



EQUALITY AND DIVERSITY IMPACT ASSESSMENT

Title of Policy, Procedure or Function: Code of Practice on Equality and Diversity in the REF Submission Process	
School/Department: Policy, Planning and Governance	
Author/Position: Marlis Barraclough, Senior Policy Adviser (Research)	Date created: 20/02/2014

1. Aims and purpose of Policy, Procedure or Function:

The Code of Practice on Equality and Diversity in the REF Submission Process has been prepared to expand on the University's overarching policies on Equality and Diversity and set these in the context of the REF. It guided the work of all those involved in the preparation of submissions and the selection of staff for inclusion. It also reaffirms our commitment to equality of opportunity and to the adoption and maintenance of best practice.

2. Stakeholders:

All academic staff
 Line managers within the University
 Trades Union representatives
 University Court
 REF Steering Group members
 REF Selection panel members

3. Consultation

Organisation/person consulted or involved	Date, method and by whom	Location of consultation records
REF Steering Group	25 October 2011	PPG
University Management Group	4 November 2011	PPG
Senate	9 November 2011	Registry
Advisory Group on Equality and Diversity	21 November 2011	PPG
PNCC (includes union representation)	23 November 2011	HR
Court	5 December 2011	PPG
Scottish Funding Council	24 April 2012	PPG

a) Brief summary of results of consultation indicating how this has affected the Policy, Procedure or Function

Consultation

Consultation took place on the drafting of the Code of Practice between the Senior Policy Adviser (Research), the Policy Adviser (Research), the Equality and Diversity Adviser and the Senior Human Resources Manager. The issues discussed included the content of the Code of Practice, the case studies examples used, the selection process for REF candidates and the training plan required to be put in place to make the process transparent and consistently applied across the institution.

The document has taken joint HEFCE and Equality Challenge Unit guidelines on equality and diversity within the REF into consideration in the drafting of the document.

Further consultation has been conducted with the REF Steering Group, before being considered by the University Management Group, Senate, the Advisory Group on Equality and Diversity, the Partnership and Negotiating Consultative Committee (PNCC, on which campus unions are represented) and finally Court.

The finalised University Code of Practice was submitted to the Scottish Funding Council for approval which was granted in August 2012.

Separate meetings with the campus unions to discuss the Code of Practice and the selection procedure took place in August 2012. These meetings offered the opportunity for union officials to ask questions about the selection procedure, and a message from the Senior Vice Principal to all staff was issued to address concerns about career progression and REF selection.

Training/Communication

All members of staff received a copy of the Code of Practice after its approval in July 2012 and were invited to declare individual circumstances. Four training sessions on the Code of Practice and the equality and diversity issues arising out of the selection procedure for the REF were held in June 2012. These were compulsory for all members of the REF Steering Group, School and College Directors of Research, Heads of School and other members of staff involved in the selection process. In addition, the University purchased a bespoke REF training module which introduced our REF Code of Practice and set out the arrangements in place for staff who have individual circumstances they may wish to declare. The training module had a particular focus on equality and diversity issues. An invitation to complete it was issued to all relevant members of staff (academic and support).

REF information sessions open to all staff were held in August/September 2012. These sessions, led by the Vice Principal for Research and Knowledge Exchange, provided general information about the REF and our Code of Practice and invited members of staff to ask questions and engage with the process.

Invitations to become a member of the REF appeals panel were issued to all academic members of staff early in 2013. The Vice Principal with responsibility for equality and diversity issues within the University agreed to chair the appeals panel. A training and information session for panellists was held on 8 May 2013. There were no appeals against REF selection decisions.

Review of Code of Practice

The impact of the Code of Practice on protected groups within the eligible population was monitored while selection was ongoing. We analysed the eligible, selected, not selected and pending population after the first tranche of selection decisions had been made in February 2013. The analysis included the protected groups under the Equality Act 2010 which are recorded and monitored by the University of Aberdeen (age, disability, ethnic origin and gender) and those who had declared individual circumstances with a view to reduce the number of outputs to be submitted.

The analysis showed that all age groups, disabled and staff who declared black or ethnic minority background and members of staff who had declared individual circumstances were represented proportionately in the selected population. The figures showed that female members of staff were slightly underrepresented in the selected population, and further investigation revealed that the largest number of female members of staff not selected for inclusion in the REF are located in two schools with high teaching intensity and, in one of those schools, largely female staff. This is indicative of a broader issue across the sector and cannot be addressed by a change in the selection procedure. The University of Aberdeen has in place a number of measures to promote the career development of female members of staff.

The final analysis of the selected population showed similar results as the February figures.

Policy, Procedure or Function (delete as appropriate)	Relevance to promotion of equality of opportunity, elimination of discrimination and promotion of good relations between people of with different protected characteristics								
Equality	Race	Disability	Gender	Age	Sexual Orientation	Religion or Belief	Gender Reassignment	Pregnancy or Maternity	Marriage or Civil Partnership
1. Does the policy, procedure or function impact directly on the public or (for internal issues) students/staff regarding:	0	0	1	0	0	0	0	1	0
2. Is there any evidence or reason to believe that someone could be affected differently (either individually or as a group) on his or her race, ethnic origin, religion, age, gender, disability, sexual orientation or gender reassignment regarding:	0	0	0	0	0	0	0	1	0
3. Is there evidence that the above mentioned groups are being affected differently regarding:	0	0	0	0	0	0	0	0	0
4. Is there public/political concern that the policy, procedure or function is operated in a discriminatory manner regarding:	0	0	0	0	0	0	0	0	0

Policy, Procedure or Function (delete as appropriate)	Relevance to promotion of equality of opportunity, elimination of discrimination and promotion of good relations between people of with different protected characteristics								
Equality	Race	Disability	Gender	Age	Sexual Orientation	Religion or Belief	Gender Reassignment	Pregnancy or Maternity	Marriage or Civil Partnership
5. Does this policy, procedure or function involve the use or discretionary use of statutory powers or authority regarding:	0	0	0	0	0	0	0	0	0
6. Does this policy, procedure or function present opportunity to improve community relations regarding:	0	0	0	0	0	0	0	0	0
7. Does this policy, procedure or function concern equality of opportunity for students/staff regarding:	0	0	0	0	0	0	0	0	0
Impact on <u>individual</u> equality strands i.e. Race, Religion etc.: Score - High (7-5), Medium (4-3), Low (2-1), N/A (0)	0	0	1	0	0	0	0	2	0

Note – Completion of the template requires each strand to be examined individually. The final relevance score is obtained by totalling vertically the number of equality questions that are answered yes in each strand. The highest relevance score will determine the impact of the policy, procedure or function irrespective of diversity strand.

4. Impact of policy, procedure or function on equality

High	<input type="checkbox"/>	Medium	<input checked="" type="checkbox"/>	Low	<input type="checkbox"/>	N/A	<input type="checkbox"/>
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5. Publication

a) Provide details of arrangements to publish initial screening:

Equality and Diversity website:

<http://www.abdn.ac.uk/staffnet/governance/equality-and-diversity-277.php>**6. Review Date:**

May 2013 REF Steering Group, Advisory Group on Equality and Diversity

February 2014 REF Steering Group, Advisory Group on Equality and Diversity, University Management Group

Author (Name and Position): Marlis Barraclough, Senior Policy Advisor (Research)

Authors signature:

Marlis Barraclough

Equality and Diversity Adviser (Name): Janine Chalmers

Equality and Diversity Adviser signature:

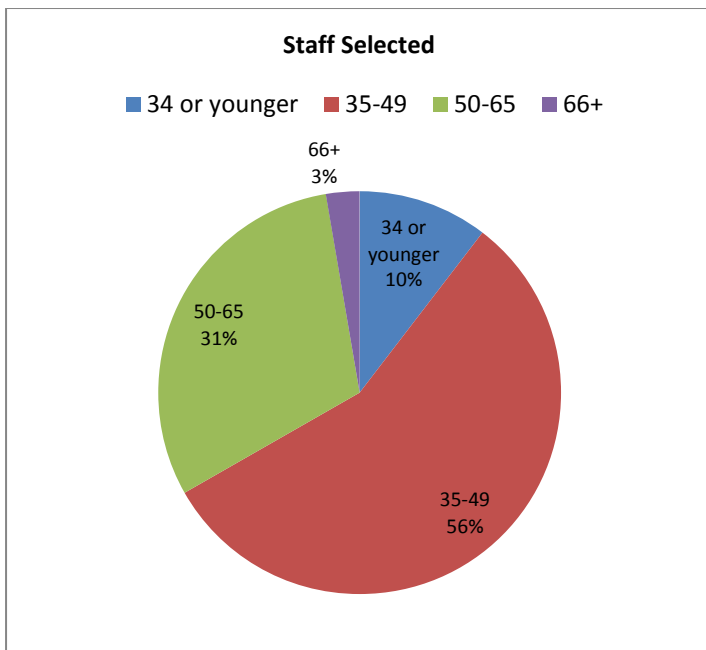
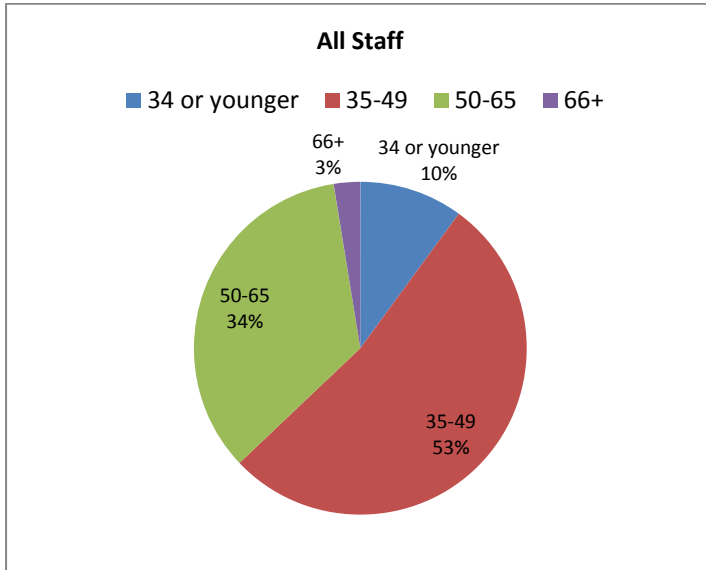
*Janine Chalmers***7. Date of submission to Advisory Group on Equality and Diversity:**

Final outcome reviewed by institutional REF Steering Group, Advisory Group on Equality and Diversity and University Management Group

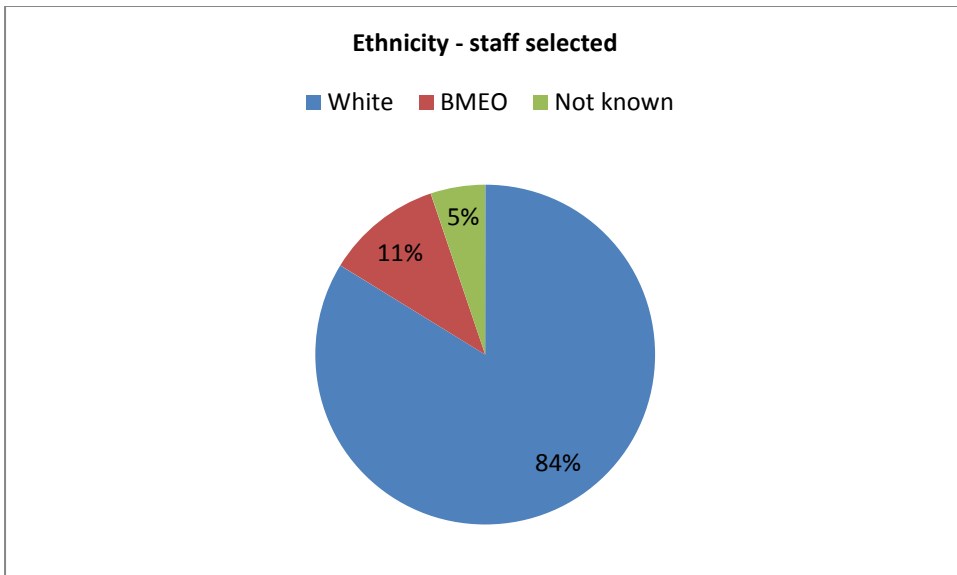
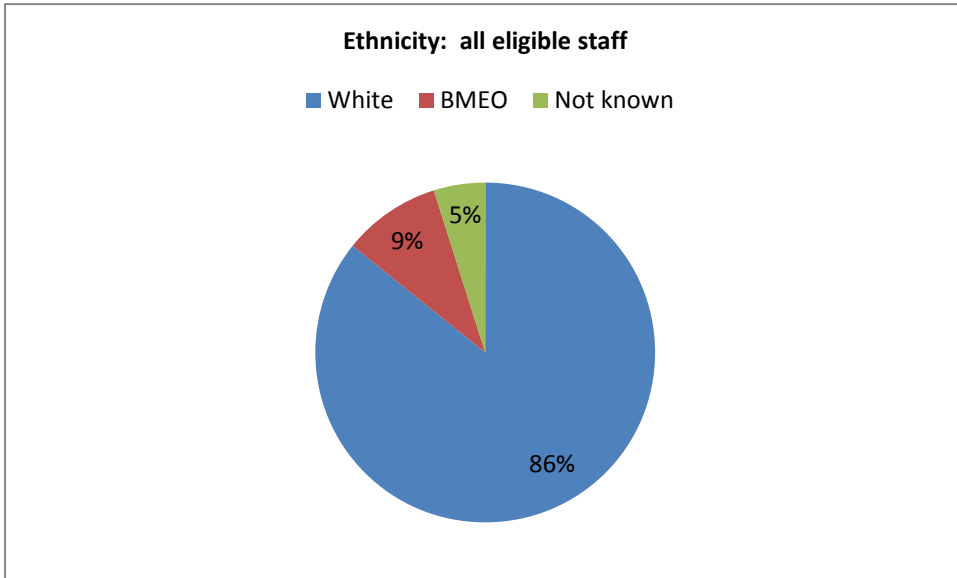
Approval Yes No

EQUALITY AND DIVERSITY ANALYSIS – UNIVERSITY OF ABERDEEN REF SUBMISSION

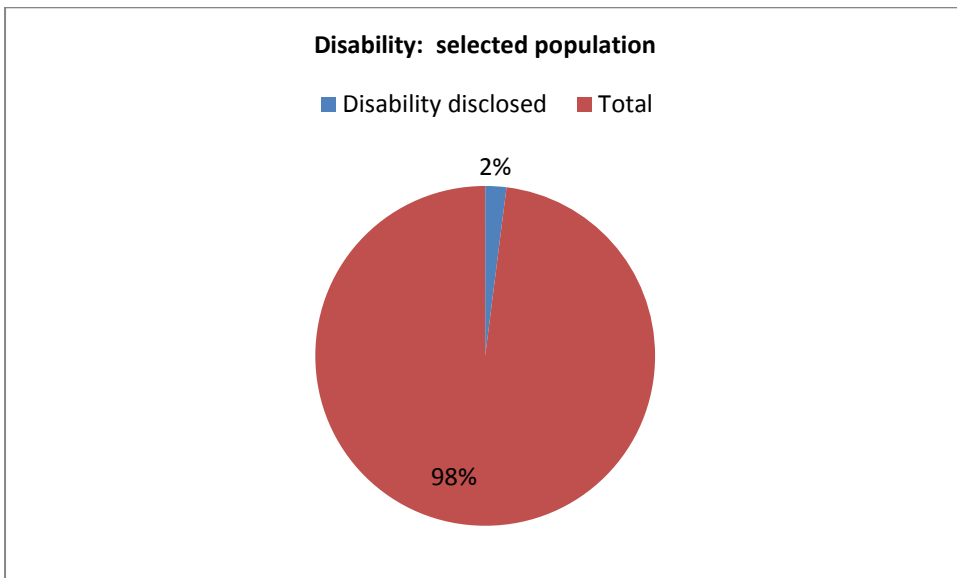
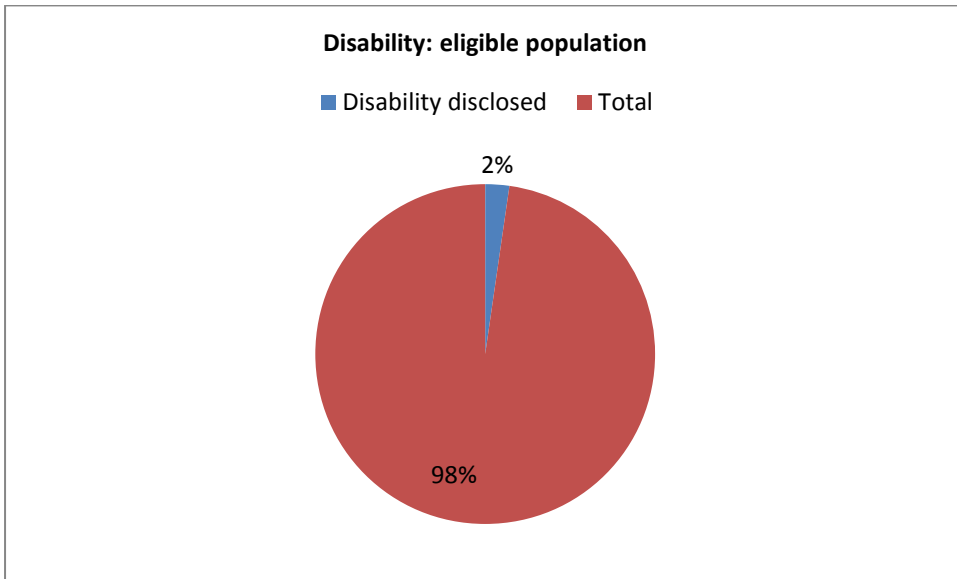
1 AGE BY HESA GROUP (HEADCOUNT)



2 ETHNICITY (HEADCOUNT)



3 DISABILITY (HEADCOUNT)



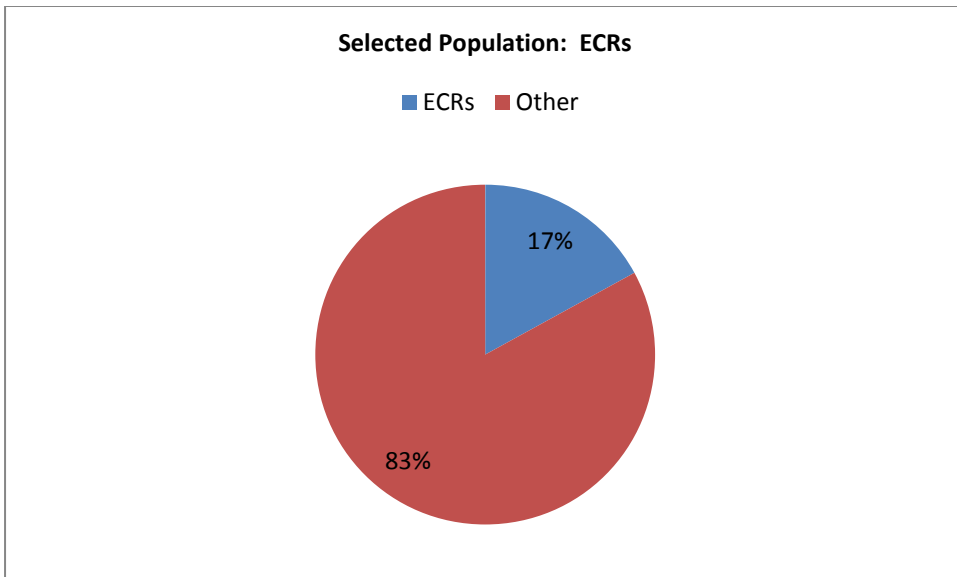
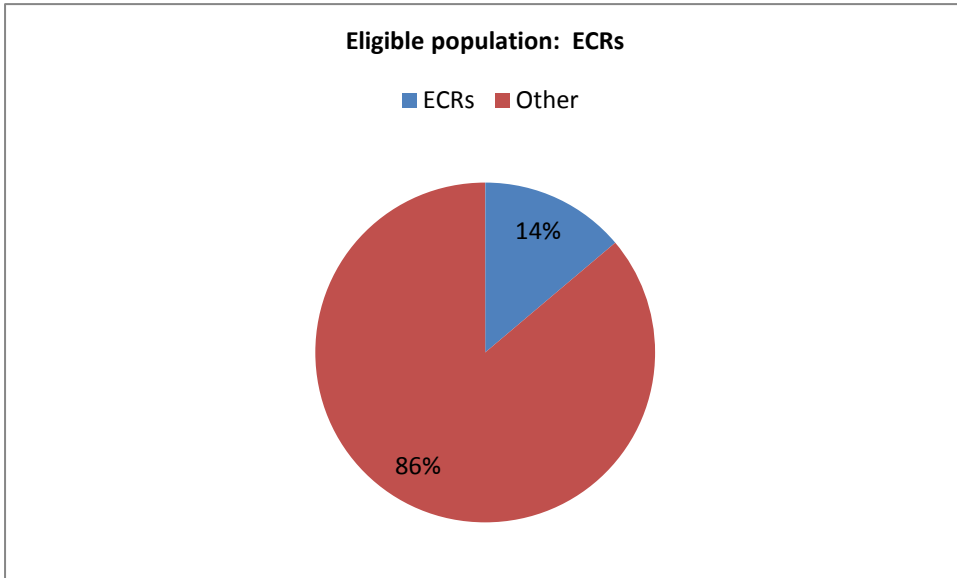
4 GENDER (HEADCOUNT)



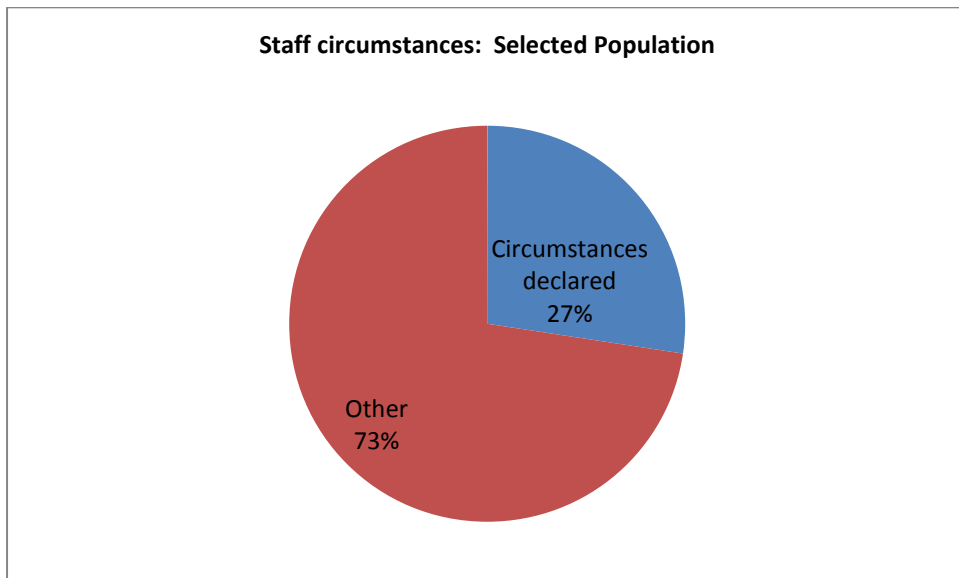
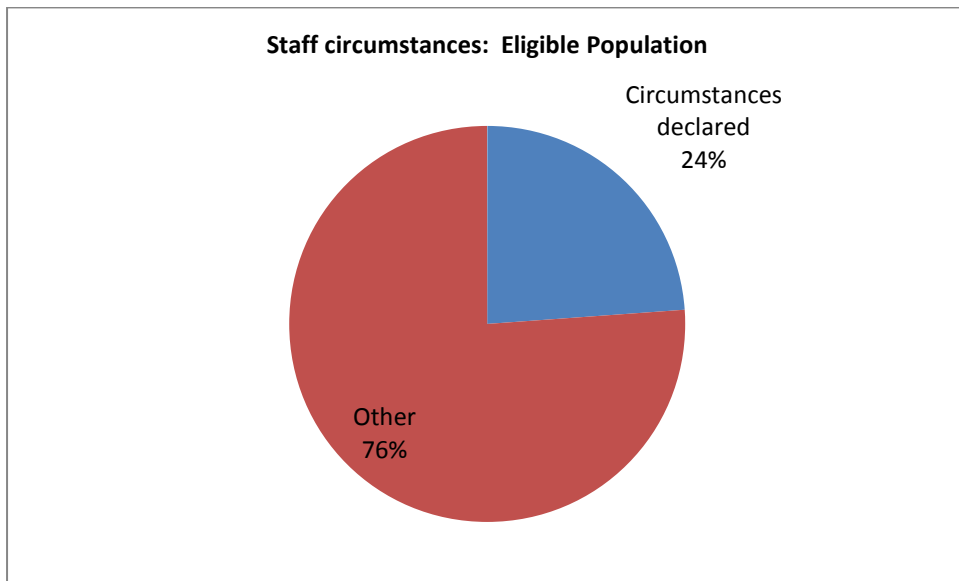
The apparent imbalance in the selection of male and female researchers is caused by a relatively high concentration of female staff not selected for inclusion in the School of Medicine and Dentistry and in the School of Education. Within the University these are the two areas of activity where staff, although eligible under REF rules, are employed more for their teaching and professional development expertise.

If both Schools are taken out of the analysis, the gender split in the eligible population is 72% male and 28% female and in the selected population 73% male and 28% female. The adjusted inclusion rates for this scenario are: 83% for male researchers and 78% for female researchers.

5 STAFF CIRCUMSTANCES - EARLY CAREER RESEARCHERS (HEADCOUNT)



6 STAFF CIRCUMSTANCES DECLARED – ALL CIRCUMSTANCES (HEADCOUNT)



MB 20/02/2014