

Code of Practice for Selection of Staff for REF**The Courtauld Institute of Art**

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), Märit 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 50 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 (see EIA Phase One at <https://vle.courtauld.ac.uk/course/view.php?id=498> under Staff and Students/REF2014). 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.

Timetable for Selection of Staff for REF

- Staff submit list of proposed outputs – **Feb 2012**
- Director and Head of Research consult with individuals to clarify completion dates and relative excellence where a range of possible outputs have been suggested – **Feb 2012**
- External advisors read the proposed outputs (except for a small number of technical topics to be sent on to appropriate experts in a second consultation exercise) - **March 2012**
- Initial training in Equality aspects of REF given to Selection Committee members by Human Resources Manager –**April 2012**
- Phase One of Equality Impact Assessment: initial scrutiny of protected characteristics of eligible staff–**April 2012**
- Comments of advisors communicated generically to members of staff expecting to be participants in REF at special meeting - **May 2012**
- Code of Practice developed with advice from external consultant (KCL) – **end of May 2012**
- Draft Code of Practice presented at Research Committee – **June 2012**
- Draft Code of Practice circulated to all staff to enable discussion at Academic Board –**June 2012**
- Questionnaire about circumstances sent out to staff – **June 2012**
- Consultation with full complement of Academic Staff at Academic Board- **June 2012**
- Revision of Code of Practice in light of suggestions from Academic Board- **June 2012**

- The Director of Resources and Human Resources Manager meet to discuss special circumstances and potential for reduced number of outputs in these cases – **June 2012**
- Code of Practice submitted – **July 2012**
- External advisors read proposed outputs (second phase) –**July 2012**
- Director and Head of Research consult with individual researchers in light of external advisors' comments regarding outputs and their quality – **July 2012**
- External Training for REF Selection Committee at KCL, tailored to REF and equality issues – **autumn 2012**
- Code of Practice amendments discussed at Research Committee – **Nov 2012**
- Revised Code of Practice established on VLE and submitted to HEFCE (all research-and-teaching and research staff informed by email) – **Nov 2012**
- Revised Code of Practice presented to all Academic Staff at Academic Board – **Nov 2012**
- Equality Impact Assessment- data gathering and second phase of analysis – **autumn 2012**
- Second opportunity for self-declaration of Special Circumstances – **June 2013**
- Equality Impact Assessment third phase: comparison of data for all eligible staff and staff selected for REF – **July 2013**
- Staff informed re inclusion in REF and number of outputs to be submitted – **by early July 2013**
- Opportunity for comments on Equality Impact Assessment findings from UCU (Trade Union) branch and CWT (Courtauld Women Teachers Group) - **mid-late July 2013**
- Deadline for appeals – **mid-July 2013**
- Appeals Panel meets and has the opportunity to discuss appeals in light of the analysis emerging from the EIA including any observations made by UCU and CWT– **by mid-August 2013**
- Decision of Appeal Panel communicated – **mid-September 2013**
- presentation of the Equality Impact Assessment at Research Committee – **end October 2013**
- Presentation of Equality Impact Assessment at to full complement of Academic staff at Academic Board – **Nov 2013**
- Internal consultation and support for colleagues completing their outputs on-going in period leading up to REF submission - **academic year 2012-13 and start of academic year 2013-14**

The Code of Practice is drawn up by Head of Research in consultation with all the members of the REF Selection Committee. The Research Committee discussed and commented on the Code of Practice in June 2012 and again in November 2012. The entire body of Academic Staff, including the UCU Trade Union representative discussed and commented on the draft Code of Practice. We gratefully acknowledge advice from Head of Research and Graduate School Support at King's College London. This Code of Practice has been amended in November 2012 by the addition of sections 'Programme of Communications', (p. 2) and 'Definition of Circumstances to be Considered', (p. 3).