierarchal standing within the Institute.
- 3.3 If there is any evidence that an employee is deliberately and unreasonably uncooperative with or obstructive of our REF procedures, this will be investigated in accordance with The Courtauld's Disciplinary Policy (Appendix F).
- 3.4 REF2021 requires that all submitted staff have attributed to them a minimum of one and a maximum of five research outputs, unless individual circumstances apply, in which case staff may request to be submitted without the minimum of one output. These circumstances are outlined below.
- 3.5 The Courtauld has no formal expectations of individual staff members' contributions to the overall output pool. Consequently, specific processes by which to adjust expectations on the basis of individual circumstances will not be required. However, where an individual has voluntarily declared circumstances, the Head of Research will contact the individual to reiterate that there is no formal expectation and, furthermore, that in the self-nomination (research review) forms there is no set minimum for the number of outputs they can nominate.
- 3.6 We will not, on principle, submit any outputs attributed to staff who have been made redundant.
- 3.7 In order to enable the best possible representation of research by our eligible staff, and to best reflect the research culture of The Courtauld at the census date, outputs by staff no longer employed by The Courtauld will only be considered for inclusion where the Head of Research, in consultation with the Research Committee, determines that the outputs would make an exceptional contribution to the quality profile of the submission, and which is determined by the Research Committee to outweigh the priority of representing the research of currently employed staff.
- 3.8 The selection of outputs will be informed by two factors: output eligibility and research quality. Output selection is the responsibility of the Head of Research.

- 3.9 The quality of proposed outputs, in terms of originality, significance, and rigour, will be assessed through the following means: initial self-assessment by the individual researcher producing the output (in consultation with the Head of Research and Research Manager), and subsequent assessment of the Head of Research and members of the Research Committee. Final decisions on the outputs that will be included in our submission will be made by the Head of Research, and ratified by the Research Committee.
- 3.10 External peer review will be undertaken if necessary, that is, if deemed appropriate through consultation between researcher and the Head of Research and the Research Committee. Any external peer review will be recorded on a template, asking reviewers to score outputs against the categories of originality, significance, and rigour.
- 3.11 We aim to submit outputs which will be rated at 3* or 4*, to achieve the strongest possible overall quality profile. Assessments of special circumstances will not inform assessments of quality.
- 3.12 All Category A eligible staff are asked and encouraged to participate in the output selection process by nominating outputs for consideration. They are asked to list a maximum of 5 outputs in order of originality, significance and rigour. They are also asked to consider if any items might be considered for double weighting.
- 3.13 Potential outputs include, but are not limited to: books; book chapters; journal articles; and curated exhibitions. Single outputs may have multiple components, for example an exhibition and an accompanying catalogue. We encourage researchers to consider the full variety of possible outputs when self-nominating. Staff are encouraged to consult the extensive guidance published on the REF website if they wish to know more.
- 3.14 In the annual research review meetings, every researcher will discuss their outputs with the Head of Research and Research Manager. This will enable the Head of Research to identify potential outputs where the researcher has not initially nominated the outputs themselves.
- 3.15 For each eligible member of staff, the highest quality output will be selected (since each member of staff must be submitted with a minimum of one output). The rest of the output pool will be determined through the assessment of the Head of Research in consultation with the Research Committee, with external peer review if deemed necessary through consultation with the Research Committee.
- 3.16 The inclusion of outputs in our REF submission will not be routinely communicated to staff. The REF will ultimately publish a list of submitted outputs, without naming the author.
- 3.17 To allow upload onto the submission system, all selected outputs must have a record on The Courtauld's research information management system, Pure.
- 3.18 In Summer 2019 the former Research Manager undertook eligibility checks of the provisional output pool, including checks to ensure that they meet open access requirements. It is expected that the

number of outputs in this provisional pool will considerably exceed the number of outputs to be submitted. Where shortlisted outputs do not meet eligibility requirements the staff member will be informed by the Research Manager.

3.19 An initial, provisional output pool will be reviewed by the Research Committee in Autumn term 2020.

3.20 The final output pool will be approved by a meeting of the Research Committee in Spring term 2021.

Staff Circumstances

3.21 We are committed to running a fair and transparent process in preparing the submission. The selection of outputs will be based on a fair and evidence-based process and informed by an Equality Impact Assessment.

3.22 When staff members are asked to nominate outputs, this request will reflect the guidance on staff circumstances. Staff may nominate fewer than 5 outputs, and we expect that this will be the case if they are part-time or have special circumstances.

3.23 Staff may be returned without the minimum of one output in the assessment, or may generate a potential reduction in the total required number of outputs, if one or more clearly defined or complex circumstances significantly constrained their ability to produce outputs or to work productively through the REF period.

3.24 We recognise that individual circumstances may constrain a member of staff's ability to produce outputs. As detailed below, we will consider such circumstances and any potential reductions that they warrant. Individual circumstances are considered only in relation to quantity of outputs (i.e., not in relation to quality).

3.25 Clearly defined circumstances are: qualifying as an early career researcher (an eligible staff member who started their career as an independent researcher on or after 1 August 2016); absence from work due to working part-time, secondment(s), or career break(s); qualifying periods of maternity, paternity and adoption leave, defined as statutory maternity leave or statutory adoption leave taken substantially during the period.

3.26 Complex circumstances require a judgement about the appropriate reduction in outputs, and may include: long term medical conditions; constraints relating to pregnancy, maternity, paternity, adoption and childcare; caring responsibilities; gender reassignment; other circumstances relating to the protected characteristics.

3.27 Requests to be submitted without the minimum of one output may be made by an individual researcher who has not been able to produce an eligible output where any of the following circumstances apply within the period 1 January 2014 to 31 July 2020: an overall period of 46 months or more absence from research, due to one or more of the clearly defined circumstances listed above;

circumstances equivalent to 46 months' or more absent from research, where complex circumstances apply; or two or more qualifying periods of family-related leave.

3.28 During Autumn term of the 2020/2021 academic year, all eligible staff will be notified that they have the option to disclose any clearly defined or complex individual circumstances via a form circulated in an email from the Research Manager, or available in hard copy if requested. The form must be returned to the Research Manager by email, who will coordinate with the HR Business Partner and Head of HR. The forms will be password protected and stored in a folder with access restricted to the Research Manager, Head of Research, and The Courtauld's HR department. Information will be treated as strictly confidential.

3.29 The HR Business Partner will contact any members of staff who disclose individual circumstances if further information or clarification is necessary. Decision-making on the submission of an eligible staff member without the minimum of one output will be undertaken in confidence by the Head of HR, with advice from the HR Business Partner. The Head of HR will communicate their recommendation to the Head of Research.

Equality Impact Assessment

3.30 The second phase of the EIA conducted in Autumn 2020 will analyse the preliminary output pool in relation to declared protected characteristics inasmuch as data is available. Data will be drawn from the cohort of staff being submitted to the REF.

3.31 Consideration of the distribution of outputs will focus on the attribution of outputs in comparison to protected characteristics of staff.

3.32 The outcomes of this EIA will be reported to the Research Committee and used to ensure that any necessary changes to prevent discrimination and promote equality are made before the final REF submission deadline.

3.33 Any changes will be reflected in a revised CoP and clearly communicated to all eligible research staff.

3.34 Differences in the distribution of outputs that are not the result of inequality in the output selection process will be considered further in a full EIA conducted after the final submission.

Appendices

Appendix A – Equality Impact Assessment Phase One 2019 – Report

This is the first Equality Impact Assessment for our preparation for REF2021. The purpose of this assessment is to ensure that the Code of Practice is developed and applied with due regard to equality issues. It will guide us with respect to any potential for discrimination or any differential impact on particular groups.

The Equality Impact Assessments we conduct will focus primarily on the following policies:

- our policy for determining research independence
- our policy for output selection including processes used to assess research quality

Additionally, we will analyse the combined impact of these two policies, as well as conducting interim analyses of staff disclosure to assess the extent to which staff are disclosing a range of circumstances. We will also analyse the mechanisms used to determine research quality in relation to the protected characteristics.

We are mindful of the principle of proportionality; as a small institution submitting 100% of its research staff to the REF (a summed FTE lower than 40), there is a limit to how much meaningful statistical analysis we can conduct on our policies, particularly in comparison to a larger institution. All of our EIAs are informed by wide consultation on our policies and procedures with staff groups, including trade union representatives.

The data used in this EIA, prepared by our HR team, is drawn from the whole pool of staff who are eligible for, and therefore being included in, our REF 2021 submission. As we are submitting all Category A eligible staff, no eligible staff are being excluded from the submission. We do not have a policy for determining significant responsibility for research. As of 1 May 2019, there are no contracted junior research staff or research assistants employed at The Courtauld. Therefore, we cannot, for example, analyse the characteristics of staff who meet our criteria of research independence against a comparator pool of ineligible junior research staff. In short, effectively, 100% of our staff on research or research and teaching contracts are deemed both a) eligible for inclusion in the REF and b) research independent.

The next EIA, to take place in Spring 2020, will focus primarily on our policy for output selection. We will analyse the distribution of outputs by the characteristics of staff within the output pool. This EIA reflects primarily on our policy for determining research independence in relation to the characteristics of all eligible staff. A final EIA will be conducted on the final submission of staff and outputs.

We will continue to review the impact of our policies and procedures, and we will analyse data pertaining to characteristics at key points: when determining research independence; when selecting outputs for submission; when considering appeals against identification of staff who are not independent researchers; when preparing the final submission. As outlined in our Code of Practice, the outcome of ongoing EIAs will be reported to the Research Committee and used to ensure that any necessary changes to prevent discrimination and promote equality are made before the final REF submission. As a matter of good practice, once we have made our REF 2021 submission, we will publish our final EIA online, including the outcomes of any actions taken to prevent discrimination or advance equality.

Staff and characteristics

Age Range	
18-29	4.17%
30-39	12.50%
40-49	41.67%
50-59	20.83%
60-69	20.83%

We determine that our policies are unlikely to have a differential impact on any age group.

Disability	
A physical and/or mental disability	6.25%
No known disability	93.75%

The Courtauld supports academics who have notified the Institute of any disabilities with a thorough and flexible approach to curriculum structures and timetables, through reasonable adjustments. Our policies and procedures for REF2021 have been designed with the same underlying principles of flexibility and support. We determine that our policies are unlikely to have a differential impact on those with any disabilities. In addition, our policies have been designed to allow colleagues to disclose any disabilities in confidence.

Gender reassignment	
N/A	20.83%
Information refused	45.83%
Yes	33.33%

NB. The question asked is – “is your gender identity the same as the gender you were originally assigned at birth?”

No member of eligible staff has indicated that they come under this protected characteristic, although we determine that our policies are unlikely to have a differential impact due to gender reassignment.

Pregnancy and Maternity	
Maternity	2.08%
N/A	97.92%

We determine that the policies are unlikely to have a differential impact in regard to pregnancy and maternity.

Ethnicity Description	
Chinese	2.08%
Information refused	4.17%
Mixed - White and Asian	2.08%
Other Mixed background	2.08%

White	89.58%
-------	--------

We determine that the policies are unlikely to have a differential impact on any ethnic group. We note that the majority of eligible staff are white, and we have made efforts to consult staff across all groups in the development of our policies and procedures.

Religion or Belief Description	
Any other religion or belief	6.25%
Christian	10.42%
Information refused	29.17%
No Religion	50.00%
Not Known	4.17%

We determine that our policies are unlikely to have a differential impact on any of these groups.

Sexual Orientation Description	
Not known	4.17%
Bisexual	2.08%
Gay man	4.17%
Heterosexual	68.75%
Information refused	20.83%

We determine that our policies are unlikely to have a differential impact on any of these groups.

Sex	
F	68.75%
M	31.25%

There is a higher proportion of female academics at The Courtauld. We have noted in developing our policies that caring responsibilities tend to be undertaken by women. The Code of Practice has flexibility to help mitigate against the disadvantage that many women carers experience trying to balance caring responsibilities with having time to carry out their research. As with our EIA in REF 2014, we remain alert to working arrangements that may be needed in mitigation of any disadvantage to women.

Marital Status	
Civil Partnership	2.08%
Married	62.50%
Other	4.17%
Partner	4.17%
Single	27.08%

We determine that our policies are unlikely to have a differential impact on any of these groups.

Thomas Gould PhD
Research Manager
The Courtauld Institute of Art

Appendix B – REF2014 Code of Practice

This Code of Practice sets out the criteria and approach taken in the Selection of staff for REF. It is based on principles of transparency and consistency.

As a small specialist institution we are able to carry out the process of selection on the basis of close consultation between individual staff members and a small team of senior figures in the institution. The REF Selection Committee consists of Professor Deborah Swallow (DAS), Maërit Rausing Director of The Courtauld Institute of Art; Professor David Solkin (DS), Dean & Deputy Director; Professor Caroline Arscott (CA), Head of Research; Terry Hefford (TH), Director of Resources; and Anjum Saad (AS), Human Resources Manager; with administrative assistance from Delia Wallace (DW), Dean's Assistant (registered as REF Data Manager). Of the five committee members four are members of the Senior Management Team of The Courtauld (DAS, DS, CA and TH). They are joined by the Human Resources Manager (AS) who is directly concerned with Equality issues along with all issues relating to staff working patterns. The Human Resources Manager (appropriately for the small scale of The Courtauld) carries out the responsibilities borne by Equality and Diversity Offices or Equality and Diversity Units in larger institutions. The membership of the Selection Committee has been determined in light of staff feedback and suggestions in relation to draft Code of Practice.

Equality and Diversity

The policy of The Courtauld on Equality and Diversity can be found at: <http://www.courtauld.ac.uk/degreeprogrammes/generalinformation/usefulinfo/index.shtml> and on the staff intranet at https://www.courtauld.ac.uk/intranet/staff/terms_conditions/index.shtml - Appendix 5.

In terms of equality and diversity, The Courtauld Institute of Art supports its fixed-term and part-time staff (including contract research staff) in exactly the same way as it supports all other categories of staff. It promotes equality and diversity by treating all staff fairly and equally. It has transparent policies and procedures, to rule out discrimination, to create an inclusive culture that recognises, respects and values people's differences, enables all staff to contribute and participate fully, and provides equal opportunity to all staff to develop their potential.

Our selection process for REF will be carried out in conformity with the relevant legislation in particular the Equality Act of 2010. Initial training in equal opportunities aspects of REF has been provided for Selection Committee members by the Human Resources Manager. Further training in equal opportunities aspects of REF will be taken up in autumn 2012 by the members of the Selection Committee (course at King's College London, KCL offered by Research and Graduate School Support in conjunction with the Equalities and Diversity Unit).

We aim to return all staff on research and teaching, or research only, contracts at the census date who have completed and put into the public domain excellent research. We will give due consideration to the coherence and strength of the overall submission. In normal circumstances we will submit four (or equivalent of four) outputs for each staff member.

Final decisions as to which staff members will be submitted rest with the Director of The Courtauld Institute of Art advised by other members of the REF Selection Committee: the Dean and Deputy Director, the Head of Research, the Director of Resources and the Human Resources Manager.

All research (and research and teaching) staff on contracts of 20% or more will be informed by early July 2013 (except in exceptional circumstances) as to whether their outputs will be submitted for REF and how many outputs will be submitted for each individual.

Programme of Communications

The Code of Practice is displayed in the Section on REF 2014 on the VLE (Virtual Learning Environment) is available to all staff, the document is also viewable by visitors <https://vle.courtauld.ac.uk/course/category.php?id=100>

Communication about the development of the Code of Practice and any changes made to the Code of Practice (such as amendments put in place November 2012) will be effected by the following means:

- Announcement, as part of the REF update, by the Head of Research at the termly Staff Meeting which involves all staff of The Courtauld Institute. As a small specialist institution we are able to hold plenary meetings of all staff on a termly basis; these are key occasions for raising awareness of important issues. After the meeting a summary of the presentation by Head of Research (along with other presentations at the meeting) is posted on the Courtauld Staff Intranet and so is available to any staff member who is absent.
- Consultation (and update on any changes adopted) at the termly Research Committee involving representatives from all relevant departments of The Courtauld (Director and Senior Management, Registry, History of Art, Conservation and Technology, Gallery). Representatives act as conduits of awareness to their departments.
- Report on Research Committee and REF matters at termly Academic Board by Head of Research includes the presentation of the Code of Practice and any changes made to it. All academic staff are members of the Academic Board. Minutes are circulated to all Academic Board members including those on research leave or on leave for other reasons.
- Emails at key junctures from Head of Research to all Researchers and Teacher-Researchers about the Code of Practice, updates to the Code of Practice and the key actions and activities being undertaken as outlined in the Code of Practice (copied to Senior Management Team and Human Resources Manager). Emails are accompanied by the Code of Practice document as an attachment. These emails are sent to all Research and Research-and- Teaching Staff including those who are absent on research leave or on leave for other reasons.

Definition of Circumstances to be Considered

In accordance with the guidance provided at http://www.ref.ac.uk/media/ref/content/pub/assessmentframeworkandguidanceonsubmissions/02_11a_dd.doc, Special Circumstances which may have acted as constraints on staff in producing four outputs or working productively throughout the REF assessment period will be considered.

We will consider clearly defined circumstances

- Qualifying as an early career researcher
- Absence from work due to working part-time, secondments or career breaks
- Qualifying periods of maternity, paternity or adoption leave

We will also consider complex circumstances (circumstances that require a judgement about the appropriate reduction in outputs), which are related to:

- Disability. This is defined in *Assessment Framework and Guidance on Submissions* REF 02.2011 Part 4, Table 2 under 'Disability'.
- Ill health or injury.
- Mental health conditions.
- Constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of – or justify the further reduction of outputs in addition to – the allowances made for defined periods of maternity, paternity or adoption leave.
- Other caring responsibilities (such as caring for an elderly or disabled family member).
- Gender reassignment.
- Other circumstances relating to the protected characteristics identified in the Equality Act of 2010. The protected characteristics are: age, disability, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation or relating to activities protected by employment legislation.

The Courtauld notes that fixed-term employees and part-time workers have the right to be treated no less favourably than staff on open contracts and full-time workers. The Courtauld is committed to pursuing equality of opportunity for all staff, including those on fixed-term contracts and those who work part-time.

Consideration of Special Circumstances

Special circumstances that may have prevented staff from completing research in the period will be considered by the Director of Resources and Human Resources Manager. The choice of these two staff members was made in the light of consultation and feedback from all Academic Staff including the UCU Trade Union representative (in the context of Academic Board) on a draft Code of Practice which assigned a senior member of teaching staff to work with the Human Resources Manager on Special Circumstances. Academic Staff suggested that figures outside the Academic Staff, who were not the immediate colleagues of Academic Staff, should work on these issues. The Director of Resources is a member of the Senior Management Team of The Courtauld and not a member of teaching and research (or research only) staff. Equally, the Human Resources Manager is not a member of teaching and research (or research only) staff. The Director of Resources and Human Resources Manager will draw on self-declaration of circumstances made by staff in response to a questionnaire issued to all staff and on staff employment records (detailing eg periods of absence on maternity leave, part-time working) held by The Courtauld. They will correlate the circumstances with the tariff for permitted reduction in number of outputs in the HEFCE publication *Panel Criteria and Working Methods* (January 2012). Guidance on the way that REF panels consider individual circumstances can be found in the HEFCE publications *Panel Criteria and Working Methods*, January 2012, REF 01.2012 <http://www.ref.ac.uk/pubs/2012-01/> and *Assessment Framework and Guidance on Submissions*, July 2011, REF 02.2011 <http://www.ref.ac.uk/pubs/2011-02/>.

In the case of complex circumstances the Director of Resources and Human Resources Manager will make an assessment of what reduction in number of outputs will be appropriate. Research (and research and teaching) staff on contracts of 20% or more will have a second opportunity to make a self-declaration of circumstances in June 2013. Information disclosed by staff will be treated as confidential.

Consultation by Director of Resources and Human Resources Manager with individuals identified as hampered by straightforward or complex circumstances will be undertaken. The individual staff members concerned will be consulted as we establish the wording of statements about complex circumstances.

The Director of Resources and Human Resources Manager will communicate their recommendations about appropriate number of outputs for individuals (based on assessment of Special Circumstances) to Director, Head of Research and Dean.

Excellence

The quality of proposed outputs (in terms of originality, significance and rigour) will be assessed on the basis of three factors: external consultation with eminent academics, the judgement of the Director, Head of Research and Dean and Deputy Director and consultation by these senior figures with the individual researcher producing the output, whose insight into his or her own research methods and arguments, and knowledge of his or her own intervention in the field is pertinent. We accept the fact that judgements as to excellence are a matter of judgement and star ratings cannot be established with any certainty in advance of the REF 2014 Panel deliberations. We aim to submit outputs which will be rated at 4* and 3* and to achieve the strongest possible overall quality profile. Judgements on excellence will be made independently from assessments of special circumstances.

Mentoring and Support

Consultation by Director, Head of Research, and Dean and Deputy Director with individual members of staff includes mentoring and discussion of support required for the staff member to produce the number of excellent research outputs required for REF.

Financial assistance (for research and publication costs) is available through the Research Fund controlled by the Research Committee (meets termly). Priority is given to REF-significant publications.

Appeals

Appeals regarding inclusion in REF or numbers of outputs to be submitted will be considered by the Appeal Panel consisting of Dr. Gareth Morgan (GM), Academic Registrar and Emma Davidson (ED), Director of Development. The Director of Development is a member of the Senior Management Team of The Courtauld. These staff members were selected on the basis of their seniority and experience in dealing with appeals in other contexts and on the basis that they are not members of the Selection Committee and so are well-placed to consider appeals objectively. Appeals may be made only a) on the grounds of the process described in the Code of Practice not being properly followed, b) in cases where it is claimed that discrimination (regarding a protected characteristic namely age, disability, gender reassignment, marriage and civil partnership, pregnancy, maternity, race, religion or belief, sex or sexual orientation) has occurred, or c) where the staff member has responded to requests for information but relevant information about work pattern or absence from work has not been taken into account. Appeals must be made on a pro forma (available on the Courtauld VLE) by July 15th 2013. The Appeal Panel will meet by mid-August 2013. The staff member has the option to attend the meeting of the Appeal Panel and to be accompanied by a colleague or Trade Union representative if he or she wishes. The Information submitted as part of the appeal process will be regarded as confidential. The decision of the Appeal Panel will be communicated to the staff member by mid-September 2013.

New Staff

Research (and research and teaching) staff on contracts of 20% or more who are new to The Courtauld after July 1st 2013 and join the institution before the census date of 31st October 2013 will have special briefing sessions to familiarise them with the REF process, will be invited to disclose Special

Circumstances to the Director of Resources and Human Resources Manager, will be informed of their inclusion or otherwise in the corps of staff submitted for REF and will be given the opportunity to lodge an appeal should they wish to.

Equality Impact Assessment

The Courtauld Equality Impact Assessment (EIA) is undertaken within the framework of a small specialist institution submitting less than 40 members of staff. When dealing with such small numbers the mapping of one data set onto another can throw up misleading results and so we approach this assessment in the most practical way considering our scale. The Human Resources Department is able to provide data on staff eligible for selection which is analysed according to groups with protected characteristics. The initial stage of the EIA involves the scrutiny of existing data on protected characteristics (namely, gender, ethnicity, disability and age) for all eligible staff in employment in spring 2012 and the identification of any risks of direct or indirect discrimination in the selection of staff. Further analysis will be undertaken from autumn 2012 as data is gathered and collated for all other protected characteristics identified by the Equality Act 2010: sexual orientation, gender reassignment, marriage and civil partnership, religion and belief, sexual orientation, pregnancy and maternity. In July 2013 a third phase of EIA is to be undertaken, using, as a reference point, the group of all eligible staff at that date (including new appointments). The relevant UCU (Trade Union) branch and the Courtauld Women Teachers Group (CWT) will be invited to comment on the analysis produced by the end of July 2013. The three phases of the EIA including response to this consultation will be available to the Appeals Panel if convened in August 2013. A summary statement will be prepared for consideration by the REF Selection Committee in September 2013 and a presentation of the Equality Impact Assessment will be made at Research Committee in late October 2013. The EIA and points made by Research Committee will be presented at Academic Board in autumn 2013 giving the opportunity for every member of research or research and teaching staff to comment (all academic staff are members of the Academic Board) and the report will then go to the Governing Board of The Courtauld).

Appendix C – REF2014 EIA

This is Phase One of an on-going Equality Impact Assessment and its purpose is to ensure that the Code of Practice is developed appropriately, with due regard to equality issues and to guide The Courtauld with respect to any potential for discrimination in REF selection processes. Subsequent phases of the Equality Impact Assessment will be based on full data gathering with respect to all the protected characteristics identified in the Equality Act 2010 and will be informed by information gained from consultation with specific groups such as the relevant Trade Union (UCU) group and The Courtauld Women Teachers (CWT).

The current workforce profile of the entire pool of staff eligible for inclusion in REF at April 2012, in relation to four of the protected characteristics, gender, ethnicity, disability and age, for which the Courtauld has comprehensive data is detailed below.

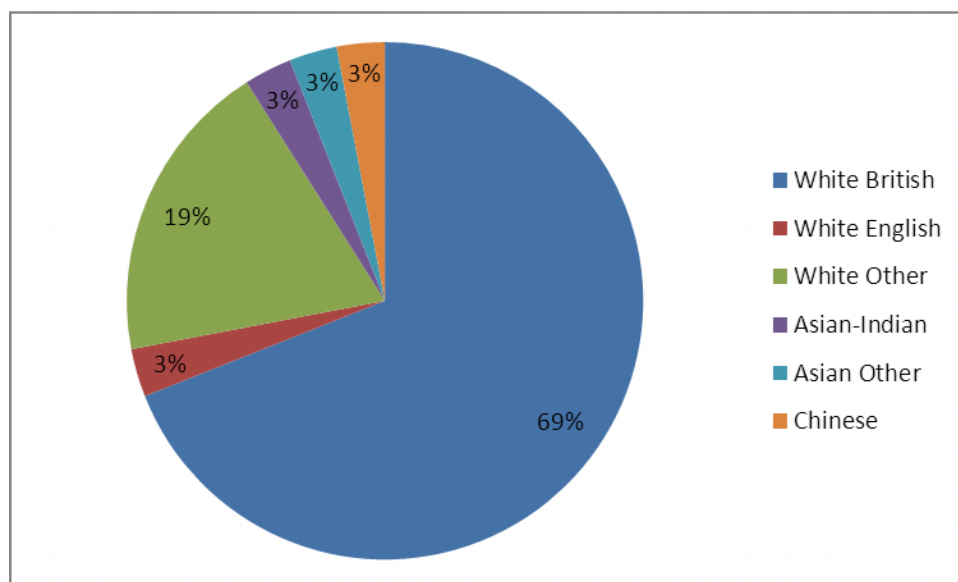
Gender:

Female 70% Male 30%

Ethnicity:

White British 69% White English 3% White Other 19% Asian-Indian 3% Asian Other 3% Chinese 3%

Ethnicity:



Disability:

11% of academics have declared that they have a physical and/or mental disability.

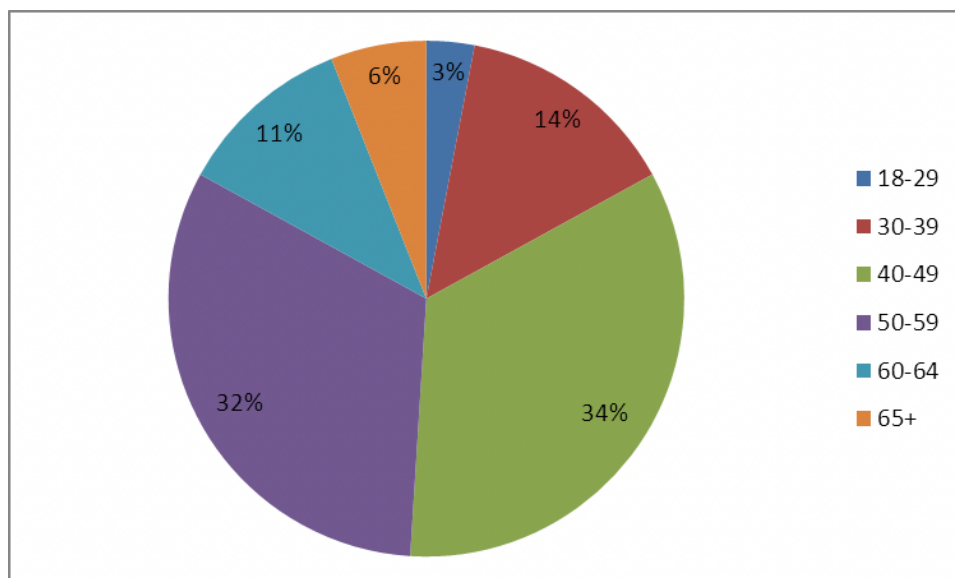
Age:

18-29 3%

30-39 14%

40-49 34%
 50-59 32%
 60-64 11%
 65+ 6%

Age:



Data on the other protected characteristics, gender reassignment, marriage and civil partnership, pregnancy and maternity, religion or belief, sexual orientation is in the process of being collated for existing staff although it is available for new academic staff who joined after the implementation date of the Equality Act 2010.

In producing the Code of Practice, consideration has been given on the Code of Practice's anticipated impact on the four protected characteristics on which The Courtauld has data.

Gender:

There is a higher proportion of female academics at The Courtauld. In general, caring responsibilities tend to be undertaken by women. The Code of Practice has flexibility, to help to mitigate against the disadvantage that many women carers experience trying to juggle caring responsibilities with having time to carry out their research.

Ethnicity:

The Code of Practice could be considered to be neutral or positive in terms of ethnicity as The Courtauld promotes equality and diversity.

Disability:

Extensive research suggests that disabled employees experience greater disadvantage than non-disabled employees. However, The Courtauld has supported the academics who have notified the Institute that they are disabled, as needed, through a flexible approach to their curriculum structures and timetables, through reasonable adjustments, to mitigate against

the disadvantage that may arise due to their disability. The Code of Practice has been designed with the same underlying principles of flexibility and support.

Age:

The Code of Practice is unlikely to have either a positive or negative impact on any academic due to age.

**The Courtauld Institute of Art
Equality Impact Assessment on Policy and Procedures
for Selection of Staff for REF2014
Final Phase**

The Courtauld Institute of Art's Code of Practice for the Selection of Staff for Research Excellence Framework REF2014 (located at <https://vle.courtauld.ac.uk/course/view.php?id=498>, in line with its other policies and procedures, has been devised to promote equality, eliminate discrimination and minimise unfairness with regard to any protected characteristic group.

This is the final phase of an on-going Equality Impact Assessment and its purpose has remained to ensure that the the mode of selection followed under the Code of Practice remained appropriate throughout the process, with due regard to equality issues with respect to any potential for discrimination in REF selection processes.

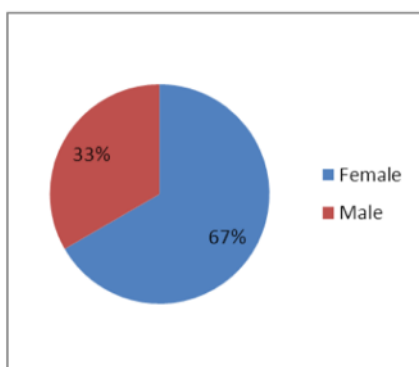
Care was taken to ensure that all academic staff who declared any form of special circumstances during the REF assessment period, were assessed fairly, including providing, additional, appropriate support, in line with REF and equality guidelines, to ensure that no individual was placed at a disadvantage in either the REF selection process or the number of outputs required.

The data below provides a comparison between eligible and actual staff selected for REF. The Courtauld has now collected information on the following protected characteristics, gender, ethnicity, age, disability, religion or belief, marital status, and gender reassignment. There are slight differences in eligible and actual staff selected for REF in some of the protected characteristics but the careful monitoring and assessment has confirmed that where there are variations in the statistical data of the two groups, these are not due to any form of discrimination.

Gender

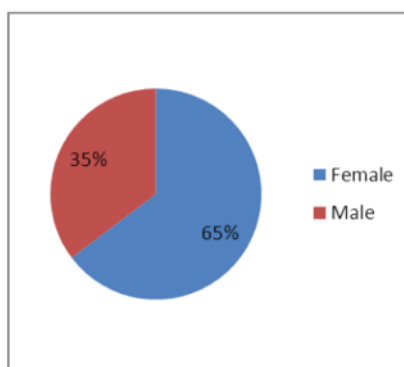
Eligible

Female 67%
Male 33%



Actual

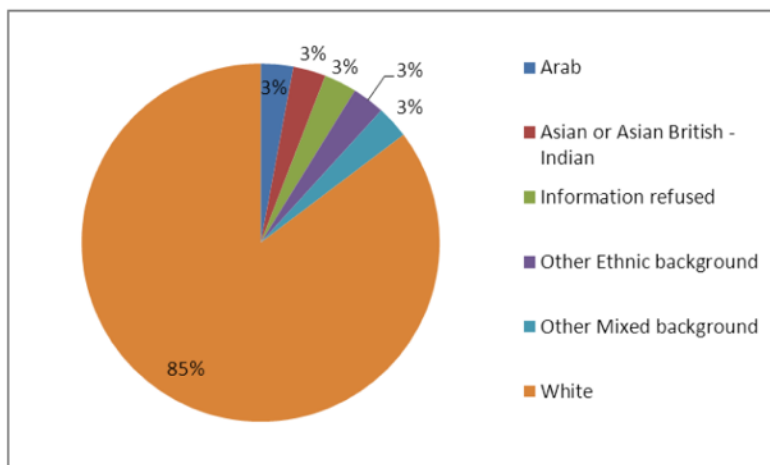
Female 65%
Male 35%



Ethnicity

Eligible and Actual

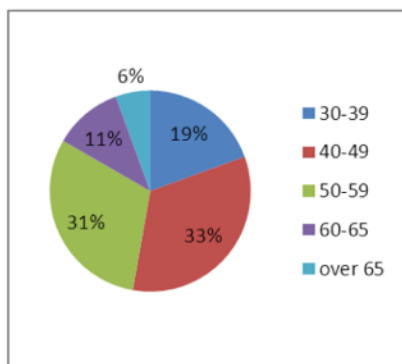
Arab	3%
Asian or Asian British - Indian	3%
Information refused	3%
Other Ethnic background	3%
Other Mixed background	3%
White	85%



Age

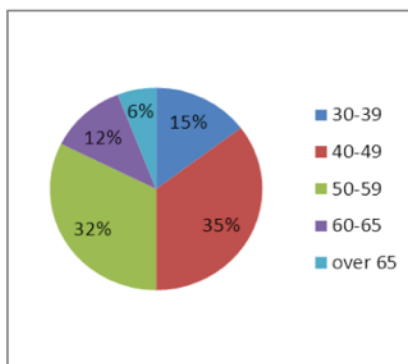
Eligible

30-39	19%
40-49	33%
50-59	31%
60-65	11%
over 65	6%



Actual

30-39	15%
40-49	35%
50-59	32%
60-65	12%
over 65	6%



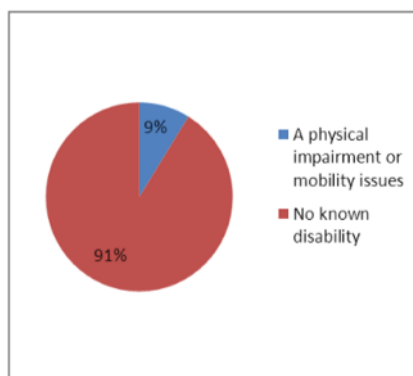
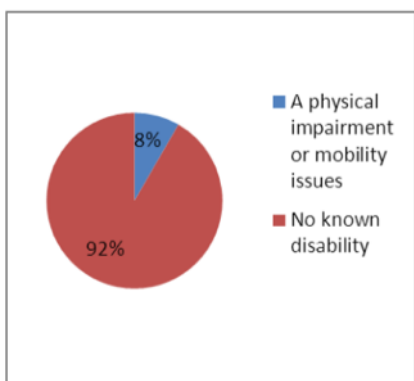
Disability

Eligible

A physical impairment or mobility issues	8%
No known disability	92%

Actual

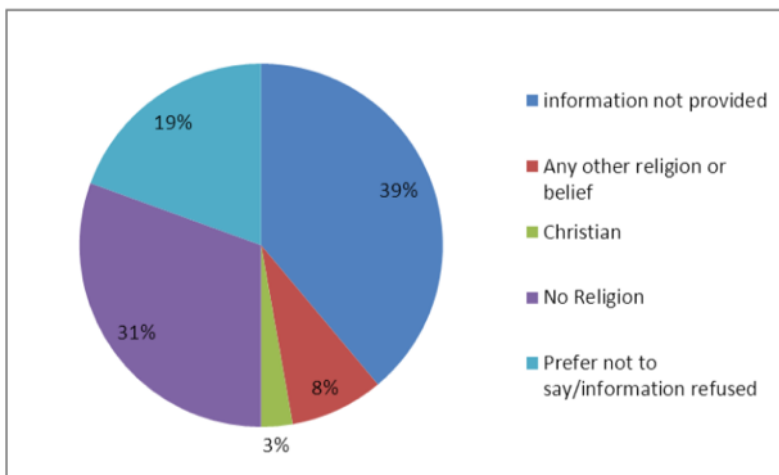
A physical impairment or mobility issues	9%
No known disability	91%



Religion or Belief

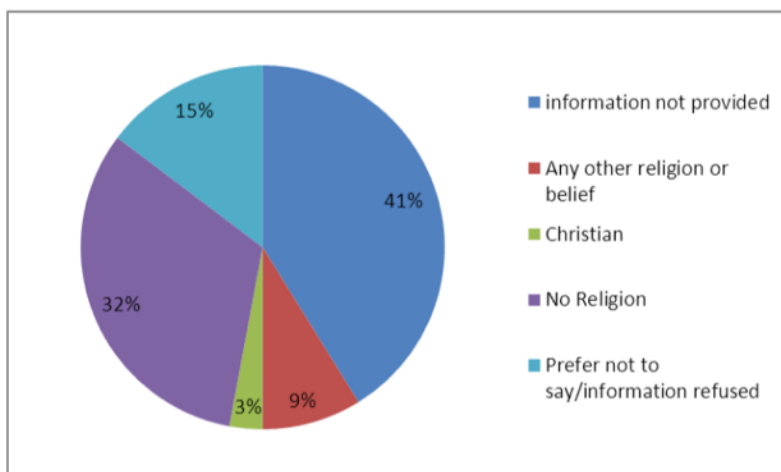
Eligible

Information not provided	39%
Any other religion or belief	8%
Christian	3%
No Religion	31%
Prefer not to say/information refused	19%



Actual

Information not provided	41%
Any other religion or belief	9%
Christian	3%
No Religion	32%
Prefer not to say/information refused	15%



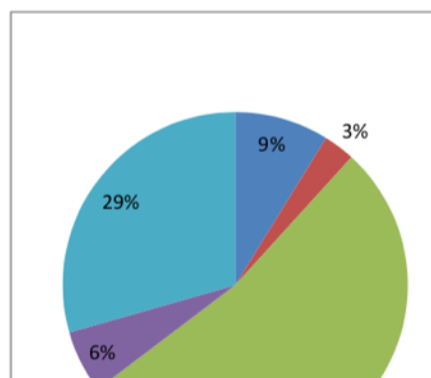
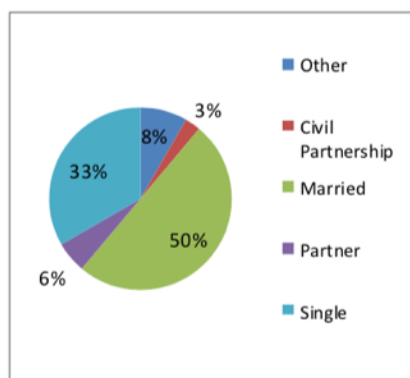
Marital Status

Eligible

Other	8%
Civil Partnership	3%
Married	50%
Partner	6%
Single	33%

Actual

Other	9%
Civil Partnership	3%
Married	53%
Partner	6%
Single	29%



Gender Reassignment

Eligible and Actual 0%

Gender

There is a higher proportion of female academics at The Courtauld. The mode of selection followed under the Code of Practice has remained alert to working arrangements that might be needed in mitigation of any disadvantage to women.

Ethnicity

The mode of selection followed under the Code of Practice could be considered to be neutral or positive in terms of ethnicity.

Age

The mode of selection followed under the Code of Practice has remained unlikely to have either a positive or negative impact on any academic due to age.

Disability

Extensive research suggests that disabled employees experience greater disadvantage than non-disabled employees. However, The Courtauld has continued to support the academics who have notified the Institute that they are disabled, as needed, through a flexible approach to their curriculum structures and timetables, through reasonable adjustments, to mitigate against the disadvantage that may arise due to their disability. The mode of selection followed under the Code of Practice has been designed to allow colleagues to disclose any relevant difficulties in confidence.

Religion or Belief

The mode of selection followed under the Code of Practice has not had either a positive or negative impact on any academic due to religion or belief.

Marital Status

The mode of selection followed under the Code of Practice has remained unlikely to have either a positive or negative impact on any academic due to marital status.

Gender reassignment

The mode of selection followed under the Code of Practice remains unlikely to have either a positive or negative impact on any academic due to gender reassignment, although no academic has indicated that they come under this protected characteristic.

Anjum Saad
Human Resources Manager
The Courtauld Institute of Art

Appendix D – Equal Opportunities Policy

The purpose of this policy is to ensure that there is no discrimination against any person because of a protected characteristic of the Equality Act 2010: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief (including lack of belief), sex, sexual orientation, or because of parental or caring responsibilities, or trade union membership.

Scope and Responsibility

This policy applies to all permanent and temporary employees working under a contract of employment, students, self-employed people with a contract for services within the Institute, volunteers or contract/agency workers.

All individuals referred to within this policy are required to adhere to its terms and conditions.

All managers are responsible for ensuring that the policy and procedure is applied in their area.

The HR Manager is responsible for the maintenance, review and updating of this policy in event of any changes to legislation, ensuring proper consultation with staff and locally recognised trade union representatives.

Policy

There will be no discrimination against any person because of a protected characteristic involving job applicants, employees, students, volunteers, self-employed people with a contract for services with the Institute or contract/agency workers.

The Institute will appoint, develop, train and promote on the basis of merit and ability.

All individuals referred to in this policy have personal responsibility for the practical application of the Institute's equal opportunities policy.

The Institute will always try to avoid redundancy situations. However when such a situation arises, as a result of changing organisational requirements, selection for any redundancy will be based on purely objective criteria to ensure that there is neither direct nor indirect discrimination in this procedure.

Special responsibility for the practical application of the Institute's equal opportunities policy falls upon managers and supervisors involved in the recruitment, selection, promotion, training and day-to-day management of all persons referred to in this policy. These special responsibilities may give rise to training needs for which provision will be made, either through the appraisal procedure or by training needs analysis.

The Institute's grievance policy is available to any employee who believes that he or she may have been unfairly discriminated against. A student who claims to have been unfairly discriminated against will be entitled to pursue a complaint in accordance with the appropriate code set out in the Student Regulations.

Disciplinary action will be taken against any employee or student who is found to have committed an act of discrimination. Serious breaches of the policy will be treated as gross misconduct, as will harassment on any grounds.

In the case of any doubt or concern about the application of the policy in any particular instance, an employee should consult their manager or the HR Manager.

This policy is a commitment to make full use of the talents and resources of all our employees, and to provide a healthy environment, which will encourage good and productive working relations within the Institute. The operating code below describes how the policy is to be applied throughout the Institute.

The Institute is particularly concerned to achieve the following objectives:

All recruitment, promotion, opportunities for training and access to facilities and benefits will be without regard to any of the protected characteristics.

No employee or student will be disciplined or dismissed or suffer any harm or damage because of a protected characteristic.

The equal opportunities policy will be put on the intranet and communicated to all employees through induction and other appropriate communication channels.

Managers and supervisors will be thoroughly trained in the principles of equal opportunities, apply the principles consistently and deal with any breaches of the policy promptly and thoroughly.

No employee or student who, in good faith, raises a complaint that the equal opportunities policy has been breached will be victimised.

The policy will be regularly monitored to ensure that the principles of equal opportunities are being observed throughout the Institute.

For the avoidance of doubt, the following definitions apply within this operational code:

Direct discrimination

Direct discrimination is where a person is treated less favourably than another person because of a protected characteristic they have or are thought to have (see perception discrimination below), or because they associate with someone who has a protected characteristic. Example: only male job applicants are shortlisted for an interview because it is assumed that a woman will not fit into the department.

Perception discrimination

This is considered to be direct discrimination where a person is treated less favourably than another person because it is thought that they possess a particular protected characteristic. It applies even if the person does not actually possess that characteristic eg a wellbeing officer refuses to work with a student because they believe the student to be gay, irrespective of whether the student is gay or not.

Discrimination by association

This is where a person is treated less favourably than another person because they associate with another person who possesses a protected characteristic eg a student, whose child has attention deficit hyperactivity disorder, is refused access to the graduation ceremony because of fears about the child's behaviour.

Indirect discrimination

Indirect discrimination is where a person is treated less favourably than another person because of a condition, rule, policy or even a practice that applies to everyone and appears to be neutral but its impact particularly disadvantages people who share a protected characteristic eg a requirement for regular late evening work may indirectly discriminate against women who are more likely to be primary carers of children. This can be justified if the Institute can show that it acted reasonably and it is a proportionate means of achieving a legitimate aim.

Harassment

Harassment is unwanted conduct related to a relevant protected characteristic, which has the purpose or effect of violating an individual's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that individual. Harassment applies to all protected characteristics except for pregnancy and maternity and marriage and civil partnership. Individuals are protected from harassment if they are perceived to have, or associate with someone with, a protected characteristic. Example: A is disabled and claims harassment against her line manager after he frequently teased and humiliated her about her disability. B shares an office with A and he too is claiming harassment, even though he is not disabled, as the manager's behaviour has created an offensive environment for him also.

Victimisation

This is when a person is treated less favourably than another person because they have made or supported a complaint or have asserted their rights under this or any other policy (this covers both those bringing complaints or those acting as a witness in any investigation of a complaint).

The Protected Characteristics

Age

In accordance with this policy, the Institute will not unfairly discriminate on the grounds of age in any of its policies and procedures. The default retirement age of 65 remains until April 2011, and it will then be removed in line with employment legislation.

Disability

The Institute is proactively committed to equality of opportunity for disabled individuals in all of its policies and procedures, and does not discriminate against any person because of their disability. Under the Equality Act 2010, a person is disabled if they have a physical or mental impairment which has a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities.

Gender reassignment

The Institute does not discriminate against or treat a transsexual person less favourably to any other person.

Marriage and civil partnership

The Institute does not discriminate against or treat a person less favourably because they are married or in a civil partnership.

Pregnancy and maternity

The Institute does not discriminate against or treat any woman less favourably on the grounds of pregnancy and maternity.

Race

The Institute is actively committed to promoting equality of opportunity on the grounds of race. It will work to eliminate discrimination on the grounds of race and to promote good relations between individuals of different racial groups. Race for this purpose includes colour, nationality and ethnic or national origins.

Religion or Belief

All staff, regardless of their religion, religious or philosophical belief, or lack of religion and/or belief, are required to work in accordance with their contract. However, the Institute will consider carefully requests from members of staff who require flexibility arising from their religious or cultural obligations and beliefs. The Institute will give appropriate consideration to requests from members of staff for extended, special or unpaid leave, timing of annual leave, changes in hours of working, in light of the business needs of the Institute.

Sex

The Institute does not discriminate against or treat an individual less favourably because of their sex.

Sexual orientation

The Institute does not discriminate against or treat an individual less favourably because of their sexual orientation.

Admission and treatment of students

The Institute is committed to an objective, transparent, and fair admissions procedure and proactively works to ensure that no student is discriminated against or treated less favourably than any other student.

Employment

Recruitment

All jobs are made open to all applicants. No assumptions or pre-judgements are made by managers or recruiters about suitability for a particular job, e.g. preferences of co-workers, customers, or suppliers must not be pre-supposed.

No decision is made, or preference stated, in advance, regarding the type of person preferred at the start of the recruitment process, e.g. making the post open to men only except in cases of Genuine Occupational Qualification.

All applications are given equal consideration.

Every attempt should be made to ensure that members of selection panels are not of one gender only but contain appropriate representation of the diversity of the workforce at The Courtauld.

Job description and person specification

The duties of a job and the requirements of the person to perform it shall be identified before recruitment begins. The job shall be designed to fulfill the needs intended and the educational qualifications, knowledge, experience, and skills and abilities shall be those that are essential for the effective performance of the job. These shall be reviewed regularly to ensure they remain valid.

Attracting Applicants

Job titles and job content are presented without bias, and relate only to the requirements of the job. Jobs are described in such a way that no qualified person is deterred from applying.

There is nothing, in either words or illustrations, to indicate any role stereotyping.

Vacancies are advertised in as wide a variety of ways as is reasonably practicable, taking account of resources available, with the aim of informing different groups about work opportunities at the Institute.

Copies of the Institute's written equal opportunities policy are given to any recruitment and advertising agencies that are involved in any recruitment process.

Where under-representation has been identified, advertisements may encourage applicants from the under-represented group while making it clear that the eventual selection will be solely on the basis of suitability for the job.

Application Forms

All questions on the application form are relevant and non-discriminatory.

Application forms include only those questions that are essential at this stage.

Alternative methods of application may be used where the completion of an application form would require a higher standard of English or comprehension than is necessary for the performance of the job (eg the interviewer can record the information); people with disabilities may also be assisted in this way.

Interviewing and Selection

Interviewers and those making selection decisions shall be aware of their responsibilities under the relevant legislation and the Institute's Equal Opportunities Policy and, where necessary, be provided with any necessary training.

All employees involved in the selection and recruitment process will take an unbiased approach. Shortlisting and interviewing shall normally be the responsibility of more than one person to help ensure that each candidate receives impartial consideration and generalised assumptions, which may lead to discrimination, are avoided.

All questions asked relate purely to the competencies required for the job.

No questions are asked or assumptions made about a person's personal or domestic circumstances.

All selection criteria must be strictly related to the objective competencies for the job.

Any shift-working or job mobility requirements must be absolutely essential and are objectively justified.

All requirements for educational and professional qualifications must be valid and job-related.

Due recognition is given to experience as a substitute for formal qualifications where possible. All previous experience is taken into account including voluntary work, work within the home and family responsibilities.

Selection tests must be free of bias and non-discriminatory in content, administration and scoring. Each selection decision is monitored to ensure this policy has been observed.

Training and Development

The Institute will ensure that there is equal opportunity for all employees in respect of access to relevant training for their job and for career development. All employees responsible for carrying out performance appraisals will be trained and advised to ensure that assessment criteria are objective, relevant and not discriminatory to any person or groups of people. The following list provides some examples of how the policy should be processed:

All training and development reflects the principles of the equal opportunities policy.

Selection to attend courses is free from bias.

Courses, materials and validation processes are free from bias.

Each promotion and transfer opportunity decision is monitored to ensure this policy has been observed.

All new employees will have a period of induction, to be overseen by the responsible line manager. All employees will have regular meetings with their line manager. The purpose of such meetings is to ensure that employees are working to their job descriptions, in the best interests of clients and the Institute and to offer support and identify training needs, enabling them to perform to the best of their ability.

All employees are subject to an agreed annual appraisal procedure, to be carried out by their line manager. The purpose of this is to focus upon the employee's performance in their job, to identify goals for career development and to identify training needs, to help meet their goals.

Working conditions

Benefits, facilities and services

The Institute will ensure that: equality is observed in the application of pay and all other terms and conditions; all posts are analysed and evaluated to determine the appropriate salary grade for the post; all appropriate benefits, facilities and services are made available to all employees; reasonable and practicable adjustments are made to ensure that facilities and services are available to people with disabilities; consideration is given to any reasonable requests relating to special needs of an employee or student, eg. caring responsibilities, religious beliefs.

Harassment

The Institute is committed to promoting equality, diversity and an inclusive and supporting environment for its staff, students and others closely associated with its work and affirms the rights of individuals to be treated fairly and with respect. Sexual, racial and other forms of harassment and bullying will not be tolerated and proven complaints will be dealt with in the context of the Harassment and Bullying Policy. Harassment and bullying are defined as unacceptable behaviour towards an individual which has the purpose or effect of violating someone else's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment.

Examples of conduct that could constitute harassment or bullying, include:

any physical contact which is unwanted; coercion or isolation; display of offensive material; offensive jokes; unwelcome remarks about a person's dress, appearance, race, or age etc; personal insults; persistent criticism.

In support of this, the Institute will:

provide a working environment, which respects the rights of each individual, and where persons treat each other with the utmost respect;

constantly reinforce the principles that any behaviour, which adversely affects an individual's dignity, is totally unacceptable and will not be tolerated under any circumstances;
 make it everyone's responsibility to ensure that harassment has no place in the Institute;
 recognise the sensitivity of harassment situations by operating an open door policy to discuss problems initially on an informal basis;
 investigate official complaints of harassment swiftly and confidentially while ensuring that the rights of all parties are protected.

Every reasonable effort will be made to enable members of staff who become disabled while employed with the Courtauld, to remain within its employment. Similarly, the Institute will make every reasonable effort to enable a student who becomes disabled to continue in their studies.

Grievance and Disciplinary Procedures

An employee with a grievance under equal opportunities should follow the grievance procedure as set out in the terms and conditions of employment and in line with statutory regulations. However, before taking a decision to follow the formal procedure, an employee has the right to approach HR, their manager, or another manager, if more appropriate, for informal, confidential advice.

Disciplinary procedures shall be used to deal with discrimination complaints, such as behaviour, language, victimisation, harassment.

Service delivery

All of the Institute's in-house services will be provided in line with this policy. The Institute will also, as far as it is possible, seek to ensure that all contracted-out services are provided in line with this policy.

Volunteers

The Institute will: review and promote means to develop the diversity of the Institute's volunteers; communicate the equal opportunities policy and its implications to volunteers.

Monitoring and evaluation

This policy will be monitored and evaluated at all levels of organisational activity as to its effectiveness. Monitoring will include analysis of data in respect of: recruitment, admission, employee and student composition, training reports and programmes, grievances, disciplinarys, harassment or other complaints.

Appendix E – Bullying and Harassment Policy

Purpose

The Courtauld Institute of Art has a firm commitment to equality of opportunity and so to ensuring an environment in which the dignity of individuals is respected. The purpose of this policy is to assist in developing a working and learning environment in which harassment and bullying are known to be unacceptable and where individuals have the confidence to complain about such behaviour, if it should arise, in that knowledge that their concerns will be dealt with appropriately and fairly.

Scope and Responsibility

This policy applies to all employees, permanent, fixed-term or temporary, consultants, contractors, students, agency staff, volunteers, interns, self-employed people with a contract for services and any other individual who works for The Courtauld.

Every person working for The Courtauld will be accountable for the operation of this policy as they carry responsibility for their own behaviour and actions, on and off site during working hours or any activity associated with their employment.

All staff in a managerial position are responsible for seeking to prevent any infringement of the policy amongst the staff for whom they are responsible.

Any employee who breaches this policy will face disciplinary action, which could result in dismissal for gross misconduct.

The Human Resources Manager is responsible to provide advice and guidance on this policy to all members of staff.

Aim

The aim of this policy is to prevent any form of harassment or bullying of any member of The Courtauld through:

raising awareness of the effect of behaviour on others;
 assisting staff to find effective ways to deal with behaviour they find difficult and/or unreasonable;
 referral to the formal procedure within this document and to the appropriate disciplinary procedure where necessary.

Definitions

Harassment and bullying is defined as unacceptable behaviour as perceived by the employee, which subjects an individual or group to unwelcome attention, intimidation, humiliation or ridicule, or violating an employee's dignity.

Harassment is defined as behaviour that is offensive and/or intimidating, unwanted, and which creates working conditions or an environment or another form of detriment about which a reasonable person could justifiably complain. The behaviour or treatment may relate to any of the protected characteristics of the Equality Act 2010 (see Equal Opportunities Policy https://www.courtauld.ac.uk/intranet/staff/terms_conditions/index.shtml), or any other reason.

Bullying is defined as a form of harassment that is considered to be offensive, abusive, intimidating, malicious or insulting behaviour which makes the recipient feel upset, threatened, humiliated or vulnerable. Bullying can undermine an individual's self-confidence, competence and self-esteem.

Examples of behaviour which is likely to constitute harassment or bullying are given below. The list is not exhaustive and other forms of harassment or bullying will be viewed equally seriously:

- unnecessary or unwanted physical contact; invasion of personal space
- sexually suggestive behaviour, or compromising sexual invitations or demands
- racial harassment, including racist jokes or graffiti
- displaying offensive material
- unwarranted or suggestive remarks
- verbal or written abuse including non-communication and deliberate and/or inappropriate exclusion from social events
- derogatory name-calling and insults
- threats of a physical or psychological nature
- victimisation because of someone's gender, race, disability, sexual orientation, age, religion or other beliefs, or any other characteristic
- bullying behaviour or language that causes fear or distress to others
- abuse of power by someone in authority, or bullying by junior staff towards a member of senior staff
- abuse of power by full-time staff over part-time staff
- incitement of others to commit harassment
- electronic messages or electronic displays of sexually suggestive pictures or literature (including email and text messages)
- inappropriate and derogatory remarks in connection with performance
- inappropriate literature, pictures, books or tapes.

Harassment usually consists of persistent behaviour although one single act may be considered to be sufficiently serious to warrant disciplinary action, including dismissal.

If an individual makes a complaint of harassment or bullying, either informally or formally, to their line manager or Head of Department, there is a duty to consider it carefully and take appropriate action.

Procedures

Informal procedure

Complainant's initial action

As soon as possible after the harassment starts, the individual should make it clear that they find the behaviour offensive. Sometimes people are not aware that the behaviour is unwelcome and informal discussions can lead to greater understanding and an agreement that the behaviour will not reoccur. It may be helpful to talk to the HR Manager, their line manager, or another colleague before making the approach.

If the harassment is by the line manager, then the employee can seek support from their line manager's manager, the HR Manager, trade union representative or another colleague.

If the behaviour persists, the individual may wish to start to make a note of dates and details of any relevant incidents. Details should include: date and time of the first incident of harassment and any subsequent incidents; location of incident; nature of incident (to cover both parties and comments of the other parties); feelings of the person being harassed at the time; names of any witnesses.

This information should be stored safely until the matter has been resolved. All discussions at this stage will be confidential and informal.

Resolving complaints

An investigation into an allegation of harassment can prove traumatic and stressful for all parties, and it is essential that the matter is handled quickly, sensitively and tactfully.

In many cases it is helpful, and indeed preferable, for all concerned that the matter is dealt with and resolved at a local and informal level.

The complainant should discuss the matter with their line manager or, if not appropriate, the HR Manager or another senior manager whom they trust. The manager will take notes of the incident and discuss the options for dealing with the situation. Any notes taken will be destroyed, if the case is satisfactorily resolved.

In all cases, the line manager will discuss the complaint with the HR Manager and decide on an appropriate way forward. This will involve an initial investigation into the facts of the case. Agreement will also be reached on whom is the most appropriate person to speak to the alleged harasser; normally this will be the line manager. Where the complaint involves an alleged harasser who reports to a different line manager, then the complainant's line manager will request the other line manager to do this.

Formal procedure

If the informal approach does not resolve the matter satisfactorily, then the individual may decide to make a formal complaint. This must be made in writing to the line manager and the HR Manager. If it is not appropriate to submit the complaint to the line manager, the complaint should be submitted to the Head of Department and HR Manager.

If formal action is to be considered, a full investigation of the complaint will be undertaken which will include examining written evidence, interviewing appropriate people including witnesses and conducting any such enquiries as are thought necessary. In the light of the investigation, the manager and HR Manager will decide what action is to be taken, which may include The Courtauld's Disciplinary Policy being initiated.

The investigation will be carried out without delay, within agreed timescales and with the rights of all individuals protected and confidentiality maintained.

If the allegation is of a serious nature that amounts to gross misconduct under the Disciplinary Procedure, consideration will be given to immediate action under that procedure, which may include suspension of the individual against whom a complaint has been made.

The disciplinary process

Having decided that a disciplinary meeting is appropriate, the manager concerned should consider how to deal with the matter sensitively, knowing the nature of the allegations.

If the complaint of harassment or bullying is upheld, and disciplinary action is taken, the line manager, with advice from the HR Manager, should monitor the situation to ensure that there is no repeat in the offending behaviour and/or victimisation.

If the complaint is not upheld, the line manager, with advice from the HR Manager, should consider if any further action is required, such as training, follow-up reviews with the concerned individuals.

If the evidence suggests that the complaint was made vexatiously or maliciously, disciplinary action will be taken.

There is no right of appeal under the Harassment procedures. If any of the individuals consider that the matter has not been dealt with satisfactorily, they should raise their concerns through the Grievance procedure.

Support and training

The Courtauld will endeavour to provide appropriate training and support to employees who cause or suffer harassment to avoid a reoccurrence.

Review

The policy will be monitored and regularly reviewed by The HR Manager.

Appendix F – Disciplinary Policy

NB: The Courtauld's Disciplinary Policy only applies to staff on academic contracts.

Disciplinary procedures

13. (1) Minor faults shall be dealt with informally.

(2) Where the matter is more serious but falls short of constituting possible good cause for dismissal the following procedure shall be used -

Stage 1 - Oral Warning

If conduct or performance does not meet acceptable standards the member of the academic staff will normally be given a formal ORAL WARNING. The member will be advised of the reason for the warning, that it is the first stage of the disciplinary procedure and of the right of appeal under this paragraph. A brief note of the oral warning will be kept but it will be spent after 12 months, subject to satisfactory conduct and performance.

Stage 2 - Written Warning

If the offence is a serious one, or if a further offence occurs, a WRITTEN WARNING will be given to the member of the academic staff by the Head of Department (or, if there is no Head of Department, other person designated by the Governing Board). This will give details of the complaint, the improvement required and the timescale. It will warn that a complaint may be made to the Secretary seeking the institution of charges to be heard by a Tribunal appointed under paragraph 16 if there is no satisfactory improvement and will advise of the right of appeal under this paragraph. A copy of this written warning will be kept by the Head of Department (or the other person designated by the Governing Board) but it will be disregarded for disciplinary purposes after 2 years subject to satisfactory conduct and performance.

Stage 3 - Appeals

A member of the academic staff who wishes to appeal against a disciplinary warning shall inform the Secretary within two weeks. The Deputy Director, (or, if there is no Deputy Director, another person designated by the Governing Board) shall hear all such appeals and the Deputy Director's decision shall be final.

Preliminary examination of serious disciplinary matters

14. (1) If there has been no satisfactory improvement following a written warning given under Stage 2 of the procedure in paragraph 13, or in any other case where it is alleged that conduct or performance may constitute good cause for dismissal or removal from office, a complaint seeking the institution of charges to be heard by a Tribunal appointed under paragraph 16 may be made to the Secretary who shall bring it to the attention of the Director.

(2) To enable the Director to deal fairly with any complaint brought to the Director's attention under sub-paragraph (1) Director shall institute such investigations or enquiries (if any) as appear to the Director to be necessary.

(3) If it appears to the Director that a complaint brought to the Director's attention under sub-paragraph (1) relates to conduct or performance which does not meet acceptable standards but for which no written warning has been given under paragraph 13 or which relates to a particular alleged infringement of rules, regulations or byelaws for which a standard penalty is normally imposed in the Courtauld, or is trivial or invalid the Director may dismiss it summarily, or decide not to proceed further under this Part.

(4) If the Director does not dispose of a complaint under sub-paragraph (3) the Director shall treat the complaint as disclosing a sufficient reason for proceeding further under this Part and, if the Director sees fit, the Director may suspend the member on full pay pending a final decision.

(5) Where the Director proceeds further under this Part the Director shall write to the member of the academic staff concerned inviting comment in writing.

(6) As soon as may be following receipt of the comments (if any) the Director shall consider the matter in the light of all the material then available and may -

(a) dismiss it; or

(b) refer it for consideration under paragraph 13; or

(c) personally deal with it informally if it appears to the Director appropriate to do so and if the member of the academic staff agrees in writing that the matter should be dealt with in that way; or

(d) direct the Secretary to prefer a charge or charges to be considered by a Tribunal to be appointed under paragraph 16.

(7) If no comment is received within 28 days the Director may proceed as aforesaid as if the member concerned had denied the substance and validity of the alleged case in its entirety.

Institution of charges

15. (1) In any case where the Director has directed that a charge or charges be preferred under paragraph 14(6)(d), the Director shall request the Governing Board to appoint a Tribunal under paragraph 16 to hear the charge or charges and to determine whether the conduct or performance of the member of the academic staff concerned constitutes good cause for dismissal or otherwise constitutes a serious complaint relating to the member's appointment or employment.

(2) Where the Governing Board has been requested to appoint a Tribunal under clause 16 the Secretary or, if the Secretary is unable to act, another officer appointed by the Director shall take charge of the proceedings.

(3) The officer in charge of the proceedings shall formulate, or arrange for the formulation of, the charge or charges and shall present, or arrange for the presentation of, the charge or charges before the Tribunal.

(4) It shall be the duty of the officer in charge of the proceedings

(a) to forward the charge or charges to the Tribunal and to the member of the academic staff concerned together with the other documents therein specified, and

(b) to make any necessary administrative arrangements for the summoning of witnesses, the production of documents and generally for the proper presentation of the case before the Tribunal.

The Tribunal

16. A Tribunal appointed by the Governing Board shall comprise:

- (a) a Chairman; and
- (b) one member of the Governing Board, not being a person employed by the Courtauld; and
- (c) one member of the academic staff nominated by the Academic Board:

Provided that in any case where the member of the academic staff concerned is a Professor or Reader of the University, the Tribunal shall include, in addition to the members referred to under sub-paragraphs (b) and (c), two members nominated by the University, not being persons employed by the Courtauld.

Provisions concerning Tribunal procedure

17. (1) The procedure to be followed in respect of the preparation, hearing and determination of charges by a Tribunal shall be that set out in Regulations made under this paragraph.

(2) Without prejudice to the generality of the foregoing such Regulations shall ensure -

- (a) that the member of the academic staff concerned is entitled to be represented by another person, whether such person be legally qualified or not, in connection with and at any hearing of charges by a Tribunal;
- (b) that a charge shall not be determined without an oral hearing at which the member of the academic staff concerned and any person appointed by the member of the academic staff to represent the member of the academic staff are entitled to be present;
- (c) that the member of the academic staff and any person representing the staff member may call witnesses and may question witnesses upon the evidence on which the case against the member of the academic staff is based; and
- (d) that full and sufficient provision is made for
 - (i) postponements, adjournments, dismissal of the charge or charges for want of prosecution, remission of the charge or charges to the Director for further consideration and for the correction of accidental errors; and
 - (ii) appropriate time limits for each stage (including the hearing) to the intent that any charge thereunder shall be heard and determined by a Tribunal as expeditiously as reasonably practicable.

Notification of Tribunal decisions

18. (1) A Tribunal shall send its decision on any charge referred to it (together with its findings of fact and the reasons for its decision regarding that charge and its recommendations, if any, as to the appropriate penalty) to the Director and to each party to the proceedings.

(2) A Tribunal shall draw attention to the period of time within which any appeal should be made by ensuring that a copy of Part V (Appeals) accompanies each copy of its decision sent to a party to the proceedings under this paragraph.

Powers of the appropriate officer where charges are upheld by Tribunal

19. (1) Where the charge or charges are upheld and the Tribunal finds good cause and recommends dismissal or removal from office, but in no other case, the appropriate officer shall decide whether or not to dismiss the member of the academic staff concerned.

(2) In any case where the charge or charges are upheld, other than where the appropriate officer has decided under sub-paragraph (1) to dismiss the member of the academic staff concerned, the action available to the appropriate officer (not comprising a greater penalty than that recommended by the Tribunal) may be -

- (a) to discuss the issues raised with the member concerned; or
- (b) to advise the member concerned about that member's future conduct; or
- (c) to warn the member concerned; or
- (d) to suspend the member concerned for such period as the appropriate officer shall think fair and reasonable, not to exceed 3 months after the Tribunal's decision; or
- (e) any combination of any of the above or such further or other action under the member's contract of employment or terms of appointment as appears fair and reasonable in all the circumstances of the case.

Appropriate Officers

20. (1) The Director shall be the appropriate officer to exercise the powers conferred by paragraph 19 and any reference to the appropriate officer includes a reference to a delegate of that officer.

(2) Any action taken by the appropriate officer shall be confirmed in writing.

Appendix G – Terms of Reference of the Academic Board

Purpose

Subject to the responsibilities of the Governing Board and of the Director, the Academic Board shall be responsible for the following matters, having regard at all times to the educational character and objectives of the Courtauld as determined by the Governing Board:

- matters relating to the teaching, courses, scholarship and research of the Courtauld, including the criteria for the admission of students; the appointment and removal of internal and external examiners; policies and procedures for the examination and assessment of the academic performance of students; the content of the curriculum; the quality of courses, academic standards and the validation and review of courses; provisions relating to the expulsion of students for academic reasons;
- considering the development of the academic activities of the Courtauld and the resources needed for them and advising the Director and the Governing Board thereon; and
- such other matters as the Governing Board or the Director may assign to the Academic Board from time to time.

In addition, no decisions of the Governing Board on questions of educational policy shall be made until the Academic Board has had the opportunity of expressing an opinion.

In particular, the Academic Board is responsible for organising an institutional academic review every five years. The Board may set up a Misconduct Sub-Committee each year to deal with any cases of student discipline.

Membership

Members of the Committee shall be appointed by the Chair. The Committee shall comprise as a minimum:

- the Director (who shall be Chair of the Academic Board)
- Courtauld Faculty Academic Staff*
- the Head of Student and Academic Services
- the Head of Public Programmes
- the Head of The Courtauld Gallery
- the Head of Libraries

- the President of the Student Union, together with one other person enrolled on a postgraduate or, if the SU president is a postgraduate, and undergraduate course of study at The Courtauld
- Not less than two or more than six other members to be co-opted by the Academic Board (subject to the agreement of the Governance, Nomination and Remuneration Committee on behalf of the Governing Board). Such co-opted members shall serve for an initial fixed term of [three] years [and thereafter will be eligible for reappointment for a further term of three years].

The Articles of Association define Academic Staff as “persons employed by The Courtauld who have the title of Professor, Reader, Senior Lecturer or Lecturer, or are appointed to any other post designated by the Governing Board as a post on the academic staff of The Courtauld.”

Other individuals, including relevant members of other departments, Associate Lecturers, Research Fellows and visiting faculty, may be invited to attend meetings in whole or in part, at the discretion of the Chair.

Attendance

Only Academic Board members shall have the right to attend the Academic Board meetings. Other individuals, including relevant members of management and Associate Lecturers, may be invited to attend meetings in whole or in part, at the discretion of the Chair.

Quorum

The quorum for meetings will be 10 members, including the Director and Dean. Academic Board members participating by video or audio conferencing will count to the quorum.

Meeting frequency

The Academic Board will meet 3 times a year at appropriate times in the academic cycle and otherwise as required. The Chair and Secretary will ensure that sufficient notice of meetings is given to Academic Board members.

Committee authority

The Academic Board has the specific powers set out in the Articles of Association and these terms of reference and has the full power to act in relation to the matters delegated to it.

The agenda of the Academic Board is divided into two sections: above and below the line. Items above the line will deal with policy and strategy and any major changes arising from the sub- committee minutes; most questions of process will be reported “below the line” without further discussion, with the proviso that “substantive issues” can be raised if this is

agreed with the Chair (the Director) by the end of the day two days before the meeting. In the list below the functions that will normally fall “below the line” are indicated in italics.

- Power to devolve and take back powers of decision over specified academic matters to the TLC and any other committees the Board may wish to set up (n.b. decisions devolved to those committees will be reported to the Board, but not discussed).
- To oversee and approve an annual planning statement that sets and monitors strategic and operational priorities and targets (what used to be called agenda setting).
- To approve the policies and programmes of the Research Forum.
- To support and enhance the research activities of staff, and to approve policies and procedures relating to the Research Committee.
- To approve policy and procedures in relation to research degrees (including recommendations from the Research Degrees Committee).
- To develop policy and strategy in response to the Academic Infrastructure established by the QAA and other bodies.
- To develop the Learning and Teaching Strategy in line with the Strategic Plan of the Institute.
- In line with the Strategic Plan, to decide on the implementation of new academic policies and programmes, taking into consideration recommendations made by working groups (set up, for instance, on the initiative of the Director).
- To approve criteria for admissions to all programmes (only major changes would be treated as “above the line”).
- To decide policy for the Widening Participation Strategy and to support the work of the Admissions and Widening Participation Committee.
- To confirm the appointment and removal of external examiners.
- To set examination and assessment policies, and to approve changes in regulations and procedures (only major changes would be considered “above the line”).
- To make final decisions on changes to the content of the curriculum of all programmes (only major changes to course structures and delivery within programmes would be “above the line”).

- To approve student regulations including those relating to the termination of registration.

Areas of responsibility

Having regard at all times to the educational character and objectives of The Courtauld as determined from time to time by the Governing Board and subject to the responsibilities of the Governing Board and the Director, the Academic Board's areas of responsibility shall be:

TEACHING, COURSES, SCHOLARSHIP AND RESEARCH

The Academic Board shall be responsible for all matters relating to:

- the teaching, courses, scholarship and research of The Courtauld, including the criteria for admission of Students
- the appointment and removal of internal and external examiners
- policies and procedures for the examination and assessment of the academic performance of Students
- the content of the curriculum
- the quality of courses, academic standards and the validation and review of courses, and
- provisions relating to the expulsion of Students for academic reasons

ADVICE TO THE DIRECTOR AND THE GOVERNING BOARD

The Academic Board shall provide recommendations and advice to the Director and the Governing Board, either directly or via the Chairman's Committee, on all matters relating to:

- the academic strategy of The Courtauld
- the development of the academic activities of The Courtauld and the resources needed for them, and
- such other matters as the Governing Board or the Director may assign to the Academic Board from time to time

ASSURANCE

The Academic Board shall provide the Director and Governing Board, either directly or via the Chairman's Committee, with assurance in relation to:

- teaching and research at The Courtauld, including the effectiveness of Student admissions, the quality of courses and teaching at The Courtauld, academic and research standards
- all related matters on which the Governing Board is in turn required to make provide assurance to the OfS and other regulatory bodies
- and may make appropriate recommendations as considered necessary or appropriate to the Governing Board, either directly or via the Chairman's Committee.

Working Groups

To assist it in delivery of its responsibilities and to facilitate better informed and more effective decision making, the Committee may establish such working groups as it considers necessary from time to time.

Conduct of meetings

Working with the Secretary, the Chair shall ensure that the Academic Board receives the information it needs to discharge its responsibilities and that the meeting planning allows sufficient time for discussion and debate on key items. In finalising the agenda for the Academic Board meetings, the Chair and the Secretary will ensure that any recommendations from Committees of the Governing Board as to potential items of business for the Academic Board are taken into consideration.

The Academic Board may investigate and seek any information it requires from any employee of The Courtauld in order to perform its duties and may require any such employee to attend a meeting. The Academic Board may obtain, at The Courtauld's expense, outside legal or other professional advice it may require to discharge its responsibilities and secure the attendance of outsiders with relevant experience and expertise as the Chair may consider necessary.

The Chair is expected to foster an open and inclusive discussion where views, recommendations and advice are actively canvassed in the meeting, support is offered to management and constructive challenge is given whenever appropriate.

Confidentiality of Committee papers

Many of the Committee papers are commercially sensitive. Committee materials which are marked as 'Not for Circulation' must not be shared beyond the Committee members.

Conflicts of interest

All Committee members (including the Chair) have a duty to avoid conflicts of interest; that is, a situation where a Committee member's personal interests or duties/loyalties could be seen as affecting his or her decision making. It is the personal responsibility of each

Committee member to declare any actual or potential conflict of interest in relation to any item of business immediately as it arises and not participate in the discussions on that item.

Register of interests

To ensure that any potential conflicts are identified at an early stage and to allow the Chair to manage the business of the Committee appropriately, the Secretary maintains a list of the outside interests of the Committee members (covering external appointments, controlling shareholdings and other interests, including those of close family members).

It is also the duty of individual Committee members to notify Company Secretary promptly of any changes to his or her declared interests.

Reporting and minutes of Meetings

The Chair will report to the Governing Board on proceedings after each meeting of the Academic Board.

Draft minutes of the Committee will be circulated to all Committee members following review by the Chair. Once approved, the minutes will be circulated to the Academic Board.

Operation of the Academic Board

Secretary – the EA to the Dean & Deputy Director will act as Secretary to the Academic Board and the Chair and members will have full access to the assistance and resources of the Company Secretary to assist it in carrying out its responsibilities.

Terms shall have the same meaning as in the Articles of Association unless separately defined.

Adopted by Academic Board on 28 February, 2019

Appendix H – Terms of Reference of the Research Committee

Purpose

Subject to the responsibilities of the Academic Board, the Research Committee shall be responsible for the following matters:

- To develop the Courtauld's research strategy, in line with the Institute's Strategic Plan
- To encourage and facilitate excellent research, and to seek out ways to support the Institute's research activities intellectually, economically, and ethically.
- To oversee and support the Courtauld's preparations for research assessment exercises (REF2021).
- Delegated power: To be responsible for policy relating to and distributions from the Staff Research Fund.

2020 Membership

Members of the Committee shall be appointed by the Chair.

Category	Member of staff	Length of tenure
Director	Deborah Swallow	ex-officio
Head of Research; Dean and Deputy Director (in the Chair)	Alix Bovey	ex-officio
Chair of the Research Degrees Committee	Stephen Whiteman	ex-officio
Gallery Staff Member	Barnaby Wright	End 2021
Professors	Susie Nash	End 2021
	Sarah Wilson	End 2021
Academic from Conservation and Technology or Wall Paintings	Pia Gottschaller	End 2020
Art historians (lecturer, senior lecturer, or reader)	Jo Applin	End 2020
	Esther Chadwick	End 2021

Secretary: Oliver Wright

Attendance

Only Research Committee members shall have the right to attend the Research Committee meetings. Other individuals, including relevant members of management and Associate Lecturers, may be invited to attend meetings in whole or in part, at the discretion of the Chair.

Quorum

The quorum for meetings will be 5 members, including the Head of Research.

Meeting frequency

The Research Committee meets at least three times each year. Additional meetings may be scheduled to respond to particular issues, e.g., the publication of REF2021 guidelines.

Committee authority

The committee derives its authority from the Academic Board, and has the full power to act in relation to the matters delegated to it.

Areas of responsibility

These are set out in the purpose of the Committee, outlined above.

Working Groups

To assist it in delivery of its responsibilities and to facilitate better informed and more effective decision making, the Committee may establish such working groups as it considers necessary from time to time.

Conduct of meetings

Working with the Secretary, the Chair shall ensure that the Research Committee receives the information it needs to discharge its responsibilities and that the meeting planning allows sufficient time for discussion and debate on key items.

The Research Committee may investigate and seek any information it requires from any employee of The Courtauld in order to perform its duties and may require any such employee to attend a meeting.

The Chair is expected to foster an open and inclusive discussion where views, recommendations and advice are actively canvassed in the meeting, support is offered to management and constructive challenge is given whenever appropriate.

Confidentiality of Committee papers

Many of the Committee papers are sensitive. Committee materials which are marked as 'Not for Circulation' must not be shared beyond the Committee members.

Conflicts of interest

All Committee members (including the Chair) have a duty to avoid conflicts of interest; that is, a situation where a Committee member's personal interests or duties/loyalties could be seen as affecting their decision making. It is the personal responsibility of each Committee member to declare any actual or potential conflict of interest in relation to any item of business immediately as it arises and not participate in the discussions on that item.

Reporting and minutes of Meetings

The Chair will report to the Academic Board on proceedings after each meeting of the Research Committee.

Draft minutes of the Committee will be circulated to all Committee members following review by the Chair. Once approved, the minutes will be circulated to the Academic Board.

Secretary

The Research Manager will be Secretary to the Research Committee.

Appendix I – Terms of Reference of the Ethics Committee (serving as REF2021 Appeals Committee)

Courtauld Institute of Art ("The Courtauld")

Terms of Reference for the Ethics Committee (the "Committee")

To assist the Chairman's Committee in the delivery of its responsibilities and to facilitate better informed and more effective decision making, the Committee has established a number of groups to support it in relation to particular areas.

Purpose:

This Committee is to review and advise the Chairman's Committee on ethical and reputational matters relating to The Courtauld, including whistleblowing, student matters, gift acceptance and research ethics.

Membership:

The Chairman's Committee shall determine the membership of the Committee and appoint a chair who may be an Appointed Governor or such other individual with appropriate skills and experience, as the Chairman's Committee may determine.

The chair of the Committee shall hold office for an initial fixed term of four years and thereafter shall be eligible for re-appointment for a further term of four years. If the chair is an Appointed Governor of the Board, this will be in accordance with their terms as outlined in the Memorandum & Articles of Association.

Operation:

The Committee is advisory and has no delegated authority. It serves to make reports and recommendations, where appropriate, to the Chairman's Committee in a form that best assists the Chairman's Committee and provides the Chair of the Chairman's Committee with all the information needed to ensure that properly informed decisions can be made at Chairman's Committee meetings.

The chair of the Committee shall determine the attendance and mode of operation of the Committee. The Committee will meet as required, for example to review and provide input on a key paper that is being proposed to the Chairman's Committee. It is expected that the President of the Students' Union will be in attendance for matters directly related to students.

It is the intention that the Committee shall operate without unnecessary formality; however, to ensure appropriate records are retained and to ensure transparency, minutes of the Committee will be recorded.

The chair of the Committee will have right of access to the Governing Board.

Appendix J – Confirmation of Staff Agreement for the Process by which Individuals with Significant Responsibility for Research are Identified

What follows is the text of a letter sent by Professor Deborah Swallow (Märit Rausing Director, The Courtauld) to Dr Steven Hill (Director of Research, Research England), dated 19 September 2019:

Dear Dr. Hill,

Thank you for your letter of 16 August. As requested, I am writing to confirm that The Courtauld Institute of Art received full staff agreement for the processes established by the Institute's REF2021 Code of Practice to identify individuals with significant responsibility for research.

On 24 April 2019 I chaired an Extraordinary Meeting of The Courtauld's Academic Board, the purpose of which was to review the draft Code of Practice. This review therefore included the processes related to the identification of individuals with significant responsibility for research.

The Academic Board's membership includes all academic staff within the Institute, along with representatives from The Courtauld's Gallery, Libraries, Public Programmes, and student body. The Board unanimously approved the Institute's Code of Practice on 24 April, subject to revisions set out in the minutes of the meeting and subsequently made to the document ahead of its submission to Research England.

Prior to the Academic Board Extraordinary Meeting, union representatives met with members of The Courtauld's Human Resources department to discuss the Code of Practice (inclusive of the aforementioned processes) and offer their feedback. This meeting took place on 20 March 2019.

The minutes of the Academic Board Extraordinary Meeting on 24 April confirm that union representatives provided their endorsement to the Code of Practice. A copy of these minutes can be provided to Research England as required.

A copy of the text of this letter will be appended to The Courtauld's revised Code of Practice (Appendix J).

Yours sincerely,

*Professor Deborah Swallow
Märit Rausing Director*

Appendix B: Courtauld - Research Committee Terms of Reference

COURTAULD

Research Committee Terms of Reference

Purpose

Subject to the responsibilities of the Academic Board, the Research Committee shall be responsible for the following matters:

To develop the Courtauld's research strategy, in line with the Institute's Strategic Plan;

To encourage and facilitate excellent research, and to seek out ways to support the Institute's research activities intellectually, economically, and ethically;

To oversee and support the Courtauld's preparations for research assessment exercises (e.g. REF2029);

To be responsible for policy relating to and distributions from the Staff Research Fund (delegated power).

Membership

Members of the Committee shall be appointed by the Chair.

Role	Category	End of tenure
Chair	Dean for Research	ex-officio
	Head of Research Development and Management	ex-officio
	Impact Knowledge Exchange and Evaluation Manager	ex-officio
	Executive Dean and Deputy Director	ex-officio
	Head of the Department of Conservation	ex-officio
	Head of the History of Art Department	ex-officio
	Head of the Research Degrees Programme	ex-officio
	One Gallery staff member	–2027
	One Professor	–2027
	One Lecturer, Senior Lecturer, or Reader from Conservation or History of Art	–2027
	Two recent appointees (within 5 years of appointment) or early career researchers including postdoctoral research staff (within 8 years of award of doctorate)	–2026 –2026

COURTAULD

Attendance

Only Research Committee members shall have the right to attend the Research Committee meetings. Other individuals, including relevant members of management and Associate Lecturers, may be invited to attend meetings in whole or in part, at the discretion of the Chair.

Standing attendees

–

Quorum

The quorum for meetings will be 50% of the membership, including the Dean for Research.

Meeting frequency

The Research Committee meets a minimum of three times each year. Additional meetings may be scheduled to respond to particular issues, e.g. the publication of REF guidelines.

Committee authority

The committee derives its authority from the Academic Board and has the full power to act in relation to the matters delegated to it.

Areas of responsibility

These are set out in the purpose of the Committee, outlined above.

Working groups

To assist it in delivery of its responsibilities and to facilitate better informed and more effective decision making, the Committee may establish such working groups as it considers necessary from time to time.

Conduct of meetings

Working with the Secretary, the Chair shall ensure that the Research Committee receives the information it needs to discharge its responsibilities and that the meeting planning allows sufficient time for discussion and debate on key items.

The Research Committee may investigate and seek any information it requires from any employee of The Courtauld in order to perform its duties and may require any such employee to attend a meeting.

The Chair is expected to foster an open and inclusive discussion where views, recommendations and advice are actively canvassed in the meeting, support is offered to management and constructive challenge is given whenever appropriate.

COURTAULD

Confidentiality of committee papers

Many of the Committee papers are sensitive. Committee materials which are marked as 'Not for Circulation' must not be shared beyond the Committee members.

Conflicts of interest

All Committee members (including the Chair) have a duty to avoid conflicts of interest; that is, a situation where a Committee member's personal interests or duties/loyalties could be seen as affecting their decision making. It is the personal responsibility of each Committee member to declare any actual or potential conflict of interest in relation to any item of business immediately as it arises and not participate in the discussions on that item.

Reporting and Minutes of meetings

The Chair will report to the Academic Board on proceedings after each meeting of the Research Committee.

Draft minutes of the Committee will be circulated to all Committee members following review by the Chair. Once approved, the minutes will be circulated to the Academic Board.

Secretary

The Research Officer will be Secretary to the Research Committee, who will not be a voting member.

Appendix C: REF Working Group Terms of Reference

COURTAULD

The Courtauld REF Working Group Terms of Reference

The Courtauld REF Working Group comprises representatives from interested departments across The Courtauld, to inform, shape, and ensure the strength of The Courtauld's REF2029 strategy.

Responsibilities

The role and responsibility of the REF Working Group is:

- To report to the Research Committee on the REF2029 submission in line with the Courtauld Research Strategy and with an emphasis on maximising the benefit of REF2029 to The Courtauld.
- To coordinate REF2029 selection of outputs, impact case studies and to inform and shape the PCE narrative.
- To identify and commission external advice and services in relation to REF2029 submission and monitoring progress.
- To ensure effective communication with staff and other relevant committees to support transparency and inclusivity in decision making and ensuring a closed feedback loop.
- To develop the REF2029 code of practice and ensure it is consistently applied in the selection of outputs for submission.
- To review equality impact assessments (EIA) to ensure consistent application of REF2029 code of practice to promote inclusivity and avoid discrimination.
- To treat in confidence the matters and business discussed in this group and to ensure that the above duties are carried out with due regard to equality and diversity thereby avoiding discrimination.

Membership

The REF working group will comprise:

- Dean for Research
- Head of Research Development and Management
- Impact, Knowledge Exchange and Evaluation Manager
- Member of People Team
- Faculty members by invitation, to include History of Art and Conservation
- One or more members of the Gallery
- Member of the Library team
- Member of the Research Forum where appropriate
- Member of the PGR community where appropriate

The working group reserves the right to co-opt members for fixed periods as appropriate and additional members may be invited for specific items, including, where appropriate, external advisors.

Operation

COURTAULD

The working group will meet three times a year to conduct its business and will conduct some business electronically. Additional meetings may be scheduled to respond to particular issues, e.g., the publication of REF guidelines.

Appendix D: Courtauld - Equality, Diversity and Inclusion Policy

The Courtauld

Equality, Diversity and Inclusion Policy

Sensitivity	<i>Public</i>
Effective date	<i>January 2025</i>
Policy area	<i>Governance</i>
Responsible officer	<i>Director of Governance</i>
Approved by	<i>Governing Board – 2 December 2024 SMT – 18 November 2024</i>
Consultation	<i>Students' Union JCNC EDI Steering Group</i>
External references	<i>Equality Act 2010</i>
Internal references	<i>Detailed within Policy</i>
Version history	<i>V1.0</i>
Supersedes	<i>This Policy supersedes the Equal Opportunities Policy dated November 2013, last reviewed 2016</i>
Review date	<i>November 2027</i>

Contents

Purpose and Scope	2
Policy Statement.....	2
Legislative Context.....	2
Roles and Responsibilities	3
Related policies and procedures	3
Communication and Dissemination	4
Support and Resources	4
Review	4

The Courtauld

Purpose and Scope

The purpose of this Policy is to set out our commitment to equality, diversity and inclusion. It underpins our aim to provide an environment which is free from all forms of unfair treatment, discrimination and harassment for those who study, work and engage with The Courtauld and informs all aspects of our activities including our wider policy and decision-making frameworks.

This policy applies to all staff, students, Governors and committee members, contract and agency workers, volunteers and those providing services to The Courtauld.

Each year, The Courtauld publishes an Annual Report to meet expectations under the Public Sector Equality Duty and shape our future plans to support implementation of this Policy. Related equality objectives are considered and published periodically.

Policy Statement

Our Strategic Plan (2024-29) includes as a strategic priority our aim to become a model of inclusion, accessibility and openness within the higher education sector. We believe that a culture of equality, diversity and inclusion also supports wellbeing, promotes a sense of belonging and enables staff and students to perform at their best.

We are committed to change, specifically to:

1. Developing, embracing and maintaining a culture of equality, inclusion, diversity, and anti-racism;
2. Shaping our knowledge, collections, teaching & learning, research and public engagement in ways that reflect our commitment to equality and diversity;
3. Becoming an organisation whose community and audiences better reflect and benefit from the diversity of the world in which we live.

Legislative Context

This policy is set within the Equality Act 2010. The following legislation is also relevant context for the Policy:

- Rehabilitation of Offenders Act 1974
- Section 146 of the Trade Union and Labour Relations (Consolidation) Act 1992
- Protection from Harassment Act 1997
- Human Rights Act 1998
- Section 43 of the Education (No 2) Act 1986, as updated by the Higher Education and Research Act 2017, in relation to free speech.

The Courtauld

Roles and Responsibilities

All members of The Courtauld community have a responsibility to promote equality, diversity and inclusion.

The **Governing Board** is responsible for the approval of this Policy and subsequent amendments. The Board receives an annual report on equality and diversity in support of its obligations under the Public Sector Equality Duty.

On behalf of the Märit Rausing Director, the **Director of Governance** is responsible for oversight and co-ordination of Policy.

Members of the **Senior Management Team** and **Operational Leadership Group** are accountable to the Director for the application of the Policy to all those within its scope.

Managers and supervisors have particular responsibilities given their day-to-day roles in managing staff and their engagement in recruitment, selection and training of staff.

An **EDI Steering Group** is responsible for advising SMT on implementation of this Policy and related policies within The Courtauld.

Related policies and procedures

For staff, please see the Human Resources Hub for full details including:

- Recruitment and selection
- Harassment and Bullying
- Close personal relationships
- Maternity leave, paternity leave and parental leave
- Flexible working
- Disciplinary procedures
- Grievance procedures
- Code of Practice on Free Speech

For students, please see the Student Policies webpage for full details including:

- Sexual Misconduct
- Student Code of Conduct
- Student Complaints
- Code of Practice on Free Speech

For the Gallery:

- Gallery accessibility
- Feedback and complaints

The Courtauld

Communication and Dissemination

This Policy will be brought to the attention of all students on enrolment and all new staff on commencing in role. It will also be drawn to the attention of other individuals that fall within its scope on appointment (e.g., governors; contractors; agency workers and volunteers).

To support implementation of this Policy, training is provided to staff as a mandatory part of induction.

Support and Resources

Within the Courtauld: Policy matters: Director of Governance	For staff: • Human Resources • Employee Assistance • Union representatives
	For students: • SAS, in particular the Wellbeing Service • Students' Union
External resources:	Equality, Diversity and Inclusion Advance HE Homepage EHRC Equality, diversity and inclusion (EDI) – UKRI

Review

This Policy will be reviewed at least every three years by the Governing Board. The framework for consultation on any changes is set out on page one.

This Policy is next due for review on or before November 2027.

Appendix E: Courtauld - Research Ethics Policy

The Courtauld

Research Ethics Policy

1. Aim and purpose

The Courtauld Institute of Art is committed by its Strategic Plan to achieving international standards and world recognition in research and research-led teaching. Fundamental to this commitment to research is a commitment to research ethics and integrity. The Courtauld Institute of Art and its members are expected to maintain the highest ethical standards, and to foster the values of integrity, openness, honesty, tolerance, fairness, accountability and responsibility.

This policy aims to provide a framework for research ethics at The Courtauld. This is done by:

- Setting out ethical principles and procedures that The Courtauld requires researchers to follow.
- Defining research misconduct and the procedure for assessing and addressing it.
- Defining the obligations of The Courtauld and its researchers under this Policy.

This policy is substantially based on, and intended to be consistent with, relevant standards issued by Research Councils UK, the UK Research Integrity Office and individual research councils. It will be updated as necessary to take account of developments in these standards. This policy does not endanger those principles outlined in the [University of London position statement on Freedom of Expression & Speech](#).

Courtauld researchers are expected to follow any ethical standards or codes of practice issued by relevant professional bodies that are specific to their area or discipline: for example, the code of ethics issued by the [Museums Association](#), and guidance issued by the International Council of Museums (ICOM). In the unlikely event of conflict between such standards and this policy or The Courtauld's ethical procedures, The Courtauld's policy and procedures should be followed.

2. Status

This policy was approved by the Research Committee in April 2023, and by Academic Board in May 2023. It will be reviewed and revised by the Research Committee periodically.

3. Definitions and scope

This policy applies equally to staff and students at The Courtauld conducting research at any level, and to any other person (regardless of their status) engaged in research under the auspices of The Courtauld or on behalf of or in association with The Courtauld (for example, independent contractors, consultants, visiting staff, staff from other institutions, emeritus staff, and staff on joint or honorary contracts). Research conducted collaboratively with other institutions or non-Courtauld researchers is covered by this Policy, to the extent that it involves a contribution from a researcher acting under the auspices of The Courtauld. This Policy does not apply to research conducted by individuals in a private capacity, except for research conducted as part of consultancy or "third stream" activities approved by The Courtauld.

Research: Any form of diligent inquiry or examination to seek or revise facts, principles, theories, ideas, or applications, carried out at or under the auspices of The Courtauld, as above.

Research ethics:	The moral principles guiding research, from its inception through to completion and publication or dissemination of results and beyond. These principles are set out in section 4.
Research misconduct:	Conduct or performance by a researcher of The Courtauld that exhibits one or more of the characteristics set out in section 6. The existence of any of these characteristics is indicative of research that has failed to meet The Courtauld's principles of ethical research.
Research participants:	Living individuals who are the focus of and/or participants in research.
Researcher:	Any member of The Courtauld conducting research at any level, including staff and students, and any other person (regardless of their status) engaged in research under the auspices of The Courtauld or on behalf of or in association with The Courtauld (for example, independent contractors, consultants, visiting staff, staff from other institutions, emeritus staff, and staff on joint or honorary contracts).

4. Principles of ethical research

The Courtauld believes that ethical research will be guided by the following principles, which researchers of The Courtauld are expected to follow. This list is not exhaustive: it defines a set of core values that should apply in any research, although additional values and principles may be relevant in specific contexts.

- Research should aim to maximise knowledge benefit for individuals and society and to minimise risk and harm.
- Research should be conducted openly and without deception, coercion, or intimidation, explicit or implied.
- The rights and dignity of individuals and groups should be respected.
- Research should be conducted with integrity, transparency, and clear lines of responsibility and accountability.
- The participation of living subjects should be voluntary and appropriately informed.
- Independence of research should be maintained and where conflicts of interest cannot be avoided they should be made explicit.

These principles must inform all research and research dissemination activities conducted at or under the auspices of The Courtauld. Researchers must:

- Conduct research in a way that minimizes the harm or risk to groups or individuals, including research participants, research staff and fellow researchers. Harm includes physical or mental harm and harm to an individual's organisation, business, livelihood, family, kin or community.
- Ensure that research staff and research participants must be fully informed about the purpose, methods and intended possible uses of the research, what their participation in the research entails, and any risks to them that may be involved.
- Gain and record the informed consent of research participants and subjects, taking into account the practicalities of field research and cultural contexts that may affect understanding of the concept of consent. Inform participants of their right to refuse to participate in research or to withdraw from research. Respect the confidentiality of information provided by research participants and respect their anonymity, unless they have consented to the disclosure of information. Covert research involving research participants may only be undertaken in exceptional circumstances after formal ethical approval.
- Be sensitive to the values and cultures of locations where research is undertaken. Ethical and political issues relating to personal and national disparities in wealth, power, the status of the researcher, political interest and national political systems must be taken into account in planning research projects. Researchers should be sensitive to the differences between the

civil, legal and/or financial position of national and foreign researchers and scholars, and the inherent power position that may exist between the researcher and those being studied.

- Ensure that there is no undeclared conflict of interest (whether personal, academic, or commercial) in their research. Sources of funding, and the roles and requirements of research funders, should be made clear to research participants and disclosed when research is published.
- Avoid plagiarism, the misrepresentation of authorship or results, and other forms of academic dishonesty.
- Ensure that research observes the rights of researchers, subjects, and participants, including human rights; privacy and rights covered by General Data Protection Regulation (GDPR); intellectual property rights; the right to be identified as the author of one's own work; and rights enshrined in the Equality Act.
- Ensure that information and data are appropriately and respectfully shared within research teams, ensuring that information and data are shared with other team members in accordance with employment obligations, supervisory or line management relationships and contractual requirements. Give appropriate acknowledgement and credit for all contributions to a research project, including recognition in publications and further grant applications.
- Ensure that primary data and research results are preserved and accessible for a reasonable period of time after the completion of research, to enable the verification of findings.
- Ensure that their research fulfils their obligations to research funders and any conditions imposed as part of the approval of research.
- Legal and regulatory obligations (including obligations specific to the country where the research is conducted) must be taken into consideration.
- Ensure that any other relevant ethical issues are taken into account in planning, conducting, and disseminating research.

5. Ethical approval for research

Ethical approval by Research Committee is required for research involving living human participants prior to the research commencing. In cases of research where the involvement of living participants is straightforward and undertaken in the professional capacity of those participants (e.g. interviews with artists, curators, etc.), ethical approval can be assumed on the condition that the process of informed consent has been followed and documented. Complex or highly sensitive cases (e.g. those involving highly vulnerable participants or contested political contexts) may be referred to the Courtauld Ethics Committee.

6. Research misconduct

This policy is intended to ensure ethical research practices. Conduct or performance by a researcher that exhibits one or more of the following characteristics shall be treated by The Courtauld as research misconduct. The presence of any of these characteristics in a research project will indicate behaviour that falls significantly short of the principles of ethical research set out in section 4.

1. Fabrication: e.g. the creation of fictitious data, results, evidence, citations, or documentation, including knowingly doctored images.
2. Falsification: e.g. the inappropriate manipulation or selection of data, evidence, imagery or documentation, including knowing misattribution.
3. Misrepresentation: this may include:
 - a. Misrepresentation of data, e.g. the undisclosed suppression of evidence or findings, or the deliberate or negligent presentation of a flawed interpretation of data or sources.
 - b. Misrepresentation of interests, e.g. the failure to disclose the interests of the researcher or of the funder of the research.
 - c. Misrepresentation by the researcher of their qualifications or experience.
 - d. Misrepresentation of involvement, e.g. the inappropriate or unjustified claim by a researcher to authorship or attribution, or the denial of others' rights to authorship or attribution.
 - e. Misrepresentation of publication, e.g. the undisclosed duplication of publication, or undisclosed duplicate submission of works for publication, where this involves deception or the deliberate circumvention of publishers' or funders' policies.
4. Plagiarism and false authorship: the misappropriation or use of the ideas, intellectual property

or work (written or otherwise) of others without acknowledgement or permission, including the undeclared use of Artificial Intelligence (AI).

5. Mismanagement of research data or results: the failure to ensure that research data, evidence and research results are preserved and accessible for a reasonable period after the completion of research, in accordance with The Courtauld's retention and archiving policies and funders' requirements.
6. Breach of duty of care. This may include instances when a researcher:
 - a. Discloses improperly the identity of research participants, or information provided by research participants, without their consent or in breach of confidence. Particular care must be taken when conducting research involving human participants or privileged or personal data.
 - b. Places research participants, research staff or others involved in research at risk of harm, without their prior consent and without appropriate safeguards.
 - c. Fails to take reasonable care to ensure the informed consent of research participants.
 - d. Fails to observe legal, regulatory, contractual or ethical requirements, and obligations to research funders.
 - e. Fails to acknowledge the intellectual property of third-party rights holders, e.g. in reproducing images without permission from the rights holder(s).
 - f. Conducts themselves improperly in the peer review of applications or publications, e.g. through the gross misrepresentation of the content of material, inadequate disclosure of limited competence, or the abuse of material provided in confidence for peer review.

Conduct or performance by a researcher that falls into at least one of the above categories will be research misconduct if it involves deliberate intent, negligence, or recklessness. Research misconduct includes acts of omission as well as acts of commission. However, research misconduct does not include:

1. Genuine academic disagreements, e.g. over research methodology, attribution, interpretation of sources.
2. Honest errors or mistakes, where no negligence, recklessness or deliberate intention is involved.

Researchers who detect errors or mistakes in their research are expected to make all reasonable efforts to rectify them: e.g. by publication of a correction or retraction, or acquisition of retrospective permission from third party copyright holders. Deliberate failure to rectify research errors will be treated as misrepresentation.

Allegations or suspicions of research misconduct will be investigated according to the Research Misconduct Policy, a process that is overseen by the Vice-Dean for Research. Interpretation of these categories will depend on the context of the research project and will reflect the judgement and experience of those charged with investigating.

7. Obligations of researchers and The Courtauld

The development of a culture of ethical research at The Courtauld requires a partnership between The Courtauld and its researchers. This section defines the obligations of both parties under this Policy. Researchers must:

1. Ensure that they are informed about and consult research ethics, integrity, and misconduct policies and procedures.
2. Conduct research in accordance with the principles of research ethics outlined in section 4 and ethics approval procedure outlined in section 5.
3. Avoid research misconduct as defined in section 6.
4. Following The Courtauld's procedures, report instances of behaviour by fellow researchers of The Courtauld that they reasonably believe represents research misconduct. Researchers should recognize that research misconduct, if tolerated or ignored, undermines the entire research community.

The Courtauld must:

1. Periodically review this and related policies and review procedures for:
 - a. Reporting complaints relating to research projects.

- b. Investigating and determining allegations of research misconduct.
 - c. Handling personal data relating to research participants for instance interviews with living artists or family members of artists.
 - d. Retention and archiving of research data and results.
- 2. Alert its researchers to this and related policies regarding research ethics, integrity, and misconduct, including as part of the induction process for new or returning staff.
- 3. Address allegations or suspicions of research misconduct fairly, equitably and within a reasonable time.

Last updated: November 2023

Appendix F: Courtauld - Statement on Research Integrity

Statement on Research Integrity, 2024–25

Key Contact Information

Name of organisation	The Courtauld Institute of Art
Type of organisation	Higher Education Institute
Date statement approved by governing body	
Research integrity webpage	Research Integrity - The Courtauld
Named senior member of staff to oversee research integrity	Dean for Research
Named member of staff who will act as a first point of contact for anyone wanting more information on matters of research integrity	Head of Research Development and Management

Context

1. As an institution eligible to receive research funding administered through Research England, The Courtauld is required to have procedures governing good research practice in place that adhere to the requirements set out in the Concordat to Support Research Integrity (2019, 2025) and UKRI's relevant policies and guidance. Our policies and procedures for the investigation and reporting of unacceptable research conduct must also adhere to these standards.
2. This short annual statement has been designed to meet The Courtauld's obligations in relation to Commitment 5 of the Concordat to Support Research Integrity. It includes a summary of recent actions and activities intended to support understanding and application of research integrity issues, a reflection on existing Courtauld policies and procedures, and a report on formal investigations into research misconduct. These issues are framed within the context of The Courtauld's wider research environment.
3. The existence of this statement should not preclude anyone who wishes to seek advice or raise concerns about the integrity of research conducted by any member of The Courtauld's community from doing so. Research Ethics and Integrity at The Courtauld are overseen by the Dean for Research, who can be contacted in the strictest confidence. The UK Research Integrity Office is also able to provide independent, expert, and confidential advice on the conduct of academic research.

Research Integrity and The Courtauld

4. The Courtauld's policy covering issues of research ethics and integrity applies equally to Courtauld staff and students conducting research at any level and to any other person (regardless of their status) engaged in research under the auspices of The Courtauld or on behalf of or in association with The Courtauld. The current version of the policy is available on [The Courtauld website](#).

5. Six core principles are described in the policy and expected of researchers affiliated to The Courtauld; research should: maximise knowledge benefit and minimise risk and harm; be conducted with openness and without deception, coercion or intimidation; respect the rights and dignity of individuals; be conducted with integrity, transparency, and clear lines of responsibility and accountability; ensure that participants of living subjects is voluntary and appropriately informed; maintain independence and where conflicts of interest are unavoidable they should be made explicit. This is not, however, an exhaustive list.
6. Our Research Ethics Policy is designed to complement the ethical standards or codes of practice issued by relevant professional bodies which are specific to the discipline, such as those issued by the Institute of Conservation and the Museums Association. Periodic review of the policy is the responsibility of the Research Committee.
7. Researchers are reminded of their responsibilities to work according to the Research Ethics policy and all related professional standards via a combination of individual and collective inductions when joining The Courtauld, the annual staff appraisal process, and regular research review meetings held between members of faculty, the Dean for Research, and the Head of Research Development and Management.
8. The Courtauld continues to be represented at the London Research Integrity Consortium by the Head of Research Development and Management. The Head of Research Development and Management and the Impact, Knowledge Exchange and Evaluation Manager are members of the Association for Research Managers and Administrators, and attended the annual conference in June 2025, supporting them in maintaining networks and staying up to date with best practice across all areas of research management and administration in the sector. Our Head of Research Development and Management also joined EARMA in 2025, and attended the EARMA/INORMS conference, broadening our institutional engagement with international practices and standards across all areas of research management and administration.
9. The Courtauld continues to make an important national contribution to the research culture of the fields of Art History and Conservation via its extensive Research Forum public events program. This team grew from three to four persons in 2025, with the addition of a new Event Producer role for the Manton Centre for British Art, funded by the Manton Foundation. A member of Courtauld Faculty serves as a Trustee of our national subject association, the Association for Art History.

Reflection on Current Policies and Ambitions for 2025–26

10. As a small, specialist institution, capacity and expertise are a perennial challenge to providing comprehensive research support and governance. Our research office team comprises a Head of Research Development and Management with oversight of all research management and administration functions, and an Impact, Knowledge Exchange and Evaluation Manager, supporting approximately 50 research-active staff. We continue to seek opportunities to do

The Courtauld

more in partnership than we can deliver on our own; for instance, via our strategic partnership with King's College London (2022–32) and with other federated colleges of the University of London.

11. The Courtauld became a subscriber to UKRIO in May 2025, and is implementing UKRIO's introductory training module as mandatory induction and refresher training for all research and research-enabling staff and postgraduate researchers from autumn 2025. Tailored training on ethics and integrity has been designed and delivered in-house for our postgraduate taught students.
12. As noted in our previous statement, the Head of Research Development and Management identified a number of policies and procedures in need of renewal as well as gaps in provision. Prioritisation of this list was supported by a broader institutional policy audit that commenced in autumn 2024, with the work package on research processes taking place in summer 2025, conducted by KCG. The report confirmed that processes for research grants and ethics approval are priorities for review, and highlighted that the capacity constraints of the research office team present a barrier to delivery.
13. The Head of Research Development and Management reviewed our compliance with the revised Concordat following its publication in spring 2025, and we are working on implementing necessary changes to meet these expectations by April 2026.
14. The close working relationship that staff and students are able to develop with the Dean for Research, Head of Research Development and Management and Impact, Knowledge Exchange and Evaluation Manager due to our size, and our culture of regular individual meetings to discuss research, are both important factors as we endeavour to create a research environment in which all members of our community feel comfortable to report instances of potential misconduct.
15. In our 2023–24 statement we noted that a focus for 2024–25 would be revising and developing processes related to our 2023 Research Ethics Policy and communicating new policies and processes to staff and students. Some scoping work was undertaken in spring 2025 as part of a broader institutional policy review, but the research office has lacked capacity to continue this work in the context of more immediate institutional needs and risks. We will continue this work in 2025–26.
16. We began working on an implementation plan for our 2024–29 research strategy as part of broader institutional business planning in spring 2025; further developing this plan will be a continued focus in 2025–26.

Formal Investigations of Research Misconduct

17. No formal investigations of research misconduct have been carried out in 2024–25.

The Courtauld

18. High-level reporting on any future formal investigations of research misconduct will be included in the relevant annual statement. In the event that formal investigations are required, the statement will also provide details of lessons learned from the investigation process and any actions taken to prevent recurrence of similar incidents.
19. The presumption of innocence shall be maintained throughout any future formal investigations of research misconduct. Complainants and respondents will be supported through this process and will be entitled to be accompanied to any interview or hearing by a work colleague, trade union or student union representative, or an official employed by a trade union.

Appendix G: Courtauld - REF2021 Equality Impact Assessment

The Courtauld REF Final Equality Impact Assessment

1. Introduction

- 1.1 This Equality Impact Assessment (EIA) aims to ensure that The Courtauld has understood any equality impacts, both positive and negative, of the policies and procedures established to conduct our REF2021 submission and set out in our REF Code of Practice. This has been conducted in relation to declared protected characteristics and in the context of our small, specialist institution.
- 1.2 The Courtauld's Head of Research is responsible for the final EIA and is supported by the Research Manager. All data used in this document and in the interim EIAs were prepared by our HR team, with input sought from the Head of HR as appropriate.

2. Background

- 2.1 The Courtauld submitted 100% of our 'Category A'¹ staff to REF2021. We submitted to one Unit of Assessment only (32 – Art and Design: History, Practice and Theory).
- 2.2 The submission was made up of 37 members of staff (35.85 FTE). In this context, it was possible for the submission to be managed and outputs selected on the basis of close consultation with individual staff members. This approach was consistent with The Courtauld's REF2014 submission.
- 2.3 The Courtauld supports our fixed-term and part-time staff (including contract research staff) in the same way that we support all other categories of staff. The institution has transparent policies and procedures to rule out discrimination, to create an inclusive culture that recognises, respects and values difference, enables all staff to contribute and participate fully, and provides equality of opportunity to all staff. These policies and procedures are outlined in our Equal Opportunities policy.
- 2.4 All staff involved in decision-making and reviewing nominations for REF eligibility and output selection were obliged to complete Equality, Diversity and Inclusion training. This online training has also been rolled out across the wider staff body. In addition, staff engagement sessions were held across The Courtauld addressing EDI and themes covering anti-racism, class, privilege, and unconscious bias.

¹ 'Category A' eligible staff are defined as staff with a contract of employment of 0.2 FTE or greater, on the payroll of The Courtauld on the REF census date, and whose primary employment function is to undertake either 'teaching and research' or 'research-only'.

2.5 None of the 37 members of Category A staff included in our final submission declared individual circumstances which may have constrained their ability to carry out research over the REF period. The Courtauld does not have formal expectations of how many outputs will be submitted to REF by any member of staff and no aspect of the REF submission will be used as a performance management exercise.

3. Scope

3.1 The Courtauld's REF EIA has three distinct stages. These were described in our Code of Practice and each took into account the following protected characteristics, insofar as this information has been volunteered by staff: age; disability; marriage and civil partnership; pregnancy and maternity; ethnicity; religion or belief; gender reassignment; sex and sexual orientation.

3.2 Two interim EIAs were carried out:

- The first analysed Category A staff against records of protected characteristics and was completed in May 2019.
- The second analysed the preliminary output pool reviewed by the Research Committee in Autumn 2020 in relation to declared protected characteristics of the cohort of staff being submitted to the REF exercise.

3.3 The results of both interim EIAs were reported to The Courtauld's Research Committee, the principal strategic and decision-making committee for our REF2021 submission.

3.4 This final EIA aims to ensure that The Courtauld has understood any equality impacts, both positive and negative, on The Courtauld's submitted outputs to REF2021 in relation to declared protected characteristics, including any proposed action to address any negative effects.

3.5 EIAs conducted for REF2014 showed that our approach to selection was unlikely to have either a positive or negative impact on those with protected characteristics; this has informed our approach to REF2021. Similarly, the results of the EIAs conducted for REF2021 is expected to inform our approach to future REF exercises. Those affected will therefore comprise all current and future Category A members of staff.

3.6 Due to the small size of The Courtauld and our submission of 100% of Category A staff, it is not possible to compare the characteristics of staff with significant responsibility for research and who are independent researchers with a comparator pool within the institution. Detailed analysis of our REF2021 Category A staff cohort consequently focuses on policies around selection of outputs.

4. Analyses

4.1 The first interim EIA is available as Appendix A of The Courtauld's Code of Practice.

4.2 No differential impacts, positive or negative, could be discerned during this EIA on the basis of any protected characteristic. It was noted that the majority of Category A staff were white (89.58%) and that twice as many women were represented than men (68.75% vs. 31.25%). Although no differential impacts were discerned, the EIA also noted the measures built into the REF Code of Practice and wider Courtauld policies to support staff with disabilities and those with caring responsibilities.

4.3 The second interim EIA is available below as Appendix A to this document (pages 6-11).

4.4 Analysis of data contained in the second interim EIA suggests no evidence of negative impacts towards staff in our provisional output pool based on one or more protected characteristics. Key points were that:

- Gender, disability, and ethnicity showed very little change in average number of outputs between groups (a range of 0.2 or 0.3 between the highest and lowest average). This was also true of religion or belief (a range of 0.5).
- Age showed a range of 1.3 between the highest and lowest average: the 40-49 age band showed 3 outputs per person compared to 1.7 for the 50-59 band. This was unexpected and did not have an obvious explanation in the available data; the discrepancy was not reflected in the final output selection.
- Bisexual and gay members of staff had an average number of outputs 0.9 higher than heterosexual members of staff. This was however a small sample size.

4.5 It was noted that The Courtauld should particularly continue to monitor the higher average number of outputs shown for men compared to women, and the trends around declared disabilities (especially in the context of the pandemic and 'Long Covid'). It was also confirmed that women on maternity leave are supported in their research by the continued accrual of sabbatical entitlement during that period.

4.6 The final EIA is based on The Courtauld's 79 submitted outputs to REF2021, 11 of which were double weighted. The full template as prepared by HR colleagues in the same format as the second interim EIA is available below as Appendix B (pages 12-22).

4.7 The EIA shows no evidence of negative impacts towards staff linked to our final output selection and the institutional policies which this resulted from, as analysed via one or more protected characteristics.

FINAL

- 4.8 All protected characteristics analysed show only minor variation between groups. The greatest range is between women who have spent time on maternity leave during the REF period and other members of staff (0.5 difference in average outputs). Ethnicity has the next highest range at 0.4, however it is difficult to determine any statistical relationship in either protected characteristic given the unequal ratio between groups and small number of individuals represented. Disability, gender, and religion or belief show the joint lowest range at 0.1.
- 4.9 Ranges increase in all but two protected characteristics (marital status and maternity) when double weighted outputs are counted twice. This is not unexpected in these circumstances and is a more pronounced effect when groups contain few individuals. Sexual orientation shows the highest range; bisexual or gay members of staff submitted an average of 0.7 more outputs than heterosexual staff when double weighted outputs are counted twice. The range in ethnicity also increases to an average of 0.6 outputs.
- 4.10 The majority of protected characteristics show a range of 0.4 or fewer average outputs between groups when reserves outputs are taken into account. The exceptions are religion or belief (0.6) and maternity (0.8), both of which also include groups with particularly small sample sizes.

Conclusions and Next Steps

- 5.1 The Courtauld has approached the three stages of our REF EIA in line with our institutional Code of Practice and within the framework of a small, specialist institution submitting fewer than 40 members of staff. The assessment has been carried out in the most practical and robust manner possible considering our scale.
- 5.2 Based on the data presented across all three stages, no changes in output identification or selection processes set out in the Code of Practice were required. The Research Committee did however have the opportunity to discuss the interim EIAs with a view to making any changes deemed appropriate to prevent discrimination and promote equality ahead of the REF submission deadline.
- 5.3 Although no clear evidence of negative impacts on staff taking maternity leave during the REF period is available given the very small sample size, The Courtauld will continue to review its family-friendly policies. This will include the impact of the accrual of sabbatical during maternity leave referenced in 4.5, and monitoring requests for flexibility as we transition out of the Covid-19 pandemic.
- 5.4 It should be noted that future REF submissions would benefit from a further interim EIA which analyses the final output pool prior to selection based on declared protected characteristics of staff. This would allow for better comparison of the final output selection against the wider pool and also offer an opportunity for the Research Committee to review how the final output

FINAL

pool differed from that analysed earlier in the process. For the REF2021 exercise, this additional interim EIA would have allowed for further scrutiny of the unexpected fall in average outputs seen between the 40-49 and 50-59 age groups reported in 4.4.

5.5 The Research Committee will discuss the prospect of an additional interim EIA during future REF submissions in Autumn 2021; this will be informed by a wider ongoing review led by HR aimed at further embedding the use of EIAs within The Courtauld.

5.6 As a matter of good practice, we will publish our final EIA online following its submission.

Appendix A: Second Interim EIA, 18 December 2020

The Equality Impact Analysis Form is a document which The Courtauld uses to demonstrate our commitment to good practice, including complying with the Public Sector Equality Duty under the Equality Act 2010 when making and implementing decisions which affect the way the organisation works.

The form collates and summarises information which has been used to inform the planning and decision-making process.

Ideally, all the information needed in this form should have already been considered and incorporated in the documentation supporting the decision or initiative, e.g. business case, consultation outline etc.

Equality Impact Analyses forms may become public documents: remember to use at least 12-point Arial font and plain English.

Title of Equality Impact Analysis

Courtauld REF submission analysis, 18 December 2020

Purpose of this Equality Impact Analysis

This Equality Impact Assessment aims to ensure that The Courtauld has understood any equality impacts, both positive and negative, on the preliminary output pool for The Courtauld's REF submission in relation to declared protected characteristics, including any proposed action to address any negative effects.

Officer Responsible *(to be completed by the report author)*

Name Aaron Gibbons-Plowright	Job title HR Business Partner
Department HR	Contact details aaron.gibbons@courtauld.ac.uk

Senior Management Team (SMT) sign-off

Name Alixe Bovey
Job title Head of Research
Date 29/03/2021

FINAL

PLEASE ANSWER THE FOLLOWING QUESTIONS

In completing this impact analysis, you should where possible, refer to the main documentation related to this decision rather than trying to draft this assessment in isolation.

STEP 1 DEFINING THE ISSUE

1. Summarise why you are having to make a new decision

The Courtauld is committed to running a fair and transparent process in preparing the submission. The selection of outputs will be based on a fair and evidence-based process and informed by an Equality Impact Assessment (EIA).

The Courtauld has now finalised its preliminary pool of research outputs produced by Category A members of staff during the REF period (2014-2020). We are therefore conducting this EIA to analyse this pool of outputs in relation to the declared protected characteristics of Category A staff. This is with the aim of reviewing any possible detrimental effect on an individual's research, and thereby reducing the likelihood of their outputs being selected for The Courtauld's REF return.

To date, none of the 37 members of Category A staff included in our provisional output pool have declared individual circumstances which may have constrained their ability to carry out research over the REF period. However, they have until 15 January 2021 to submit such a request if necessary. The Courtauld does not have formal expectations of how many outputs will be submitted to REF by any member of staff.

2. Who are the main people that will be affected? Consider staff, students, visitors and any others

The 37 members of staff included as Category A staff in our provisional output pool.

STEP 2 ANALYSING THE ISSUES

3. What information and consultation have you used to inform your decision making?

The data used in this EIA, is drawn from the 37 members of Category A staff included in our REF2021 submission. The provisional output pool was drawn up on the basis of self-identification of potential REF-submissible outputs by Category A staff, follow-up conversations with individuals, and initial assessment of REF Open Access guidelines and other submission criteria. As we intend to submit all Category A eligible staff, no eligible staff are being excluded from the submission. Protected characteristics data are based on self-submitted information recorded on our HR/payroll system.

Age

Age ranges	Number of employees	Average number of outputs
30-39	6	2.3
40-49	13	3
50-59	7	1.7
60-65	11	2.3

We have no staff below the age of 30 years submitted for REF purposes.

The age banding with the highest average research outputs is 40-49 which average 3 research outputs each. This is half an output higher than the average for all category A staff which is 2.5 and it is at least 0.7 higher than any other banding.

Whilst age could reflect a shorter period in post as an independent researcher it is unclear why there appears to be a significant drop in the 50-59 age band.

Gender

Gender identifier	Number of employees	Average number of outputs
Female	26	2.3
Male	11	2.6
Other	0	0

Analysing the data there are more than twice as many female academics at The Courtauld as male academics. However, our male academics do average a slightly higher number of research outputs.

As with our EIA in REF2014, we remain alert to working arrangements that may be needed in mitigation of any disadvantage to women. We have previously noted in developing our policies that primary caring responsibilities tend to be undertaken more by women. Our Code of Practice has flexibility to help mitigate against the disadvantage that many women carers experience trying to balance caring responsibilities with having time to carry out their research.

The higher average output from male academics is something the Courtauld should continue to monitor and track for further trends.

We clarified in November 2020 that women returners from maternity leave accrue and therefore are entitled to the same period of sabbatical leave as other employees during their absence.

FINAL

Disability

Disability identifier	Number of employees	Average number of outputs
No known disability	34	2.5
Disability declared	3	2.3
Information refused	0	0

The Courtauld supports academics who have notified the Institute of any disabilities with a thorough and flexible approach to curriculum structures and timetables and through reasonable adjustments. Our policies and procedures for REF2021 have been designed with the same underlying principles of flexibility and support. Although we have identified that having a disability could constrain research capacity, the number of outputs does not seem to demonstrate that having a disability has had a significant impact on research outputs.

We will continue to monitor this situation given the impact of the pandemic, especially as the effects of Long Covid are still unknown at this point.

Ethnicity

Ethnicity identifier	Number of employees	Average number of outputs
White	33	2.5
Mixed/other/Information refused/unknown	4	2.3

We note that almost 90% of category A staff identify as white. As individual ethnic groups represent a small minority of the total eligible population, it is difficult to identify any bias from this data.

Sexual orientation

Sexual orientation identifier	Number of employees	Average number of outputs
Bisexual/Gay man/Gay woman	3	3.3
Heterosexual	23	2.4
Information refused	11	2.3

Despite the higher average returns from bisexual and gay men and women, we determine that sexual orientation is unlikely to have a differential impact any of our staff in our provisional output pool. Due to the small number of employees notifying us that they are bisexual or gay, it is difficult to establish any causation between research outputs selected and sexual orientation.

We note a high proportion of non-returns for sexual orientation for this small pool, and in future, would wish to encourage staff to feel safer in disclosing this information so The Courtauld can act, if needed.

Religion or belief

Religious belief identifier	Number of employees	Average number of outputs
Christian/ Any other religion or belief/spiritual	6	2.7
No religion	18	2.6
Prefer not to say/information refused	13	2.2

Again, due to the small number of employees notifying us that they are Christian or have any other religion or belief/spiritual, it is difficult to establish any causation between research outputs selected and religion.

Overall, at this stage, we determine that religion is unlikely to have a differential impact any of our staff in our provisional output pool.

We also note a relatively high number of no returns for this small group

Equality Impacts**4. Identifying the impacts****4 (a) What positive impact could there be overall, on different equality groups, diversity, inclusion and good relations?**

As all 37 employees will be submitted for the REF return, this should be a positive impact per se as this demonstrates inclusion for all groups, regardless of number of outputs produced.

4 (b) What negative impact could there be overall, on different equality groups, diversity, inclusion and good relations?

This analysis suggests there is no evidence of negative impacts towards staff in our provisional output pool based on one or more protected characteristics. The Courtauld is submitting all Category A eligible staff, with no eligible staff being excluded from the submission.

Furthermore, we have not had any members of Category A staff indicate they have individual circumstances which may have constrained their ability to carry out research over the REF period.

STEP 3 REACHING YOUR DECISION

5. Describe the recommended outcome

Based on the data presented in this analysis, no issues are anticipated if output identification and selection proceeds in the manner set out in The Courtauld's REF Code of Practice. All Category A staff have indicated they will be submitting at least one research output to the REF exercise.

Outcomes of this EIA will be reported to the Research Committee and used to ensure that any necessary changes to prevent discrimination and promote equality are made before the final REF submission deadline.

We should continue to review the impact of our policies and procedures, and we will analyse data pertaining to characteristics following the final submission. As a matter of good practice, once we have made our REF2021 submission, we should publish our final EIA online, including the outcomes of any actions taken to prevent discrimination or advance equality.

STEP 4 DELIVERY – MAXIMISING BENEFITS AND MANAGING RISKS

6. Equality, diversity and inclusion action planning

Currently we do not believe there are any actions required as a direct result of this EIA. Further analysis will be carried out following submission in March 2021.

Appendix B: Courtauld REF final submission analysis, 22 July 2021

The Equality Impact Analysis Form is a document which The Courtauld uses to demonstrate our commitment to good practice, including complying with the Public Sector Equality Duty under the Equality Act 2010 when making and implementing decisions which affect the way the organisation works.

The form collates and summarises information which has been used to inform the planning and decision-making process.

Ideally, all the information needed in this form should have already been considered and incorporated in the documentation supporting the decision or initiative, e.g. business case, consultation outline etc.

Equality Impact Analyses forms may become public documents: remember to use at least 12-point Arial font and plain English.

Title of Equality Impact Analysis

Courtauld REF final submission analysis, 22 July 2021

Purpose of this Equality Impact Analysis

This Equality Impact Assessment aims to ensure that The Courtauld has understood any equality impacts, both positive and negative, on the final output pool for The Courtauld's REF submission in relation to declared protected characteristics, including any proposed action to address any negative effects.

Officer Responsible *(to be completed by the report author)*

Name Aaron Gibbons-Plowright	Job title HR Business Partner
Department HR	Contact details aaron.gibbons@courtauld.ac.uk

Senior Management Team (SMT) sign-off

Name Alixe Bovey
Job title Head of Research
Date 22/07/2021

PLEASE ANSWER THE FOLLOWING QUESTIONS

In completing this impact analysis, you should where possible, refer to the main documentation related to this decision rather than trying to draft this assessment in isolation.

STEP 1 DEFINING THE ISSUE

1. Summarise why you are having to make a new decision

The Courtauld is committed to running a fair and transparent process in preparing its REF submission. The selection of outputs will be based on a fair and evidence-based process and informed by an Equality Impact Assessment (EIA).

The Courtauld has now finalised its definitive submission of research outputs produced by members of staff during the REF period (2014-2020). We are therefore conducting this EIA to analyse these outputs in relation to the declared protected characteristics of staff. This is with the aim of reviewing the data for any possible detrimental effect on an individual's research, and thereby ensuring The Courtauld's policy and procedures for selecting outputs does not disadvantage staff due to protected characteristics.

None of the 37 members of staff included in our final submission declared individual circumstances which may have constrained their ability to carry out research over the REF period. The Courtauld does not have formal expectations of how many outputs will be submitted to REF by any member of staff.

2. Who are the main people that will be affected? Consider staff, students, visitors and any others

The 37 members of staff included in our final submission.

STEP 2 ANALYSING THE ISSUES

3. What information and consultation have you used to inform your decision making?

The data used in this EIA, is drawn from the 37 members of staff who have had outputs selected in our REF2021 submission. The initial output pool was drawn up on the basis of self-identification of potential REF-submissible outputs by Category A staff, follow-up conversations with individuals, and initial assessment of REF Open Access guidelines and other submission criteria. The final selection of 90 outputs (including double weighting) was led by the Head of Research and was based on research review meetings with individual Category A staff, subsequent review of the output pool, and with regular input from members of the Research Committee. The final selection was ratified by the Research Committee ahead of submission. The Courtauld submitted 79 individual outputs to REF2021, 11 of which were double weighted. These 79

FINAL

outputs form the basis of the data used to review output selection against the protected characteristics of Category A staff.

There were a further 11 outputs which were nominated as reserve submissions. These have not been included in this section of the EIA, but data including reserve outputs is available in Appendix 1. In reviewing these data, no statistically significant anomalies were found which would alter the findings of this equality impact assessment.

The 11 outputs selected for double weighting (i.e. where the scale of academic investment in the research activity and/or the intellectual scope of the research output is considered considerable) were counted singularly in this section of the EIA. Data showing average outputs across protected characteristics when double weighted items are counted twice are available in Appendix 2. The largest range in this data set relates to sexual orientation, where the grouping of bisexual or gay men and women average 0.7 outputs more than heterosexual members of staff. However, due to the small number of employees in this grouping, this is more likely to be an anomaly rather than a significant finding.

Men submitted an average of 0.4 outputs more than women when double weighted outputs are counted twice. This is higher than the difference of 0.1 when counting these outputs singularly. It should however also be noted that the analysis in Appendix 2 of the output submission including reserves shows women contributing an average of 0.1 outputs more than men.

There were no members of eligible staff who were excluded from the submission.

Protected characteristics data is based on self-submitted information recorded on our HR/payroll system. Some characteristics have been grouped together to stop individual members of staff possibly being identified from the data.

Age

Age ranges	Number of employees	Average number of outputs
30-39	6	2.2
40-49	13	2.2
50-59	7	2.3
60-65	11	2

The Courtauld have no staff below the age of 30 years had outputs submitted for REF purposes.

The data shows that there is no significant difference in the number of outputs per age range. In contrast to our EIA on the preliminary output pool, the age banding with the highest average research outputs is 50-59 with an average of 2.3 research outputs per person. Whereas, the lowest range, 60-65, only average 0.3 less outputs per person.

Gender

Gender identifier	Number of employees	Average number of outputs
Female	26	2.1
Male	11	2.2
Other	0	0

Analysing the data, there are more than twice as many female academics at The Courtauld as male academics, but the average number of outputs is broadly the same across the two groups.

As with our EIA in REF2014, we remain alert to working arrangements that may be needed in mitigation of any disadvantage to women. We have previously noted in developing our policies that primary caring responsibilities tend to be undertaken more by women. Our Code of Practice has flexibility to help mitigate against the disadvantage that many women carers experience trying to balance caring responsibilities with having time to carry out their research.

Disability

Disability identifier	Number of employees	Average number of outputs
No known disability	34	2.1
Disability declared	3	2
Information refused	0	0

The Courtauld supports academics who have notified The Institute of any disabilities with a thorough and flexible approach to curriculum structures and timetables and through reasonable adjustments. Our policies and procedures for REF2021 have been designed with the same underlying principles of flexibility and support. Although we have identified that having a disability could constrain research capacity, the number of outputs does not seem to demonstrate that having a disability has had a significant impact on research outputs.

We will continue to monitor this situation given the impact of the pandemic, especially as the effects of Long Covid are still unknown at this point.

Ethnicity

Ethnicity identifier	Number of employees	Average number of outputs
White	33	2.1
Mixed/other/Information refused/unknown	4	2.5

We note that almost 90% of category A staff identify as white. Although the difference in average outputs between these staff and other ethnicities is the largest from any characteristic, it is very difficult to determine any statistical

FINAL

relationship as the 'mixed/other/information refused/unknown' group represents a small minority of the total output.

Sexual orientation

Sexual orientation identifier	Number of employees	Average number of outputs
Bisexual/Gay man/Gay woman	3	2.3
Heterosexual	23	2
Information refused	11	2.2

There is very little difference between the average number of outputs by individuals with differing sexual orientation. Due to the small number of employees notifying us that they are bisexual or gay, it would be difficult to establish any causation between research outputs selected and sexual orientation.

The Courtauld also notes the high proportion of non-returns for sexual orientation for this small pool, and in future, would wish to encourage staff to feel safer in disclosing this information so The Courtauld can act, if needed.

Religion or belief

Religious belief identifier	Number of employees	Average number of outputs
Christian/ Any other religion or belief/spiritual	6	2
No religion	18	2.1
Prefer not to say/information refused	13	2

Due to the small number of employees notifying us that they are Christian or have any other religion or belief/spiritual, it is difficult to establish any causation between research outputs selected and religion.

However, based on the available data we can see no evidence that religious belief has a differential impact on any of our staff in our provisional output pool.

We also note a relatively high percentage number of no returns for this group.

Marital Status

Marital Status	Number of employees	Average number of outputs
Married	22	2
Non-Married	15	2.3

Based on the available data we can see no evidence that marital status has a differential impact on the number of outputs produced for selection by our staff in the final selection.

Maternity

Maternity Leave during REF period	Number of employees	Average number of outputs
Maternity Leave	3	1.7
No break for maternity leave	34	2.2

The number of average outputs produced by members of staff who have spent time on maternity leave during the REF period is lower than other Category A staff. Although this is a small sample size and members of staff who spent time on maternity leave did not declare individual circumstances which may have constrained their ability to carry out research over this period, the lower average output from staff in this group is something The Courtauld should continue to monitor and track for further trends.

The Courtauld clarified in November 2020 that women on maternity leave accrue and therefore are entitled to the same period of sabbatical leave as other employees during their absence.

Gender reassignment

No Category A members of staff have notified us that their gender is different to the one that they were assigned at birth. As such, no analysis of differential impacts based on this protected characteristic is possible.

Equality Impacts**4. Identifying the impacts****4 (a) What positive impact could there be overall, on different equality groups, diversity, inclusion and good relations?**

As all 37 employees will be submitted for the REF return, this should be a positive impact per se as this demonstrates inclusion for all groups, regardless of number of outputs produced.

4 (b) What negative impact could there be overall, on different equality groups, diversity, inclusion and good relations?

This analysis suggests there is no evidence of negative impacts towards staff in our final output based on one or more protected characteristics. The Courtauld is submitting outputs from all Category A eligible staff, with no eligible staff being excluded from the submission.

Furthermore, we did not have any members of staff included as Category A staff in our final output indicate they have individual circumstances which may have constrained their ability to carry out research over the REF period.

STEP 3 REACHING YOUR DECISION

5. Describe the recommended outcome

Outcomes of this EIA will be reported to the Research Committee and used to ensure that any necessary changes to prevent discrimination and promote equality can be factored into preparations for future REF exercises.

The Courtauld should continue to review the impact of our policies and procedures in all aspects regularly. As a matter of good practice, once we have made our REF 2021 submission, we should publish our final EIA online, including the outcomes of any actions taken to prevent discrimination or advance equality.

DELIVERY – MAXIMISING BENEFITS AND MANAGING RISKS

6. Equality, diversity and inclusion action planning

We do not believe there are any actions required as a direct result of this EIA but will continue to implement good practice more generally at The Courtauld to reduce and mitigate potential bias in our processes.

Appendix 1 - Data including reserves outputs²

Age

Age ranges	Number of employees	Average number of outputs
30-39	6	2.2
40-49	13	2.5
50-59	7	2.6
60-65	11	2.5

Gender

Gender identifier	Number of employees	Average number of outputs
Female	26	2.5
Male	11	2.4
Other	0	0

Disability

Disability identifier	Number of employees	Average number of outputs
No known disability	34	2.4
Disability declared	3	2.7
Information refused	0	0

Ethnicity

Ethnicity identifier	Number of employees	Average number of outputs
White	33	2.4
Mixed/other/Information refused/unknown	4	2.5

Sexual orientation

Sexual orientation identifier	Number of employees	Average number of outputs
Bisexual/Gay man/Gay woman	3	2.7
Heterosexual	23	2.5
Information refused	11	2.3

² Double weighted outputs are counted singularly in Appendix 1.

FINAL

Religion or belief

Religious belief identifier	Number of employees	Average number of outputs
Christian/ Any other religion or belief/spiritual	6	2.8
No religion	18	2.5
Prefer not to say/information refused	13	2.2

Marriage

Marriage status	Number of employees	Average number of outputs
Married	22	2.4
Non-married	15	2.5

Maternity

Maternity Leave during REF period	Number of employees	Average number of outputs
Maternity Period	3	1.7
No break for maternity leave	34	2.5

Appendix 2 – Data including double weighted outputs counted twice³

Age

Age ranges	Number of employees	Average number of outputs
30-39	6	2.5
40-49	13	2.5
50-59	7	2.6
60-65	11	2.2

Gender

Gender identifier	Number of employees	Average number of outputs
Female	26	2.3
Male	11	2.7
Other	0	0

Disability

Disability identifier	Number of employees	Average number of outputs
No known disability	34	2.5
Disability declared	3	2
Information refused	0	0

Ethnicity

Ethnicity identifier	Number of employees	Average number of outputs
White	33	2.4
Mixed/other/Information refused/unknown	4	3

Sexual orientation

Sexual orientation identifier	Number of employees	Average number of outputs
Bisexual/gay man/gay woman	3	3
Heterosexual	23	2.3
Information refused	11	2.5

³ Reserve outputs are not included in Appendix 2.

Religion or belief

Religious belief identifier	Number of employees	Average number of outputs
Christian/ Any other religion or belief/spiritual	6	2.7
No religion	18	2.4
Prefer not to say/information refused	13	2.4

Marital Status

Marital Status	Number of employees	Average number of outputs
Married	22	2.4
Non-Married	15	2.5

Maternity

Maternity Leave during REF period	Number of employees	Average number of outputs
Maternity Leave	3	2
No break for maternity leave	34	2.5

Appendix H: Identifying SRR/RI Contracts Equality Impact Assessment

COURTAULD

Equality Impact Assessment

If you require this template in an alternative format, such as large print please contact researchoffice@courtauld.ac.uk.

This template is designed to be used alongside the [EIA Guidance](#)

A. Key Information

Policy/practice name:	Institutional REF2029 process: Identifying SRR and RI contracts
General background/aims of policy/practice:	The Research Excellence Framework 2029 (hereafter referred to as REF2029) is the system for assessing the quality of research in higher education institutions in the UK. The purpose of the exercise is to assess the quality of UK research and inform the selective allocation of research grants to institutions by the four UK higher education funding bodies with effect from 2029-30. This exercise in the Courtauld is guided by a Code of Practice, accepted by Research England. The Courtauld is required to identify contracts that will contribute to the volume measure for REF2029. These are comprised of staff with Significant Responsibility for Research (SRR) and Research Independence (RI). This EIA enables the Courtauld to demonstrate how due regard has been given to the Public Sector Equality Duty (PSED) with regards to output selection and assessment to: • eliminate unlawful discrimination, harassment and victimisation • advance equality of opportunity between people who share a protected characteristic and those who do not • foster good relations between people from different backgrounds • people from different backgrounds
Department:	Research Office
Assessed by:	Impact, KE and Evaluation Manager Research Policy and Compliance Manager

Sign off by:	Dean for Research Head of People
Sign off date:	7 May 2026

B. Reason for EIA

Activity	Tick relevant box	Description
New policy/ practice is proposed	X	Identifying SRR and RI contracts for REF2029
Change to existing policy/practice is proposed	X	This policy is an update to the policy outlined in the Courtauld's Code of Practice REF2021

I) Brief description of the policy/practice and consultation.

As with REF2021, the Courtauld takes an inclusive approach to the submission of staff for REF2029 i.e. we will be submitting 100% of our 'teaching and research' contracts in the HESA staff record to REF2029. Eligible staff are defined as staff with a contract of employment of 0.2 FTE or greater, on the payroll of the Courtauld, and whose primary employment function is to undertake 'teaching and research'.

We will be submitting 100% of staff whose contracts qualify for 'research only' contracts where the staff member holds an independently won, competitively awarded fellowship requiring research independence to deliver a project of their own design, is named as a co-applicant on an externally funded research grant/award or has had significant input into the design, conduct and interpretation of the research. The criteria for the designation of "research independence" is detailed in the Code of Practice.

To proactively support the diverse contributions of our staff in consultation with the Director of the Gallery, and curatorial team, we will also include six curatorial staff in the Courtauld Gallery where their roles entail a substantial responsibility for independent research as defined in their employment contracts.

The Research Office compiled a list of all eligible SRR and RI staff using data generated by our HR records and the HESA returns for 2024/25, 2025/26 and 2026/27. All staff identified were informed in their Annual Research Review meetings (either in person or remotely) and considered their job role and activities against the above indicators and criteria.

New appointments are reviewed on an ongoing basis, according to the same criteria. New staff on eligible contracts will meet with the Dean for Research and Head of Research Development and Management to discuss their role and activities against the indicators and criteria. The culture of inclusivity and principles of fairness within the exercise mean that no decision about an individual's career trajectory will be taken on the basis of the REF 2029 assessment cycle. This is written into our Code of Practice.

Staff members will be informed whether they are to be included in the return as having SRR in Spring 2026.

II) What involvement and consultation has been done in relation to this policy? (e.g. with relevant groups and stakeholders)

HESA Submission:

In Summer 2024, the People Partner responsible for the HESA submission consulted with the Research Office and Dean for Research regarding the list of staff who would be submitted for the return under SRR or RI. The Head of People developed a consultation plan for future submissions and presented it to the REF working group for approval in Spring 2025 to ensure accurate reporting of our figures and that our volume measure is an accurate representation of SRR and RI at the Courtauld.

Month	Action and details
January, September and May	Reminders for staff to update their personal details.
July	- Liaise with relevant departments on any changes to data - Review and record academic titles awarded
August	"Check-in" communication for final opportunity to address remaining data errors. - Identify staff with significant research responsibility and/or research assistant status and contact relevant departments to verify that the required details have been recorded.
August - October	People Services carry out data verification exercises, working through data items through the HESA system.
November	Institutional sign-off

This process will be adhered to for the HESA returns in 2026 and 2027.

III) What are the arrangements for monitoring and reviewing the actual impact of the policy/funding activity/event?

The practice of ensuring our Research-only staff are correctly adjudicated on their independence criteria (both on employment and regularly updated) will be an ongoing exercise. This will be reviewed annually to ensure this activity has continued. This EIA will be shared with the REF Working Group and Head of People/People Partner responsible for the HESA return. The policy of REF submission and research output contributions not being part of an individual's career progression will be monitored by HoDs.

A further Equality Impact Assessment will be undertaken after submission to REF2029 which will review the actual impact of this policy.

IV) Other

C. Proposal Impact

Consider carefully how your proposal will impact both positively and negatively on people from different groups.

Please indicate below who you feel will be most affected by your proposal.

The inclusion of staff in volume measure for the REF is an activity in determining institutional research size and is not an assessment of individual status. Decisions on inclusion into the volume measure are undertaken on the basis of types of employment, and on meeting the criteria outlined by the REF guidance. Nevertheless, we recognise broader cultural anxieties across the sector about individual inclusion in the REF, specifically in relation to career progression.

Individuals may be impacted by the appeals process outlined in the CoP. Individuals from protected characteristic groups may be disproportionately impacted by this process, and in particular the need to engage with the process in a short time scale. These potential impacts are outlined below, and mitigating actions have been recommended.

D. Impacts on Protected Characteristic Groups

- *Is there a potential for positive or negative impact?*
- *Please explain and give examples of any evidence/data used*
- *Actions to address negative impact (e.g. adjustment to the policy)*

Protected Characteristic	Outline of impacts and mitigating actions
Age	<i>No known negative impact.</i>
Sex	<i>No known negative impact.</i>
Disability	<i>Potential negative impact</i> Individuals who are disabled may experience barriers to accessing the appeals process due to access needs, or as a result of periods of leave impacting their ability to engage with it in the timeframe outlined. ACTION: • Information about the appeals process will be published on the Research Hub, which all staff have access to. It will also be shared via email, and staff will receive verbal updates in all REF-related training. The Research Office have a monthly drop-in hour, where staff can come and discuss the appeals process confidentially. • Reasonable adjustments will include extending/adapting the deadline of the appeals process in accordance with individual circumstances, publishing regular reminders of the process for all staff on the Research Hub, and offering staff the opportunity to discuss the process with line managers during extended periods of leave.
Gender Reassignment	<i>No known negative impact.</i> <i>Data is not available.</i>
Marriage or Civil Partnership	<i>No known negative impact</i> <i>Data is not available.</i>
Pregnancy / Maternity	<i>Potential negative impact.</i> Individuals who are pregnant or on maternity leave may experience barriers to accessing the appeals process due to periods of leave impacting their ability to engage with it in the timeframe outlined. ACTION: • Reasonable adjustments for prolonged periods of leave will include extending/adapting the deadline of the appeals process in accordance with individual circumstances, publishing regular reminders of the process for all staff on the Research Hub, and

	offering staff the opportunity to discuss the process with line managers during extended periods of leave.
Race	<i>No known negative impact.</i>
Religion or Belief	<i>No known negative impact.</i>
Sexual Orientation	<i>No known negative impact.</i>
Other	

E. Evaluation

Question	Explanation / justification
Could this policy/practice lead to discrimination (direct or indirect), harassment, victimisation, or create barriers or less favourable treatment for particular groups and how can you mitigate any negative impacts?	There is limited evidence to show that the assignment of SRR or RI for the REF2029 volume measure could discriminate or unfairly disadvantage people, given mitigating actions recommended above.
Does this policy/practice contribute to advancing equality of opportunity and fostering good relations?	The policy itself may support fostering good relations through the consultation and communication exercises it outlines. The inclusion of the mitigating actions proposed (section D) may support advancing equality of opportunity by removing disadvantages due to protected characteristics and meeting the different needs of individuals.
How can communication of the policy/practice be made accessible to all relevant groups?	The policy has been shared with all relevant stakeholders via in-person meetings, all-staff emails and is available to all staff on the Courtauld's internal intranet Research Hub.
Have all the core EIA Questions for REF2029 been considered?	Yes

F. EIA Outcome Recommendation

Assessment	Tick the relevant box	Explanation/ Justification
1. No negative or positive impact identified; therefore, activity will proceed .		
2. Adapt or change the activity in a way which you think will eliminate negative impact or promote equality.	X	This policy/ activity is required to comply with submission to REF2029. Impacts and barriers are limited and can be mitigated by the actions proposed in this EIA.
3. Barriers and impact identified but there appear to be no other proportionate		

ways to achieve the activity (e.g. in extreme cases or where positive action is taken). Proceed with caution with this activity knowing that it may favour some people less than others, providing justification for this decision.		
4. Stop the policy or practice as there are adverse effects cannot be prevented/mitigated/or justified.		

G. Publication and Review:

Will this EIA be published? Yes/Not required	The EIA will be available on the Research Hub and submitted to Research England as part of our REF Code of Practice
Date completed:	May 2026
Review Date (if applicable):	Ongoing until REF submission

(*EIA's should be published alongside relevant funding activities e.g. calls and events:

H. Supporting Data

Due to the small size of the Courtauld, and the fact that almost all staff in on research contracts have been determined to be SRR or RI, it is not possible to conduct disaggregated data analysis to compare protected characteristic data between the SRR/RI and non-RI 'research only' populations. Doing so would potentially make individuals' protected characteristic data easily identifiable.

Disaggregated data reflecting the SRR and RI research population is available in the EIA for Output selection and assessment.

Appendix I: Output Selection and Assessment Equality Impact Assessment and Supporting Data

Equality Impact Assessment

If you require this template in an alternative format, such as large print please contact researchoffice@courtauld.ac.uk.

This template is designed to be used alongside the: [EIA Guidance](#)

A. Key Information

Policy/practice name:	Institutional REF2029 process: Output selection and assessment
General background/aims of policy/practice:	The Research Excellence Framework 2029 (hereafter referred to as REF2029) is the system for assessing the quality of research in higher education institutions in the UK. The purpose of the exercise is to assess the quality of UK research and inform the selective allocation of research grants to institutions by the four UK higher education funding bodies with effect from 2029-30. This exercise in the Courtauld is guided by a Code of Practice, accepted by Research England. The Courtauld is required to select outputs for submission to REF2029. Based on the volume measure of 2.5x our FTE of staff with significant responsibility for research (SRR), or who are research independent (RI), we will need to submit ~125 outputs in total. This EIA enables the Courtauld to demonstrate how due regard has been given to the Public Sector Equality Duty (PSED) with regards to output selection and assessment to: • eliminate unlawful discrimination, harassment and victimisation • advance equality of opportunity between people who share a protected characteristic and those who do not • foster good relations between people from different backgrounds
Department:	Research Office
Assessed by:	Impact, KE and Evaluation Manager Research Policy and Compliance Manager
Sign off by:	Dean for Research
Sign off date:	7 May 2026

	17 August 2026 (amended to include language-related accommodations)
--	---

B. Reason for EIA

Activity	Tick relevant box	Description
New policy/ practice is proposed	X	Assessment and selection of outputs for REF2029
Change to existing policy/practice is proposed	X	This policy is an update to the policy outlined in the Courtauld's Code of Practice REF2021

I) Brief description of the policy/practice and consultation.

The full policy for the selection of Outputs can be found in the COP.

Outputs will be selected firstly on the basis of research excellence, and then according to secondary criteria to ensure the submission is representative of the landscape of the unit. These criteria are:

- Research clusters and centres;
- Research collaborations and partnerships;
- The number of outputs contributed by the three departments with SRR staff relative to headcount, and alongside contributions to Impact Case Studies;
- The number of outputs contributed by staff at different career stages relative to the composition of our research community.

The quality of proposed outputs, in terms of originality, significance, rigour, and how reflective they are of our Research Strategy will be internally and externally assessed. Due to the small size of the institution, outputs are single-anonymised reviewed. These reviews are coordinated by the Research Office. For eligible members of staff, the highest quality outputs will be selected.

To ensure outputs submitted in British Sign Language, Welsh and other recognised languages, including Scottish Gaelic, Scots, Ulster Scots, Irish and Irish Sign Language are not treated less favourably in output selection and to avoid language-related exclusion or bias that breaks equality law, any outputs proposed for inclusion in these languages will be assessed by external language specialists in their original form. Reviewers with BSL or Welsh language expertise will be assigned to assess the outputs without translation or interpretation and offer feedback to the Research Committee based on the quality of the outputs using the REF indicators of quality - originality, significance, rigour.

To minimise over-reliance on metrics or conventions that may structurally exclude some groups, we will not be using citation metrics or publication venues as part of our criteria for selection. The Courtauld does not have formal expectations of how many outputs will be submitted to REF by any member of staff and does not use the selection of outputs as criteria for promotion or performance management.

II) What involvement and consultation has been done in relation to this policy? (e.g. with relevant groups and stakeholders)

A wide range of opportunities have been designed to ensure that no group or individuals are disadvantaged in relation to access to the consultation process. Internal output review has been ongoing since Autumn 2024, when all SRR and RI staff were asked via email and in person to identify all their eligible outputs for REF published since 1 January 2021 via a form on the Courtauld's internal Research site. This has formed the provisional output pool. The policy was developed in consultation with the REF Working Group, who undertook an initial review of the output pool in Spring 2025, against the criteria for REF2021. This was a training exercise to familiarise the group with the policy and how to review, and to ensure the REF Working Group could communicate the policy to colleagues. (See CoP for the members of the REF Working Group).

In March 2025, the Research Office ran a REF Best Practice training afternoon for all staff. The purpose was to introduce the process of internal review, gather feedback on the policy, set expectations around participation, and answer any questions.

The Research Office has a monthly office "drop-in" hour for all staff (from 2026) and information on the policy and how-to guides on uploading content are available on our internal Research Hub.

III) What are the arrangements for monitoring and reviewing the actual impact of the policy/funding activity/event?

The impact monitoring for this work will be undertaken by the Impact, KE and Evaluation Manager who is overseeing the internal review process and training, the Dean for Research and senior members of the Courtauld who undertake professional development reviews with faculty, and the REF Working Group.

A further Equality Impact Assessment will be undertaken after submission to REF2029 which will review the actual impact of this policy.

IV) Other

-

C. Proposal Impact

Consider carefully how your proposal will impact both positively and negatively on people from different groups.

Please indicate below who you feel will be most affected by your proposal.

Who will be most impacted by this proposal?

The inclusion of staff outputs to the REF has historically been linked to staff career progression. This has been seen to have an impact on individuals, and has potential to disproportionately impact staff from protected characteristic groups.

The Courtauld maintains that inclusion of outputs in REF should not impact the careers of staff members and maintains the following policy positions (as outlined in the CoP):

- Staff members are not required to have a set number of outputs available for submission to the REF
- The inclusion of outputs to the REF is not a criterion for performance review or promotion
- The outcome of internal output reviews will not be shared with authors or other members of staff in order to limit the impact of inclusion in the REF on the internal culture of the Institute.
- We will not be circulating the final list of outputs internally to limit the impact of whether outputs are included in the REF on the internal culture of the Institute.

While the outcome of this policy—inclusion of outputs in the REF submission—should not disproportionately impact protected characteristic groups, they may experience barriers to accessing the process it outlines or suffer negative impacts because of this process. These impacts have been outlined below, informed by the attached data analysis, along with pr recommendations for mitigating actions.

D. Impacts on Protected Characteristic Groups

- *Is there a potential for positive or negative impact?*
- *Please explain and give examples of any evidence/data used*
- *Actions to address negative impact (e.g. adjustment to the policy)*

Protected Characteristic	Outline of impacts and mitigating actions
Age	<i>Potential negative impact.</i> Colleagues earlier in their careers, who are typically younger, might have fewer outputs than more senior colleagues (as indicated in section H. Supporting Data) and therefore be disproportionately excluded from engaging with this process. Younger ECRs have indicated they may not feel confident or comfortable engaging with the peer review process internally or with Open Access principles. In both cases this may reflect career-stage rather than age, however, mitigating actions may remove the possibility of negative impacts and could support advancing equality of opportunity. ACTION: • All reviewers and research staff will be asked to highlight any personal circumstances that will need additional support to enable them to fully engage with the output review process,

	and in the completion of outputs between now and the REF submission. • Training on REF principles and peer review will be run by the research Office for all research staff, with 1-2-1 sessions offered for ECRs. • The Library will hold OA surgeries for new colleagues and anyone with questions about deposit requirements. Authors of reviewed outputs are not anonymised, review outcomes may reflect bias against individuals with protected characteristics. This potential impact is mitigated by the policy of outputs undergoing review by two internal reviewers and one external reviewer to ensure fairness and minimise bias. The policy of not sharing the outcomes of reviews, having no requirements that staff produce a specific number of submitted outputs, and not linking inclusion of outputs to promotion or review limits the negative impact of bias. However, there is still potential for discrimination in the output review and selection process. Action: • All internal reviewers will be required to complete iHasco training on EDI prior to undertaking future reviews. • Reviews by external reviewers will be subject to calibration • Outputs will be subject to two internal reviews, and where the outcomes of these are vastly different, they will be reviewed a third time.
Sex	<i>Potential negative impact.</i> The interim data analysis in section H shows a significantly lower number of outputs for (self-identified) female researchers compared with male researchers. Lower numbers of outputs amongst female individuals may be reflective of wider structural and cultural imbalances within society and at the Courtauld. For example, disproportionate caring responsibilities or disproportionate internal or external 'community' roles impacting the capacity to undertake research. The policy may exacerbate this inequality if female researchers face disproportionate barriers to engaging with the output selection process. The intersection of sex with the other protected characteristic of Pregnancy/Maternity may mean that people of female sex have fewer research outputs due to pregnancy or maternity leave and associated caring responsibilities. ACTION: • Training and consultation activities will be undertaken within core hours to better accommodate those with caring responsibilities. • Researchers with significant administrative responsibilities will be supported to a proportional degree to complete research outputs so they are not disadvantaged by the timing of the REF submission, including enabling those in major administrative

	roles to take up sabbatical entitlement with interim cover provided. • In person training sessions will be recorded and recordings made available via the research hub. • Training sessions will also be recorded, and the Impact KE and Evaluation Manager will offer 1-2-1 sessions. • Monitoring and further institutional culture review may be required. Authors of reviewed outputs are not anonymised, review outcomes may reflect bias against individuals with protected characteristics. This potential impact is mitigated by the policy of outputs undergoing review by two internal reviewers and one external reviewer to ensure fairness and minimise bias. The policy of not sharing the outcomes of reviews, having no requirements that staff produce a specific number of submitted outputs, and not linking inclusion of outputs to promotion or review limits the negative impact of bias. However, there is still potential for discrimination in the output review and selection process. Action: • All internal reviewers will be required to complete iHasco training on EDI prior to undertaking future reviews. • Reviews by external reviewers will be subject to calibration • Outputs will be subject to two internal reviews, and where the outcomes of these are vastly different, they will be reviewed a third time.
Disability	<i>Potential negative impact.</i> Colleagues with accessibility requirements might not be able to attend in-person training sessions or review panels, creating a barrier to their participation in the output selection process. The Courtauld does not have sufficient internal language expertise to assess outputs submitted in British Sign Language, Welsh and other recognised languages, including Scottish Gaelic, Scots, Ulster Scots, Irish and Irish Sign Language. This creates the risk of language-related exclusion and outputs may be treated less favourably in output selection. ACTION • All reviewers and research staff will be asked to highlight any personal circumstances that will need additional support • In person training sessions will be recorded and recordings made available via the research hub. • Training sessions will also be recorded, and the Impact KE and Evaluation Manager will offer 1-2-1 sessions • Training and consultation activities will be undertaken within core hours to accommodate flexible working requirements. • Any outputs proposed for inclusion in British Sign Language, Welsh and other recognised languages, including Scottish Gaelic, Scots, Ulster Scots, Irish and Irish Sign Language will

	be assessed by external language specialists in their original form. Reviewers with BSL or Welsh language expertise will be assigned to assess the outputs without translation or interpretation and offer feedback to the Research Committee based on the quality of the outputs using the REF indicators of quality - originality, significance, rigour. Authors of reviewed outputs are not anonymised, review outcomes may reflect bias against individuals with protected characteristics. This potential impact is mitigated by the policy of outputs undergoing review by two internal reviewers and one external reviewer to ensure fairness and minimise bias. The policy of not sharing the outcomes of reviews, having no requirements that staff produce a specific number of submitted outputs, and not linking inclusion of outputs to promotion or review limits the negative impact of bias. However, there is still potential for discrimination in the output review and selection process. Action: • All internal reviewers will be required to complete iHasco training on EDI prior to undertaking future reviews. • Reviews by external reviewers will be subject to calibration • Outputs will be subject to two internal reviews, and where the outcomes of these are vastly different, they will be reviewed a third time.
Gender Reassignment	<i>Potential Negative impact</i> <i>Data is not available.</i> Authors of reviewed outputs are not anonymised, review outcomes may reflect bias against individuals with protected characteristics. This potential impact is mitigated by the policy of outputs undergoing review by two internal reviewers and one external reviewer to ensure fairness and minimise bias. The policy of not sharing the outcomes of reviews, having no requirements that staff produce a specific number of submitted outputs, and not linking inclusion of outputs to promotion or review limits the negative impact of bias. However, there is still potential for discrimination in the output review and selection process. Action: • All internal reviewers will be required to complete iHasco training on EDI prior to undertaking future reviews. • Reviews by external reviewers will be subject to calibration • Outputs will be subject to two internal reviews, and where the outcomes of these are vastly different, they will be reviewed a third time.
Marriage or Civil Partnership	<i>Potential negative impact.</i> <i>Data is not available.</i>

	Authors of reviewed outputs are not anonymised, review outcomes may reflect bias against individuals with protected characteristics. This potential impact is mitigated by the policy of outputs undergoing review by two internal reviewers and one external reviewer to ensure fairness and minimise bias. The policy of not sharing the outcomes of reviews, having no requirements that staff produce a specific number of submitted outputs, and not linking inclusion of outputs to promotion or review limits the negative impact of bias. However, there is still potential for discrimination in the output review and selection process. Action: • All internal reviewers will be required to complete iHasco training on EDI prior to undertaking future reviews. • Reviews by external reviewers will be subject to calibration • Outputs will be subject to two internal reviews, and where the outcomes of these are vastly different, they will be reviewed a third time.
Pregnancy / Maternity	<i>Potential negative impact.</i> <i>Data is not available. Please see evaluation for the related characteristic Sex above.</i> Colleagues potentially have fewer outputs due to periods of maternity/paternity leave over the course of the REF cycle as well as periods of absence impacting their ability to engage with the REF output selection process. ACTION: • All reviewers and research staff will be asked to highlight any personal circumstances that will need additional support • Care will be taken in PDR meetings with colleagues who had had periods of leave to emphasize that they will not be discriminated against for having fewer outputs than others. • In person training sessions will be recorded and recordings made available via the research hub. • Training sessions will also be recorded, and the Impact KE and Evaluation Manager will offer 1-2-1 sessions • Training and consultation activities will be undertaken within core hours to better accommodate those with caring responsibilities. Authors of reviewed outputs are not anonymised, review outcomes may reflect bias against individuals with protected characteristics. This potential impact is mitigated by the policy of outputs undergoing review by two internal reviewers and one external reviewer to ensure fairness and minimise bias. The policy of not sharing the outcomes of reviews, having no requirements that staff produce a specific number of submitted outputs, and not linking inclusion of outputs to promotion or review limits the negative impact of bias. However, there is still potential for discrimination in the output review and selection process. Action:

	• All internal reviewers will be required to complete iHasco training on EDI prior to undertaking future reviews. • Reviews by external reviewers will be subject to calibration • Outputs will be subject to two internal reviews, and where the outcomes of these are vastly different, they will be reviewed a third time.
Race	<i>Potential negative impact.</i> Authors of reviewed outputs are not anonymised, review outcomes may reflect bias against individuals with protected characteristics. This potential impact is mitigated by the policy of outputs undergoing review by two internal reviewers and one external reviewer to ensure fairness and minimise bias. The policy of not sharing the outcomes of reviews, having no requirements that staff produce a specific number of submitted outputs, and not linking inclusion of outputs to promotion or review limits the negative impact of bias. However, there is still potential for discrimination in the output review and selection process. Action: • All internal reviewers will be required to complete iHasco training on EDI prior to undertaking future reviews. • Reviews by external reviewers will be subject to calibration • Outputs will be subject to two internal reviews, and where the outcomes of these are vastly different, they will be reviewed a third time.
Religion or Belief	<i>Potential negative impact.</i> Authors of reviewed outputs are not anonymised, review outcomes may reflect bias against individuals with protected characteristics. This potential impact is mitigated by the policy of outputs undergoing review by two internal reviewers and one external reviewer to ensure fairness and minimise bias. The policy of not sharing the outcomes of reviews, having no requirements that staff produce a specific number of submitted outputs, and not linking inclusion of outputs to promotion or review limits the negative impact of bias. However, there is still potential for discrimination in the output review and selection process. Action: • All internal reviewers will be required to complete iHasco training on EDI prior to undertaking future reviews. • Reviews by external reviewers will be subject to calibration • Outputs will be subject to two internal reviews, and where the outcomes of these are vastly different, they will be reviewed a third time.
Sexual Orientation	<i>Potential negative impact.</i> Authors of reviewed outputs are not anonymised, review outcomes may reflect bias against individuals with protected characteristics. This potential impact is mitigated by the policy of outputs undergoing review

	by two internal reviewers and one external reviewer to ensure fairness and minimise bias. The policy of not sharing the outcomes of reviews, having no requirements that staff produce a specific number of submitted outputs, and not linking inclusion of outputs to promotion or review limits the negative impact of bias. However, there is still potential for discrimination in the output review and selection process. Action: • All internal reviewers will be required to complete iHasco training on EDI prior to undertaking future reviews. • Reviews by external reviewers will be subject to calibration • Outputs will be subject to two internal reviews, and where the outcomes of these are vastly different, they will be reviewed a third time.
Other	

E. Evaluation

Question	Explanation / justification
Could this policy/practice lead to discrimination (direct or indirect), harassment, victimisation, or create barriers or less favourable treatment for particular groups and how can you mitigate any negative impacts?	As outlined above, this policy could negatively impact particular groups to a limited extent, however this can be further mitigated through the actions proposed (Section D).
Does this policy/practice contribute to advancing equality of opportunity and fostering good relations?	The initial proposed policy does seek to advance equality of opportunity by reducing the impact of the output selection policy on the careers of individuals which might disproportionately disadvantage those with protected characteristics. By implementing the proposed actions in section D this policy would contribute to advancing equality of opportunity and fostering good relations to a greater extent as it will: - provide more opportunities to reduce disadvantages suffered due to protected characteristics - provide more accessible opportunities for individuals to engage with proposed activities, supporting increased participation - improve the ability of the policy to meet the needs of all individuals including those with protected characteristics - provide greater opportunity for understanding between groups.
How can communication of the policy/practice be made accessible to all relevant groups?	The policy has been shared with all relevant stakeholders in multiple forms: via in-person meetings, all-staff emails, and is available to all staff on the Courtauld's internal intranet Research Hub.

Have all the core EIA Questions for REF2029 been addressed?	Yes
---	-----

F. EIA Outcome Recommendation

Assessment	Tick the relevant box	Explanation/ justification
1. No negative or positive impact identified; therefore, activity will proceed .		
2. Adapt or change the activity in a way which you think will eliminate negative impact or promote equality.	X	This policy/activity is required to comply with submission to REF2029. Impacts and barriers are limited and can be mitigated by the actions proposed in this EIA.
3. Barriers and impact identified but there appear to be no other proportionate ways to achieve the activity (e.g. in extreme cases or where positive action is taken). Proceed with caution with this activity knowing that it may favour some people less than others, providing justification for this decision.		
4. Stop the policy or practice as there are adverse effects cannot be prevented/mitigated/or justified.		

G. Publication and Review:

Will this EIA be published?* Yes/Not required?	The EIA will be available on the Research Hub and submitted to Research England as part of our REF Code of Practice
Date completed:	May 2026
Review Date (if applicable):	Ongoing until REF submission

(*EIA's should be published alongside relevant funding activities e.g. calls and events)

H. Supporting Data

The data used in this analysis is drawn from the members of SRR and RI as identified by our 2024 HESA submission and staff who joined the Courtauld since that date, giving an accurate picture as of Spring 2026.

The provisional output pool is comprised of all REF submissible outputs attributed to SRR and RI staff members through self-identification on the institution's research repository. This therefore represents all available outputs, rather than outputs which have been selected on the basis of the proposed policy. The data may reflect where individuals have experienced barriers to participation with the Output Selection Process so far, if they have REF-eligible outputs which they have not self-identified. Additionally, the data is indicative of the proportion of staff who could be impacted by the outcome of the policy on the basis of protected characteristics, and where wider policies and cultural practices could be having an impact on the research outputs of individuals.

The data will serve as a baseline for comparison with later EIAs. It should be read in conversation with the evaluations and evidence in section D, where potential impacts are identified.

Please note:

- *We are unable to reliably draw patterns from the data due to the small population size.*
- *Protected characteristics information is collected via self-declaration on our HR/payroll system, iTrent. For a number of protected characteristics there are significant limitations due to incomplete data or individuals choosing not to disclose. Data relating to gender reassignment, marriage or civil partnership, and pregnancy/maternity has not been included as this data is either not collected or is too incomplete.*
- *Links between protected characteristics and average number of outputs should be interpreted with caution.*

I. Age:

Age range	Percentage of Population	Average number of outputs	Number of outputs as percentage of whole
20 – 39*	18.9	2.7	11.8
40 - 49	39.6	4.4	40.6
50 - 59	28.3	5.4	35.4
60+	13.2	4	12.2

*Age categories of 20-29 and 30-39 combined as low numbers in these categories may make individual staff members identifiable.

The distribution of outputs across age ranges may be indicative of the impact of career stage on both levels of research output and confidence to engage with self-identification of outputs for submission. A further investigation of this age data in relation to career stage or Early Career Researcher status may provide more information about this.

II. Sex

Sex	Percentage of population	Average number of outputs	Number of outputs as percentage of whole
Female	71.7	3.8	62.4
Male	28.3	5.7	37.6

While female staff members represent more than double the proportion of eligible staff than male staff members they average 1.97 fewer outputs. This data may be affected by the intersection of sex with the protected characteristic of pregnancy/maternity.

At the time of analysing this data, there are 4 senior leadership roles held by research staff which reduce their research time allowance from 40% to 20%, all of which are held by women. Holding these roles during the REF cycle may reduce output numbers.

III. Disability:

Disability identifier	Percentage of population	Average number of outputs	Number of outputs as percentage of whole
Disability declared	7.5	4.5	7.9
No known disability	88.7	4.4	90.8
Prefer Not to Say/unknown	3.8	1.5	1.3

IV. Ethnicity:

Ethnicity identifier	Percentage of population	Average number of outputs	Number of outputs as percentage of whole
BAME/Global Majority	13.2	4.3	14.8
White - English, Scottish, Welsh, Northern Irish or British	52.8	4.5	55.5
Other White Identity	15.1	3.6	12.7
Not available/Prefer not to say	17.0	4.3	17.0

Average number of outputs appear to be lower amongst individuals who identify as a non-white ethnicity, though the proportion of individuals for whom this information is unavailable or withheld

may limit how well this data reflects protected characteristic status in the population sample. This should be monitored over the course of policy implementation.

V. Sexual Orientation:

Sexual orientation identifier	Percentage of population	Average number of outputs	Number of outputs as percentage of whole
Gay/Bisexual*	15.1	2.6	9.2
Heterosexual	52.8	4.5	55.0
Not available/Prefer not to say	32.1	4.8	35.8

*Data grouped due to low numbers potentially making individuals identifiable.

Average number of outputs appear to be substantially lower amongst individuals who identify as Gay/Bisexual, however the very large proportion of individuals for whom this information is unavailable or withheld may limit how well this data reflects protected characteristic status in the population sample.

VI. Religion/Belief:

Religion or belief identifier	Percentage of population	Average number of outputs	Number of outputs as percentage of whole
Religious Belief*	26.4	3.3	20.1
No religion	37.7	5.1	44.5
Not available/Prefer not to say	35.9	4.3	35.4

*Data grouped due to low numbers potentially making individuals identifiable.

Average number of outputs appear to be lower amongst individuals who identify as having a religion or belief. However, the proportion of individuals for whom this information is unavailable or withheld is larger than those who self-declare as having a religion or belief, limiting the ability to analyse this data with regards to the protected characteristic

This data cannot reflect the potentially drastic differences of experience between individuals of different religious groups. Individuals who are not part of the socially dominant religious group may be more likely to suffer negative impacts because of societal bias. Furthermore, religious belief and affiliation may intersect with the related protected characteristic of race. Unfortunately, population numbers are too low to disaggregate this data.