



**A. Policy or Practice:**

University of Edinburgh policies and procedures for the selection of staff for REF2014 (described in the UoE Equality and Diversity Code of Practice (CoP)). The CoP was approved by the University Court in April 2012, following a University-wide consultation process.

**B. Reason for screening (delete as applicable):**

As described in the REF2014 Assessment Framework and Guidance on Submissions (REF02.2011), the funding bodies require all HEIs to conduct an equality impact assessment on their policy and procedures for selecting staff for the REF.

**C. Person responsible for the policy area or practice:**

Tracey Slaven  
Deputy Secretary, Strategic Planning  
Governance and Strategic Planning

**D. Screening Analysis**

**1. Does the policy or practice affect primary or high level functions of the University?**

Yes.

**2. Is the policy or practice relevant to the promotion of equality (in terms of the Public Sector Equality Duty 'needs' set out in the introduction above)?**

Yes.

**3. Is the policy or practice one on which interested parties could reasonably expect the University to have carried out an EqlA?**

Yes

**E. Screening outcome**

**Equality Impact Assessment required:** Yes, building on the initial EIA carried out in July 2012.

An initial EIA was carried out in July 2012. Comprehensive interim equality profiles of the submission were reviewed by the REF2014 Equality & Diversity Review Group in May 2013 and September 2013. The final, comprehensive equality profiles of the submission were reviewed in December 2013.

**F. Sign-off**

Screening undertaken by:

Manya Buchan  
Head of Research Policy and Planning Services  
Governance and Strategic Planning  
6 December 2013

## G. Equality Impact Assessment

### 1. Overview.

The University's CoP has been approved by the REF2014 Equality and Diversity Advisory Panel and the University Court. Its purpose is to ensure the fair, equitable and transparent selection of staff for inclusion in the REF2014 submission, based on the excellence of their research.

The University made its REF2014 submission on Friday, 22 November 2013.

### 2. To which equality groups is the policy/practice relevant?

The CoP is relevant to all equality groups, as it affects all eligible staff. While REF2014 provisions allow for reductions in the required number of outputs to be submitted on grounds of individual circumstances which relate to some of the protected characteristics, the reductions awarded may not completely address the effects of less tangible or measurable impediments (e.g. where childcare responsibilities limit possibilities for travel / networking relevant to research).

### 3. What evidence is available about the needs of relevant equality groups?

External evidence:

- Research Excellence Framework sector impact assessment (February 2011)  
[http://www.ref.ac.uk/media/ref/content/background/REF\\_SIA\\_final.pdf](http://www.ref.ac.uk/media/ref/content/background/REF_SIA_final.pdf)
- HEFCE report on the selection of staff for inclusion in RAE2008 (September 2009 : 2009/34)  
<http://www.hefce.ac.uk/pubs/year/2009/200934/>

Internal evidence:

- College / School REF2014 policies (which all refer back to and are based on the CoP)
- Equality & Diversity Monitoring and Research Committee (EDMARC) reports
- E&D Strategy and Action Plan
- UoE RAE2008 equality profiles

### 4. Might the application of this policy/practice lead to discrimination, harassment or victimisation? Might it result in less favourable treatment for particular equality groups or give rise to indirect discrimination?

There is the potential for an indirectly discriminatory effect in some areas:

- The need to declare individual circumstances inevitably affected particular groups more than others, and in some cases may have involved disclosing previously private conditions / circumstances, such as disability, mental health, caring responsibilities. There could have been concerns about being stigmatised, even if the grounds for being granted a reduction based on complex circumstances are not disclosed (such grounds may well be inferred by colleagues).
- The fact of having a reduction in outputs may similarly affect particular groups – setting individuals apart from others.

The two points above arise from positive action to prevent or mitigate indirect discrimination. These effects have been further mitigated by sensitive handling: encouraging disclosure, ensuring a supporting environment, and ensuring appropriate confidentiality.

- Those with childcare responsibilities may have been affected by limitations on the volume of

research they have been able to produce. While this is likely to have adversely affected women more than men, it was important to recognise and raise awareness that men may also have been affected.

- Conversations about non-inclusion will have to have been handled very sensitively where these cross-cut E&D concerns (e.g. international staff, women returning from maternity leave).

**5. Are reasonable adjustments built in where they may be needed?**

Reasonable adjustments are built into the REF2014 assessment framework, and the CoP.

**6. Does the policy/practice contribute to advancing equality of opportunity<sup>1</sup>?**

The application of the CoP required E&D training for all staff involved in the selection of staff for REF2014, which had a positive effect through improved awareness and action to reduce discrimination and advance equality.

Members of University groups, committees, and panels, designated officers, and staff involved in the selection of staff for REF2014 were offered a range of REF2014-focussed development and training interventions designed to meet their needs with regard to equality and diversity, and which enabled them to understand their respective responsibilities in the process. This training was mandatory for individuals making staff selection decisions. Attendance at training sessions was monitored by Colleges and Governance and Strategic Planning.

Good practice from the application of the CoP in preparation for REF2014 is expected to filter through to other policies and practices, e.g. by applying similar consideration of individual circumstances to the academic promotions process and staff recruitment.

The importance of Annual Review in the CoP has further emphasised the value of Annual Review, which is beneficial to career development for all staff, and is seen as a positive process for the advancement of equality.

The REF2014 measures to prevent discriminatory treatment of early career researchers (ECRs) (usually younger age) may also affect wider policies and practices to support ECR research.

**7. Is there an opportunity in applying this policy/practice to foster good relations between people in any protected group and those who are not<sup>2</sup>? Will it help to tackle prejudice and/or promote understanding?**

The REF2014 training has had a positive effect on fostering good relations through improved awareness of equality and diversity matters.

**8. Is there evidence (or an expectation) that people from different equality groups have different needs or experiences in relation to the policy/practice? If so, what are they?**

Yes – as indicated in (4) above, an expectation that protected groups and those with relevant individual circumstances will have different needs and experiences. There are processes in place (outlined within the CoP) aimed at addressing individual circumstances.

<sup>1</sup> This question does not apply to the protected characteristic of marriage or civil partnership

<sup>2</sup> This question does not apply to the protected characteristic of marriage or civil partnership.

**9. Is there evidence (or an expectation) of higher or lower uptake by any equality group(s)?**

Please see Appendix 1.

**10. Is any equality group excluded from participating in or accessing the service or functions? If so, why?**

No. The CoP specifically highlights a culture of inclusivity.

**11. Does the policy/practice create any barriers for any other groups? For example, because of the time when the service is delivered or because of restricted income? Is the communication of the policy/practice accessible to all groups?**

In addition to accessible publication, eligible staff who were away from the University (e.g. due to maternity leave, sick leave, sabbatical, working away from the University) were contacted by HR to advise them of the CoP and the opportunity to have individual staff circumstances considered.

**12. How are relevant equality groups or communities involved in the development, review and/or monitoring of the policy or practice?**

The CoP has been developed in light of published the REF2014 Guidance on Submissions and Panel Criteria, and in consultation with the University's Staff Committee, Trades Unions, the Research Policy Group (RPG), the Principal's Strategy Group (PSG), the Central Management Group (CMG), and the University Court.

The University's REF2014 Equality & Diversity Review Group met 16 times during 2012 and 2013 and monitored the processes described in the CoP for identifying individuals whose circumstances needed special consideration. Additionally, the Group considered anonymised complex individual circumstances to ensure that the appropriate tariffs were applied. The Group's membership was consistent throughout the process, ensuring continuity of decision-making, and the Group employed the use of precedents (i.e. Equality Challenge Unit case studies) in order to ensure consistency in decision-making. The Group employed a quantitative approach, and evidence of circumstances described was scrutinised on a consistent basis across all cases submitted.

As described in the CoP, an appeals procedure was in place. No further cases for inclusion or further appeals against a non-inclusion decision on the basis of equality were submitted.

In accordance with the five principles of the CoP, the University ensured that its decisions were evidence-based and that its reasons and actions were recorded formally.

In order to assess the equity and fairness of decisions, the REF2014 E&D Review Group prepared an interim report for the REF2014 Senior Management Group based on information and analyses derived from interim equality analysis carried out in May 2013. The REF E&D Review Group undertook a second interim equality analysis in September 2013. Summary final equality profiles are included here as Appendix 1.

**13. Are there any other points to note regarding the potential or actual impact of applying the policy or practice, with regard to the need to eliminate discrimination, advance equality and promote good relations?**

Efforts are being made to mitigate the perceived effects of non-inclusion in REF2014 – see the CoP.

**H. Equality Impact Assessment Outcome**

**There is a legal obligation to take account of the results of the EqIA in the development of a new or revised policy or practice. This requires considering taking action to address any issues identified, such as removing or mitigating any negative impacts, where possible, and exploiting any potential for positive impact. Clearly any unlawful discrimination must be eliminated.**

No change required beyond action already taken to mitigate against discrimination and enhance equality. The assessment is that the policy/practice is robust. There is no evidence of potentially unlawful discrimination and all reasonable opportunities to advance equality and foster good relations have been taken.

There is an evidence-based rationale for the University's policy in respect of staff selection. Appendix 1 confirms that there are no concerning imbalances.

**I Action and Monitoring****1. Specify the actions required to implement the findings of this EqIA.**

None, beyond action already taken to mitigate against discrimination and enhance equality.

**2. State how the policy or practice will be monitored in relation to its equality impact.**

None – the selection of staff for REF2014 is now complete and submission has been made.

**3. When will the policy/practice next be reviewed?**

This is the final review of the CoP as the submission is now complete.

**J. Publication of EqIA**

**EqIAs are published on the Equality and Diversity website.**

**There is a statutory requirement to publish EqIAs within a reasonable period. However, in some circumstances there may be valid reasons to limit what is published or to delay publication.**

**Can this EqIA be published in full, now?** Yes

**J. Sign-off**

EqIA undertaken by:                      Manya Buchan  
Head of Research Policy and Planning Services  
Governance and Strategic Planning

Accepted by:                                Tracey Slaven  
Deputy Secretary, Strategic Planning  
Governance and Strategic Planning

Date:    19 December 2013

Retain a copy of this form for your own records and send a copy to [equalitydiversity@ed.ac.uk](mailto:equalitydiversity@ed.ac.uk)

APPENDIX 1

The following characteristics have been monitored:

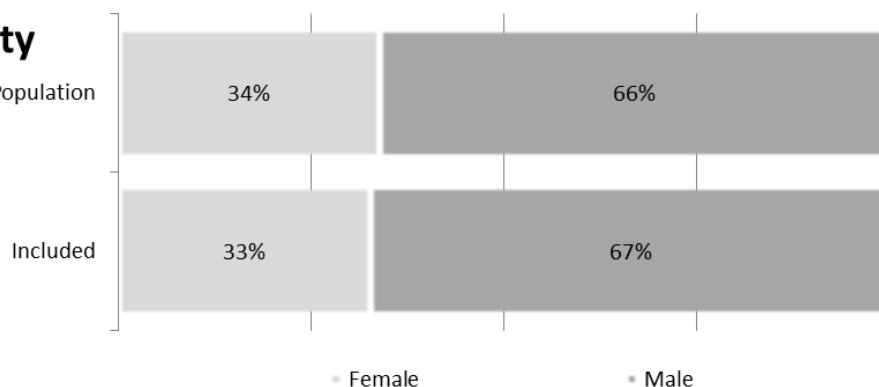
<b>1. Gender</b>	Female	Male			
<b>2. Age</b>	≤ 34	35-49	50-65	66 ≤	
<b>3. Ethnicity and nationality</b>	BME <sup>1</sup> (UK)	BME (non-UK)	White (UK)	White (non-UK)	Not known
<b>4. Disability</b>	Declared disabled	Not declared disabled			
<b>5. Mode of Employment</b>	Full time	Part time			
<b>6. Contract type</b>	Open-ended	Fixed-term	Guaranteed Hours (0)		

**A. Summary Equality Profiles : Total Eligible Population v REF2014 Submission**

**1. Gender**

**University**

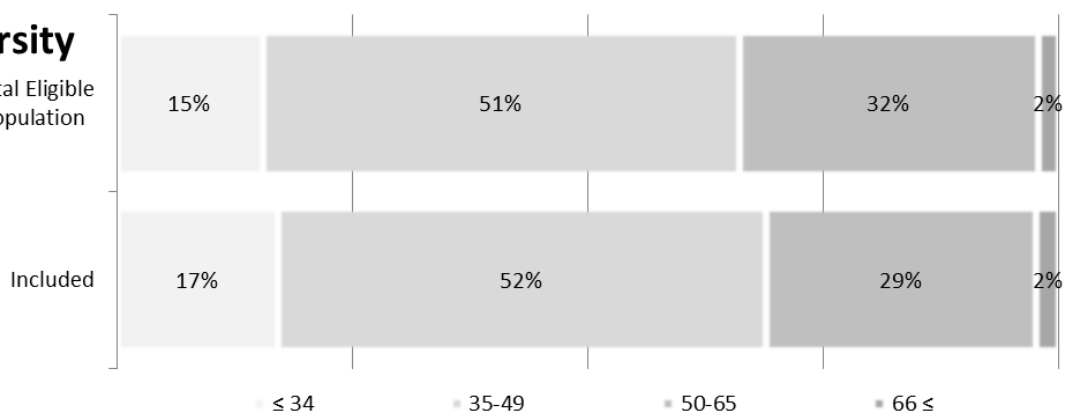
Total Eligible Population



**2. Age**

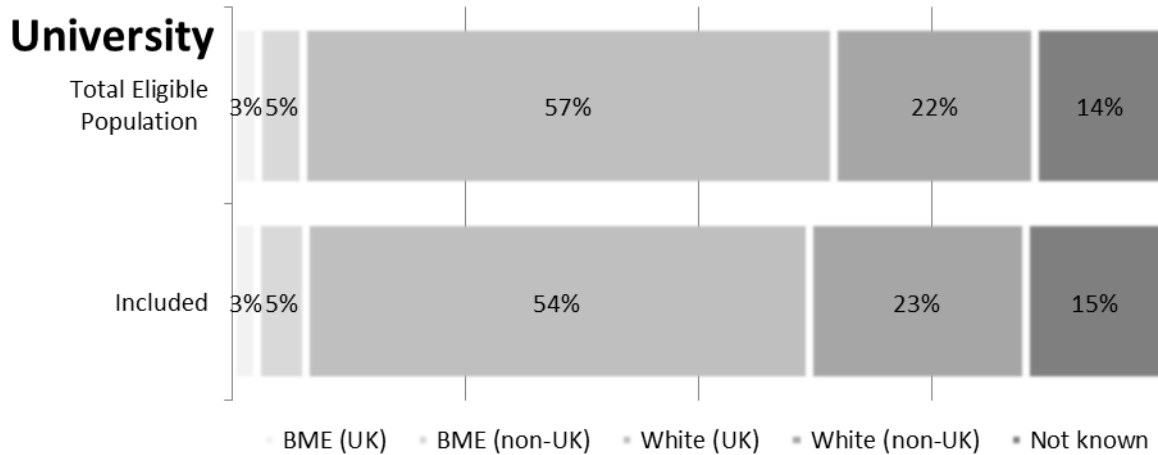
**University**

Total Eligible Population

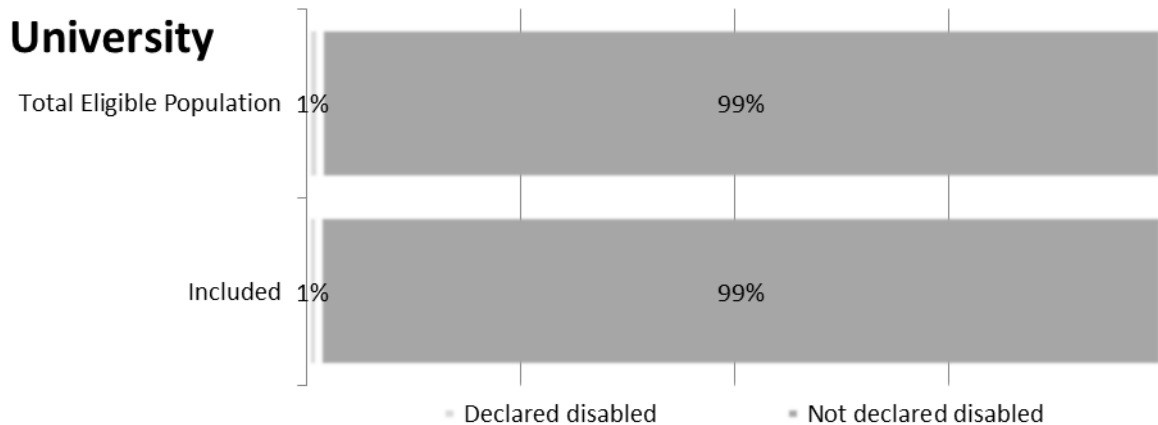


<sup>1</sup> BME = Black and ethnic minority

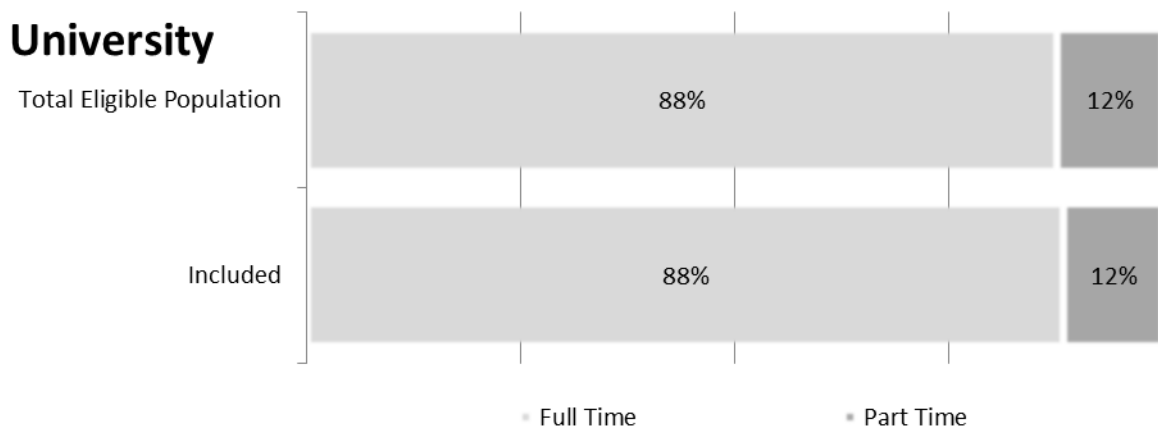
3. Ethnicity and Nationality



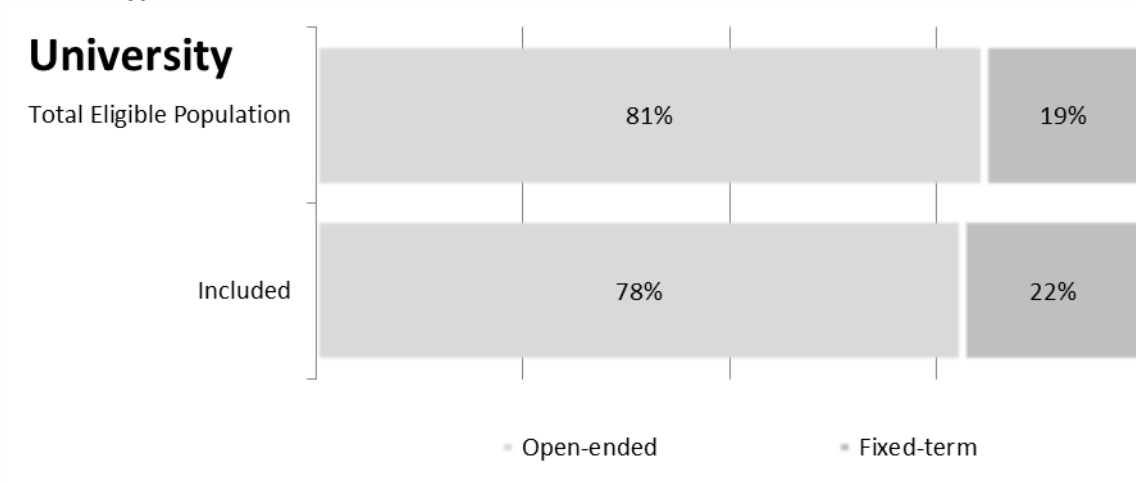
4. Disability



5. Mode of employment



6. Contract type



B. Equality Profiles : Declared circumstances

Of the eligible staff not included in the submission, 24.5% have declared individual circumstances. This compares with 34.9% for those included in the submission.