



Equality Impact Assessment – Screening Template

Please refer to EIA framework to assist you in the completion of this template.

School or Department

Graduate Research School

Title of strategy, policy, service, practice or procedure being assessed.

Code of Practice for the Selection of Staff – REF 2014

Name of person responsible for completing assessment and contact details.

Margaret McFee, 01642 738459, m.mcfee@tees.ac.uk

Name of the person with overall responsibility for the item, i.e. Dept Head

Professor Zulfiquir Ali

Brief description of item including aim, purpose and key activities.

The purpose of this code of practice is to detail the processes put in place by the University to ensure that staff selection for the REF meets the requirements of the Equality Act 2010.

Who is affected by the item? (staff, potential staff, students, potential students, public, community groups, visitors, partners, contractors, etc.)

Research and Academic staff

Who is responsible for implementation?

REF Steering Group/University Research Policy Committee

Does or could the item have a positive or negative effect on members of any diverse groups? The following table will assist you to indicate:

- Where the item does or could have a **negative impact** on a particular group, i.e. it could cause some disadvantage or potentially be discriminatory.
- Where the item does or could have a **positive impact** on any diverse group, i.e. promoting good relations between different groups.
- Where the item is **not relevant** to any potential impact in respect of equality.

The Equality Duties are concerned with eliminating discrimination, promoting equality and promoting good relations. This needs to be taken into consideration when completing the table.

Group	Positive impact: Yes/no/unclear	Negative impact: Yes/no/unclear	Not relevant.
Age Older people (50+) People aged 25 – 50 Young people(17-25) Children	yes	unclear	
Disability consider all forms of disability, physical and mental as well as visible and non visible.		unclear	
Gender Women, Men		yes	
Transgender Consider implications at all stages		unclear	
Married people and those in a civil partnership		unclear	
Pregnancy and maternity		unclear	
Race* Asian or Asian British Black or Black British Chinese, White, Mixed, Other Ethnic Group	yes		
Religion or belief, including lack of belief Muslims, Buddhists Jews, Christians Sikhs, Hindus Atheists, Scientologists Humanism, Other		unclear	
Sexual orientation Lesbians, gay men, bisexuals		unclear	

*Categories used in 2001 census.

Screening Outcomes – complete either A, B or C

A) No evidence of impact/policy not relevant to equality

You will need to explain below the reasons for your decision and identify any evidence you have to support that decision. Record outcome. No further action.

n/a

Date of next review?	
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If the policy is under development it will need screening at each stage. Record dates of subsequent screening below.

Pink Paper	Green Paper	White Paper

B) Impact has been identified but can be resolved easily.

(Usually only possible during development stages.) **Yes/No**

If yes, describe how this will be done below. Record outcome. No further action. If no, proceed to full EIA and complete action plan.

n/a

Date of next review?	
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C) Impact has been identified, and cannot be resolved easily or impact is unclear

If the item has been identified as having, or potentially having, some impact on one or several groups then the item will need to proceed to full impact assessment. Complete EIA Report and Action Plan. Record outcome.

Signed: Margaret McFee

Date 21.2.14

Agreed (name and signature): Professor Zulfiquir Ali



Job Title: Dean of the Graduate Research School

EIA Report and Action Plan

Describe what impact has been identified

Comparing the equality data available for those staff who were eligible to be submitted to the REF with those who were submitted, a number of variations are apparent:

- The number of staff from ethnic minorities who were submitted was high in comparison to the percentage of ethnic minority staff that were eligible.
- The number of staff with a declared disability who were submitted was slightly lower than the percentage of eligible disabled staff.
- A high number of eligible staff between the ages of 30 and 39 were submitted.
- The percentage of older staff submitted was slightly lower, compared to the percentage of eligible staff in these age groups.
- The most significant difference between eligibility and submission was in the percentage of female staff returned to REF.

Are there any explanations/reasons for differential impact?

The high number of ethnic minority staff whose work was submitted to REF is a positive differential.

The differential between eligible disabled staff, and those who were submitted to the REF was negative but minor. This will need to be monitored in future.

The differential impact on various age groups may be explained by a number of factors. For example, it may be expected that staff between the ages of 30 and 39 are particularly focused on developing their research career.

25 of the 94 staff members submitted by the University were identified as Early Career Researchers, a proportion of 26.6% compared to a sector-wide percentage of 18%.

The differential between genders is significant, and requires further investigation.

What action has been taken to remove/reduce differential impact?

- 1) All staff involved in the submission selection process have received training in equality and diversity relevant to their role.

A timetable was drawn up based on the availability of staff who needed to complete the training, starting with the key staff leading the preparation of the REF submissions at Unit of Assessment (UoA) level (two sessions were arranged for this relatively small group). Two of the four members of the Appeals Panel also attended at this stage. This training was scheduled for June and July 2012, before the initial deadline for all eligible members of staff to disclose individual circumstances, which in turn informed the initial categorisation of staff (as 'possibly' or 'not to be submitted' to REF) in December 2012. Two members of staff were unable to attend, and information was provided to them (in the form of PowerPoint slides and notes) and individual follow-up meetings were offered. Contact was maintained with these two members of staff throughout the REF preparation and submission period by the Graduate Research School (GRS), the central office supporting the REF preparations.

One of the University's Units of Assessment convened a local REF Steering Group of senior staff, and a separate training session was held for this group.

The remaining two members of the Appeals Panel were professors, who were to be submitted to REF but had not themselves been involved in the selection process. Following the initial categorisation in December 2012, the two professors were selected and a separate training session was held for them before the work of the appeals panel began.

All training participants were given contact details of E&D leads in case of queries throughout the REF preparation period. Contact was maintained between GRS and all staff leading the submissions to the University's selected UoAs.

- 2) All eligible staff were encouraged to submit and, if appropriate, to claim a reduction in outputs.

All staff were first emailed about declaring circumstances and the possibility of being submitted with reduced outputs. An email was sent to all staff at the beginning of June 2012, with an initial deadline of late July 2012. Advice was also provided that updates on individual circumstances could be submitted at any time. HR provided a list of eligible staff who were absent from work when the email was sent, and letters were sent to their home address to make sure that these staff members were aware of this process.

The material developed by the Equalities Challenge Unit was used, including the individual circumstances declaration form and guidance notes. Staff leading the submissions at UoA level raised awareness of the process amongst their staff members, who were asked to contact the GRS for further information and guidance.

A list was provided to the GRS each month by HR of new members of academic and research staff, and an email sent to them about the process of declaring individual circumstances. This gave the option of contacting the GRS with queries. Information was also placed on the GRS intranet site. Updates on the REF submission were provided at the University's monthly networking event for researchers.

The panel which considered declarations of individual circumstances, and used the REF criteria to determine output reductions, comprised the Deputy Vice-Chancellor (Research & Business Engagement), the Dean of the Graduate Research School, an HR Manager and the University's Equality and Diversity Advisor. Information declared by staff was validated using HR records to clarify early career status, sabbaticals and periods of maternity leave. In some cases, previous institutions were contacted to confirm the nature of a staff member's previous employment and contract type, and the dates of maternity leave. Advice on medical conditions was sought from Teesside University's Occupational Health team to calculate and map 'months absent' for staff members affected by more complex circumstances, as required by the REF guidance.

Additional lengths were taken to encourage staff to claim a reduction in submissions. For example, one member of staff who had had a period of maternity leave originally did not claim a reduction, and their UoA submission lead and the GRS discussed this with the staff member to provide assurance that claiming a reduction would not be perceived as a weakness in any way (which was the staff member's concern). Other UoA submission leads and the GRS had discussions with people who were known to be entitled to submission with reduced outputs (most commonly due to ECR status), but who had not requested an output reduction. The aim was to be pro-active in discussing the process for reduced outputs with staff.

The appeals panel comprised the Deputy Vice-Chancellor (Partnerships and Standards), the Director of HR and the two professors mentioned above, to provide senior oversight but from those who had not been involved in the staff selection process.

What further evidence is required?

Information regarding the analysis of the data submitted by other HEIs is essential so that we can put our data into context. The University needs to be able to establish if the impact evident in our institution is prevalent across similar institutions, or if it is unique to us.

It would be desirable to have data in relation to other protected characteristics. As an institution, we collected staff data for the first time this year regarding sexual orientation and religion and belief, but do not currently have enough data to make reliable comparisons in relation to the REF.

Further Action/Review

The outcome of analysis of data from other institutions will inform further action, which at this stage is expected to include:

- Targeting particular under-represented groups to encourage future submissions. Reasons for the submission of a lower percentage of female researchers may be varied and complex, and will require more detailed consideration and specific actions to enhance support to female researchers.
- Using good practice identified within other institutions during this REF exercise and implementing it during the next.
- Establishing a working party and focus groups from under-represented groups to look at ways of addressing the imbalances.
- Looking at the career development of eligible staff and any differential data regarding progression between protected characteristics.
- Exploring ways of encouraging higher level reporting of characteristics such as sexual orientation and religion and belief, to enable robust data comparison.
- Providing further training for senior staff around equality and diversity and staff development.

Further review will be conducted following receipt of the EDAP report, due in 2015, highlighting lessons learned from EIAs across the sector.

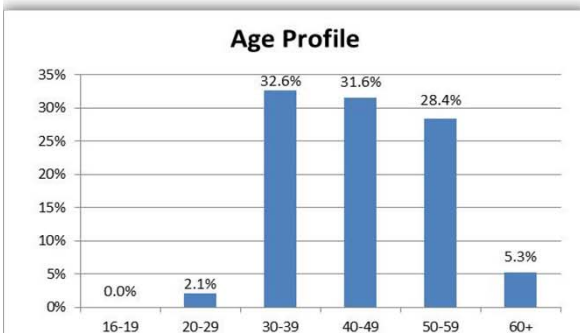
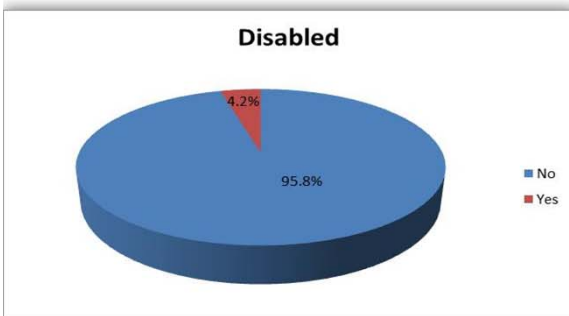
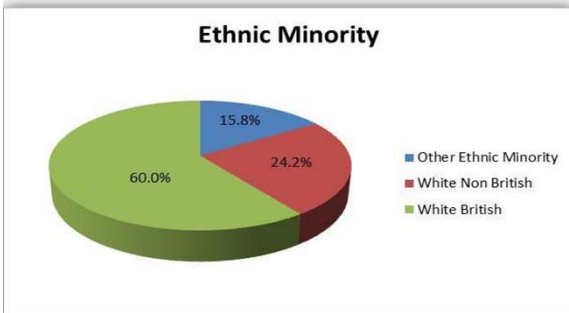
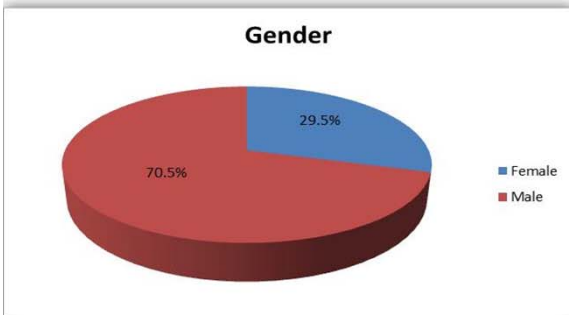
Margaret McFee

Equality and Diversity Adviser

24.2.14

Appendix A: Data comparison

Staff submitted to REF



All staff eligible to be submitted to REF

