

Draft - Equality Analysis Cumulative Version 1



College/Service/Department	Research Services
Name of policy being assessed	University of Exeter REF2021 including the Code of Practice, which governs the: <ul style="list-style-type: none">• Determination of staff eligibility• Process of selection of outputs,• Process for determining independent researchers• Processes around managing individual circumstances which affect the submission and those who might be involved.
Equality Analysis completed by: Nick Church with input from Russell Thomas (EDI Team)	
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Date of Equality Analysis	18/10/2019 but on-going (Cumulative)

Please refer to the Equality Analysis FAQ at www.exeter.ac.uk/staff/equality/equalityanalysis/faq before completing this form. Guidance notes have also been provided in italics for each question, however please delete these notes once you have completed the questions.

SECTION A

To be completed by **policy holder** or nominated individual on the policy holder's behalf

1. Has the policy been subject to an Equality Analysis previously?

To add an 'X' to a checkbox: double-click on the box, under 'Default value' select 'Checked', then click 'ok'.

Yes

No

If 'yes', please provide a brief description of the key changes to the policy since the last Equality Analysis

The University of Exeter made a submission to the Research Excellence Framework (REF) 2014 exercise which was formally submitted in November 2013 with an Equality Analysis (EA) undertaken on REF2014 by the University in the three month period after the formal submission

with the final EA produced in March 2014. Throughout the REF2014 process the University Equality, Diversity and Inclusivity (EDI) team were involved in the process.

The REF2014 EA has helped inform the current EA internal process for REF2021 can be made available for consultation.

Following the results of REF2014 it became a stated aim of the University to ensure that at the next REF the University submitted over 1000 ftes (736 ftes were returned in REF2014) and this has been central to University policy since then. The 2015-2020 University Research and Impact Strategy and previous STEMM and HASS strategies have contributed to the significant growth in research volume that has meant that between 2013/14 and 2018/19 Exeter's growth in both E&R (and R) staff numbers has grown at a faster rate than any other Russell Group University. As Exeter has become a more global University it has strived to ensure that its strategies reflect the collaborative and interdisciplinary culture that has grown at Exeter which has developed an environment that enriches the potential of all who work and study in the institution. Exeter strives to develop talent at all levels doing this within a community that operates with integrity, in a highly collaborative and supportive environment, resourced by world-leading facilities and state of the art equipment, capital and infrastructure. The EDI journey undertaken by the University over this period has helped the University community to grow and meet the needs and requirements that this growth has entailed.

This EA focuses on ensuring EDI continues to play an integral part in the development and implementation of the University REF2021 Code of Practice and REF processes submitted to the REF Equality and Diversity Advisory Panel (EDAP) in June 2019. The draft University REF2021 Code of Practice was submitted to EADP in June 2019. The EA describes the specific areas of EA consultation on the University's REF2021 Code of Practice which is planned to occur in Autumn 2019. More details of the process followed by the UK HE Funding Councils in the development of the policies and processes leading to REF2021 can be found at Appendix 1.

Since REF2014 was submitted and the EA the University has continued to develop and enhance its EDI provision with many of the changes and policies that have been revised or introduced since then helping to embed inclusivity, cultural awareness and competency into the everyday fabric of the University community. Appendix 2 provides brief overviews of the Institutional Equality Objectives 2014-18 and the current EDI Vision 2025 agenda both of which have and will provide the over-arching EDI framework which continues to allow University staff and students to thrive and prosper, fulfilling our full potential in all aspects of their teaching, research and support roles within the University.

A core strategic aim of the University is to ensure all staff and students at the University are enabled to thrive. Within the various groups and networks who help deliver this within the

University – the EDI Team, Inclusivity Representatives, LGBT Allies, Dignity and Respect Advisors, Speak Out Guardians, Inclusivity Groups, Faith & Belief, Parents & Carers and Equality Networks - considerable activities have been carried out since 2014 to continue towards the University aims in this area.

Since 2014 and as a part of the overall Professional Services transformation process the structure of the EDI team altered to ensure this area was robust and resourced to take forward the University vision.

For all EDI matters within the University the over-arching group continues to be the University Inclusivity Group. This Group meets once a term and is chaired by Linda Peka, Chief College Operations Officer, and reports directly to the [Dual Assurance Administration](#) partnership for Equality and Diversity.

The University Inclusivity Group's remit covers all nine protected characteristics under the Equality Act. The membership includes Inclusivity Representatives from Colleges and Professional Services and other key individuals such as representatives from the Chaplaincy and the Students' Guild.

Since REF2014 College Inclusivity Groups have been developed. Inclusivity Representatives from each College and Professional Service attend termly meetings of the University Inclusivity Group as a key channel of communication between this group and College Inclusivity Groups (raising issues for escalation/disseminating key messages as appropriate).

Dignity & Respect Advisors are members of staff who have volunteered and are trained to undertake the role (we currently have 20 Advisors across all campuses and are continuing to grow this number). They provide a confidential and informal service for anyone involved in cases of harassment and bullying, co-ordinated and supported by the EDI Team.

Since 2017/18, the role of Speak Out Guardian has been created in response to a number of high profile sexual harassment cases in the media. The aim of the role is to work with VCEG, building on existing support mechanisms, to create an open culture where staff and students feel confident that if they speak out about any experiences of inappropriate behaviour they will be supported and action will be taken to address such behaviour. Speak Out Guardians have a direct report to the VCEG and are empowered to speak openly about the challenges and themes being identified to them.

Other EDI related groups and Networks development since the last EA include: The [University Inclusivity Group](#) is supported by input from:

- [Race Equality Group](#)
- [Gender Equality Group](#)

- [Sexual Orientation Equality Group](#)
- [Disability Equality Group](#)
- [Staff networks and groups](#)
- [LGBTQ+ Staff network](#)
- [College Inclusivity Representatives](#)

The University has also continued to expand and develop the online Inclusivity toolkit which has been designed to give staff the tools and information to play their part in reflecting on how their behaviour affects others and challenging inappropriate behaviour.

The University has been working closely with [Stonewall](#) through its Diversity Champions Programme and also participates in the Stonewall Workplace Equality Index (WEI). In 2018 over seven hundred staff in the University took part in this confidential questionnaire and the University ranking in the 2018 Index rose to 163 (an increase from the ranking of 268 in 2014)

Since 2016 the University has been a Level 2 Disability Confident Employer having signed up to a number of commitments within the following two themes: Theme 1 getting the right people and Theme 2 keeping and developing people.

There have also been further improvements in processes with a new Anonymous Reporting tool launched in May 2018 (alongside other existing reporting mechanisms) with the aim of addressing underreporting of incidents and providing a more accurate picture in terms of scale and volume of the issue.

Since REF 2014 the University has expanded Gender tailored career development, with programmes such as Aurora and Lean circles with recognition of this through increased bids and awards for Athena Swan Silver Awards.

The University continues to believe that this is a journey not a destination and is committed to taking year on year action that makes a meaningful difference. During 2018 the serious EDI related challenges publicly faced by the University were addressed by the creation of the EDI Provost Commission that has given energy, opportunity and resources to further develop EDI successful activities and initiatives this has been so successful that this plan to rename this Commission the 'Provost Commission forum for EDI Innovation'

At the same time the University of Exeter consulted on and have finalised the [EDI Vision 2025](#) this is an aspirational approach that will lead in to the development of an EDI 2025 Strategy that focuses on improving foundation and embedding best practice in EDI. The University's commitment to achieving full inclusivity remains a key focus and will serve as a public declaration of a developed underpinning culture that will make a difference across all characteristics and ensure impactful actions continue to be taken.

All the areas mentioned above have helped to inform the development and input into development during the first part of 2019 of the University's REF2021 Draft Code of Practice.

2. What is the purpose of the policy?

As a large and diverse organisation with approximately 4,700 academic and professional service staff and more than 22,500 students from over 130 countries, equality and diversity issues are extremely important for the University of Exeter. Creating a culture of dignity, respect and equality of opportunity where staff and students can be free from discrimination is key to the university finding, and retaining, world class talent. It therefore forms an integral part of the ambition to be a Top 100 global university.

Following the work undertaken after REF 2014 it was agreed that all HEIs submitting to REF2021 must produce and implement a Code of Practice which should be based on guidance produced by the funding bodies (REF 2019/03 Guidance on Codes of Practice). The University Code of Practice for REF2021 is intended to detail the processes to be used in the key areas identified following the changes from REF 2014 namely the fair and transparent identification of staff with significant responsibility for research; determining who is an independent researcher; and the selection of outputs.

The draft University Code of Practice has been agreed internally within the University prior to it being submitted to the national REF EDAP on 6th June 2019. The EDAP reviewed and commented on the draft Codes of Practice over the summer and made several recommendations prior to the final version being forwarded to EADP by 20th September 2019 (please see Appendix 3 for link to current version of University REF2021 Code of Practice). The EADP will make a final review of all Codes of Practice submitted to it in September and will approve all Codes of Practice submitted to it by December 2019 (with non-approval meaning the relevant institution not being able to make any submission to REF2021).

This EA then will be a wider update from the REF14 EA looking at the steps and policies the University has made on EDI since REF2014 to ensure the REF2021 Code does not directly or adversely impact on any specific protected group and to identify and retain any positive practices.

The detailed EA of the impact of the Code will be undertaken alongside the preparation and holding of the RM19 meetings to be conducted in autumn 2019 with wide consultation across the University. This will include an analysis of data on staff with protected characteristics across the key issues of the REF process detailed above. The outcome of this analysis will be widely circulated and will be taken into account by the REF Project Management Group at their monthly meeting in February 2020 along with any recommendations arising from the EA

consultation. A report on the EA consultation will also be made to the Spring 2020 meeting of the UIG. If any of the recommendations arising from the EA can be implemented before the REF census date of 31 July 2020 then these will be forwarded for approval to the next available meeting of the Research and Impact Executive Group (RIEG) and to the Vice Chancellor Executive Group (VCEG) via Professor Neil Gow, DVC for Research and ultimate owner of the University REF processes.

A further update version of this EA will be conducted following the implementation of the Code and the University's submission in November 2020. This will also be published and will inform the University's future thinking around equality, diversity and research.

For more information on REF2021 and the University of Exeter please see the University's REF2021 website: <http://www.exeter.ac.uk/research/services/ref/ref2021/> (requires UoE sign-in)

For a list of Units of Assessment for REF2021 and the grouping of these into Main Panels please see Appendix 6.

3. Are there any other policies, procedures, guidance documents, working groups etc that will interact with the policy?

Consultations on the University REF 2021 draft Code of Practice have already occurred with a number of groups during the first part of 2019 and it is intended that this specific EA consultation will interact with the University Inclusivity Group, and specific EDI related equality groups and self-organised networks.

DoRs will be important and through them the various academic and research staff in Colleges will also be involved in this EA consultation.

People, groups, networks, teams and governance within the University that will interact with the University REF Code of Practice will include the following:

<ul style="list-style-type: none"> • Staff and the Wider University Community • EDI Related Networks Including: • LGBT Network • BME staff students and supporters • Faith & Belief • Parents & Carers • The Academic Womens Network 	<ul style="list-style-type: none"> • Inclusivity Groups • Accessibility Team • People Development Team • Equality, Diversity and Inclusivity (EDI) Team • Equality Groups • Provost Commission forum for EDI Innovation 	<ul style="list-style-type: none"> • Inclusivity Representatives • LGBT Allies • Speak Out Guardians • EDI Governance
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4. Who has been consulted in the development of the policy or the proposed change?

In developing the University of Exeter REF 2021 Draft Code of Practice there has been extensive consultation across the University with a number of specific email circulations and meetings held in the University's principle locations (Streatham, St Lukes and Penryn) with video-links to other locations (Truro). This included input from the HR team and the EDI Team.

An initial document and proposed timetable for consultation on the draft Code of Practice was discussed at the University Research and Impact Executive Group (RIEG) meeting on 29th January 2019 and following feedback from that the draft and timetable were both amended. The full draft Code was published for consultation on the intranet in March 2019. All academic staff were notified via individual emails to alert them to the Code and invite responses.

Although this engagement was general and not specific to EDI we ensured that this this was embedded in our thinking and learning from REF2014.

All staff were also alerted through the Weekly News which is emailed out to staff each Monday afternoon. There were informal drop-in sessions for Directors of Research (DoRs), Heads of Department (HoDs) and College Associate Deans of Research (ADRs) on 7th March (Streatham), 13th March (St Lukes) and 15th March (Streatham with potential for video-link to Penryn). There were also open briefings for staff (15th and 16th April at Streatham and St Lukes with video-links to Penryn and Truro). There were also meetings with UCU representatives (25th March and 3rd May).

Research Services liaised with HR to ensure that details about the draft Code were sent to all academic staff not currently at work (e.g. on family leave, long-term sickness) and in appropriate formats.

Pre-EA Consultation

In a further attempt to influence our thinking and development around EDI and understanding of impact we set about targeting some specific groups so that we could hear their views.

In February 2019 Dr Sumi David (Head of Research and Impact (policy and Performance)) in Research Services presented the draft CoP and proposed timetable on consultation to the University Inclusivity Group with an action arising from that meeting being that the draft Code of Practice was circulated to all members of the University Inclusivity Group and the Equality Groups with requests for feedback. This was circulated on 6th March with a request for responses by 19th March.

Feedback from the University Inclusivity Group (UIG) and the Equality Groups (EGs) was collected by Dorcas Cowan Equality, Diversity, Inclusivity and Wellbeing Manager and summarised in a document that was forwarded to Dr David to feed into the consultation process. From the feedback provided by members of UIG and EGs a number of changes were made to the draft Code of Practice including adapting the wording contained in several sections to help with greater clarification, in particular around the use of HESA categories, the process for assessing independent researchers, how information from the modelling tool needs to be

treated, around the use of outputs of former members of staff and on access to the REF appeal procedure.

The consultation was also forwarded to all College Research Groups and feedback requested. Several responses from individuals were received along with a number on behalf of colleagues in College of Life and Environmental Sciences (Directors of Research), College of Engineering, Mathematical and Physical Sciences (Research and Doctoral Committee), Graduate School of Education, Drama, Geography and History (general staff meetings).

These were received in March 2019 with comments reviewed and feedback from the consultation was considered by RIEG at its April meeting and informed the drafting of the final draft Code of Practice. This was re-circulated to staff in early May with a further open meeting with staff (28th May) as well as review by the REF Special Advisory Group (15th May) with sign-off from Vice-Chancellor's Executive Group (VCEG) on 28th May 2019 (having requested some additional text be added on how UoE supports research careers i.e specifically those early in their careers who may not yet fall into the category of eligible staff and those returning to work). The open meetings held with staff gave an overview of the draft Code of Practice policies and processes with the slide packs used giving details of Staff Eligibility, Output Selection, Individual Circumstances and Other policies. A copy of the slide pack used at the May 2019 all staff open meeting and a recording of that meeting can be accessed at:

<https://recapexeter.cloud.panopto.eu/Panopto/Pages/Auth/Login.aspx?Auth=Viewer&ReturnUrl=%2fPanopto%2fPages%2fViewer.aspx%3fid%3da1e29b42-3259-4990-a997-aa3900e817da> (or a copy of the slides from Mr Church on request).

In relation to EDI early indications suggested a need for specific EDI related training to minimise the impact of bias. The Code of Practice was therefore updated to include specific actions relating to this area. All staff with a role in the REF process, including RIEG members, DoRs and other members of Departments/Schools involved in Output Selection processes as well as Review Group and Individual Circumstances Panel members are required to attend a training session on equality and diversity and unconscious bias in the context of the REF. This training is taking place in the second half of 2019 (sessions have been held on 30th and 31st July, 18th and 19th September, 17th and 18th October and to date 90 members of staff have attended. Further sessions are planned for 13th and 14th November) and will be both online and in person and will be mandatory. A specific session for VCEG members is planned.

5. Who does the policy affect?

The policy is likely to have a direct effect on academic and research staff. There might be some groups on which it is likely this will have a disproportionate impact. The type of impact is likely to be positive but further information also needs to be captured in the EA for the following characteristics.

Detailed below is information already known about these specific groups and communities within the University.

Race

The White population of Exeter City is approximately 93.1 % (2011 UK census) this is in contrast to 75% White student population and 87.3% White staff population. While it is a real positive that our University community is more diverse and representative than the local community it serves, we should also be mindful that this means BAME staff and students are more likely to be effected by any change.

Academic v.s. Non Academic

UoE 2017/18 statistic highlight that the White representation in academic staff 84% compared to 88% amongst non-academic. This means that there is a higher percentage of BAME academic staff.

UoE statistics clearly show that there is a direct correlation between Race and salary range with BAME Academics of lower grades.

Furthermore there is a stark difference in the percentage of international staff:

- White International academic staff 21% in contrast to 7% non-academic staff
- BAME International academic staff 9% in contrast to 3% non-academic staff

Interestingly, UoE statistics show an unclear correlation between nationality and salary range which seems to suggest this is not necessarily a factor.

International staff may have different experiences and needs to their UK colleagues.

The AdvanceHE Equality in higher education: Statistical Report 2018. This annual report highlights that only 0.6% of UK professors were black.

Panel Trends

In relation to Ethnicity all Panels except one have an approximate White representation of between 84 – 86% in line with academic representation (Appendix 4 – Table A). However Panel B (predominantly CEMPS UoAs) has a significant difference with approximately 68% White Staff. This means that any changes affecting BAME staff will have disproportionate affect on this group of staff.

What else do we know?

1. BAME students and staff are suffering from disproportionate amounts of harassment and discrimination
2. BAME staff across the public sector are not progressing as they should

3. The Employee Engagement Survey (EES) results from the most recent one held in 2018 are particularly positive in relation to communication, and BAME staff felt UoE was a good employer and felt included.
4. The EES results from BAME staff were negative in relation to Wellbeing and physical working environment, many said that they had experienced unfair treatment in the last year.

Disability

Approximately 1 in 5 of the population has a longstanding illness or disability and has significant difficulty with day to day activities. Official government statistics (2014) of working age adults with a disability = 16%

Of those students that disclose 12% have a disability compared to 5.9% of staff disclosing they have a disability. However, Higher Education Statistics Agency (HESA) stats for the 2017/18 academic year (disability includes chronic & mental illnesses) highlights the percentage of Staff with a known disability; Non - academic staff: 5.81% compared to academic staff: 4.15%.

UoE 2017/18 statistic tell us that Disabled staff are more likely to be part-time approximately 60% those who declare as having an impairment compared to 67% who do not.

Panel Trends

Those that declare they have a disability is highest in Panel A - 5% and lowest in Panel B - 3%, this is lower than the 5.9% declared of all staff which would seem to indicate that there is a lower percentage of disability in staff across the Panels or as we suspect lower levels of disclosure. This may be problematic when considering extenuating circumstances. (See Appendix 4 – Table B).

What else do we know?

1. EES results highlight that disabled staff feel they have received unfair treatment and don't feel able to raise concerns. They don't feel that there are enough opportunities to learn and develop in their role or contribute to the international reputation.
2. On a positive note EES results showed that disabled staff felt that their comments in the survey would bring about meaningful action, felt a strong sense of belonging to UoE, that UoE had a good benefits package and were happy that they were able to receive feedback on their performance as well as give feedback to their managers on their own performance.
3. There is a need for more consistent and effective reasonable adjustments which need to be anticipatory as well as responsive.
4. Mental Health and Wellbeing is an on-going concern.
5. The Disability equality agenda has not progressed as far as it should have.
6. The Guaranteed Interview Scheme has been a great success.
7. Disclosures for Staff needs to be improved as it is felt this should be higher.

Gender

At the University of Exeter in April 2018 males made up 46% of the staff population and females 54% and there was a similar trend in relation to Students 45% male and 55% female.

UoE statistics 2017/18 shows that males are more likely to be full time than females (73% M and 59% F)

In relation to salary there seem to be clear pipeline issues in relation females being stuck and not being enabled to progress fairly to salary range 5 and 6.

The AdvanceHE Equality in higher education: statistical report 2018 highlights that, only 1 in 5 female academics earned over £50,000 (22.5% of female academics, compared to 35.6% of male academics)

Panel Trends

Panel B shows a very low and disproportionate percentage of females, this is likely to be because the UoAs are predominantly STEM subjects. All other panels seem to show a relative balanced gender split.

Generally the UoAs in Panel D (predominantly those in SSIS and Humanities) seem relatively balanced but within one UoA – 33 there is a higher proportion of women (Appendix 4 – Tables C and D).

What else do we know?

1. There is a Gender Pay Gap 16.0% (median) and 19.6% (mean).
2. Support, networks and events are hugely important
3. In relation to the EES results for female staff it highlighted dissatisfaction with many feeling unable to contribute to research excellence (-3%), our international reputation and overall student experience. Female staff did not feel challenged by their work and had concerns about sexual misconduct.
4. On a positive note in relation to EES results staff felt that they were being supported with their health and wellbeing, and they felt UoE was a great place to work.
5. In relation to the EES results for male staff, they felt their role to contribute to research excellence was recognised +7%
6. There is a lack of female representation in senior academic and professional service positions.
7. There are social and individual factors to consider.
8. There is desire to move away from deficit models.
9. Women are more likely to be on part-time and on fixed term contracts
10. Female students have low enrolment in STEMM subjects
11. Sexism and sexual harassment is a key concern

Sexual Orientation and Trans

We know that between 5 -10% of the population should be LGB and less than 1% are Trans. UoE 2018 staff figures show that this to be just 1.6% (n.75.2) Anecdotally we know this figure is much higher. For example the Employee Engagement Survey saw 7% (256) of respondents identify as LGBTQ+

What else do we know?

1. Lack of Sexual Orientation and Trans effective disclosure and monitoring

Disclosure rates can be an indicator of trust and we know that although LGB and T people strongly support the need to capture Sexual Orientation and gender identity, disproportionately they are less likely to disclose. There are many reasons for this and they include fear, mistrust and apathy as to whether any difference or benefit can be gained. The disclosure rate for Sexual Orientation was 20% in 2018 up 4% from 2015 but still significantly low.

2. The 2018 Employee Engagement Survey (EES) gave us an insight in to what LGBTQ+ staff felt was most positive or negative. In summary LGBTQ+ staff did not feel that they understood or were able to effectively contribute to the strategic aims and vision, reputation or student experience and did not feel that they had enough autonomy.

3. On the positive side EES results highlight feedback that LGBTQ+ staff feel support through change and see the benefits of recent change currently and in the future and have sufficient opportunities to develop in their career.

4. The University of Exeter is still primarily felt to have a hetero-normative and Cisgender Bias culture which needs to continue to be challenged.

Age

15.9% of the Exeter City population are over the age of 65.

Panel Trends

For detailed information for UoAs please see Appendix 4 – Table E (for % of ECR per UoA) and Tables F, H, J and L for age distribution within UoAs.

From these the following are of particular note - Panel A – UoA5 Biological Sciences has significant disproportion amount of staff in the 35 -39 age range. This group also happens to have a disproportionately low number of females.

Panel C – UoA14 Geography and Environmental Studies this appears to be near identical to the situation in UoA5 with a high number in the 35 – 39 age bracket with the number within this range being disproportionately Female.

What else do we know?

1. EES results highlight that younger members of staff feel more optimistic and empowered about the future at the UoE.
2. Young members of staff have disproportionately higher representation amongst part-time and fixed term staff
3. EES results shows that older members of staff are not so optimistic about the future of the organisation
4. In relation to the EES results for Younger staff and those over 60 highlighted dissatisfaction with many feeling unable to contribute to research excellence – 8% and -9%
5. In relation to the EES results staff between the ages of 30 - 44 felt like their role to contribute to research excellence +5%

Pregnancy and Maternity

Anecdotally, this group of staff are happier with the recent extended period of paid leave at full pay to 26 weeks for employees taking maternity leave, adoption leave and shared parental leave.

We hear from staff that they appreciate the opportunity and provision of the Parents' and Carers' Network.

This is an area where we need to ensure that appropriate consideration has been reflected in the production of the REF2021 Code of Practice.

Religion and Belief

Disclosure rates can be an indicator of trust, the disclosure rates for Religion and Belief are reducing from 35.5% in 2015 to 31.6% in 2018 a reduction of 4% but still significantly low. There may be a relationship between an increased focus and obligation to monitor Religion and Belief more effectively.

Panel Trends

The majority of staff across all UoAs are classified as having 'undisclosed' belief but within some of the UoAs within Panels C and D (predominantly SSIS and Humanities subjects respectively) the %s of people declaring a specific religion is marginally higher than for those within Panels A and B. For further details please see Appendix 4 – Table N.

What else do we know?

1. We have seen an increased media focus on Islamophobia and Anti-Semitism
2. There are not enough appropriate prayer spaces on campuses
3. Student and Staff culture can often revolve around alcohol
4. More sensitivity is need to religious observance and dietary requirements

5. There is still controversy and disagreement from staff and students relating to the Prevent Strategy

Marriage and Civil Partnerships

There is an obligation to consider this in relation to staff only. This need to be a consideration if there any changes that have the potential effect on this equalities community.

One example might be a need to consider how something like Brexit and our implementation of this might effect those in a marriage or civil partnership.

The policy will have a disproportionate effect on all those who understand and feel that improvements need to be made and on those who feel that there are not issues or problems.

6. Who implements the policy, and what steps will be taken to ensure the effective and consistent implementation of the policy?

This policy will be implemented and led by Research Services supporting the Deputy Vice Chancellor for Research (Professor Neil Gow) with input and assistance from EDI team within the University of Exeter.

7. What impact, either potential or actual¹, is the policy likely to have on the following protected characteristics?

To add an 'X' to a checkbox: double-click on the box, under 'Default value' select 'Checked', then click 'ok'.

Protected characteristic ²	Positive impact ³	Negative impact ⁴	Neutral impact ⁵	Unclear impact ⁶	Please explain the impact, potential or actual, for each characteristic
Age	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The policy does not adversely affect this group of people: there are arrangements in place in the Code of

¹ A **potential impact** is an effect which could happen as a consequence, indirectly or as an unintended outcome, of the policy; an **actual impact** is an effect which is highly likely to occur as a result of the policy, or an effect which the policy specifically aims to create.

² Protected characteristics are as identified by the Equality Act 2010.

³ A **positive impact** is one in which a person or people will experience an advantage or benefit, this includes positive action to overcome a disadvantage, meet needs or encourage participation (e.g. a service sets up a disability service user forum to help design and plan service provision so that disabled people's needs are taken into account).

⁴ A **negative impact** is one in which a person or people will experience a disadvantage (e.g. a wheelchair user can't get into the building to access the service).

⁵ A **neutral impact** is one where there is no disadvantage; experience will be the same for everyone (e.g. everyone can access the service including disabled people).

⁶ An **unclear impact** can be selected if you are unsure what the impact may be, or if there could be a mixture of impacts (e.g. a policy might have a positive impact for a protected characteristic in one way, but also could possibly have a negative impact for that protected characteristic in another way).

					Practice around consideration of individual circumstances that consider this within the context of making a return and being returned (especially in respect of early career researchers – though this is not necessarily age related).
Disability	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The policy does not adversely affect this group of people: there are arrangements in place in the Code of Practice around consideration of individual circumstances that consider this within the context of making a return and being returned. There are also policies in place for the first time to make allowances for disabilities that may impact on the ability to comply with statutory training requirements. There are number actions that make this process more accessible.
Gender reassignment	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The policy does not adversely affect this group of people there are new dispensation arrangements in place that can be used to support transition if required.
Marriage and civil partnership	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The policy does not adversely affect this group of people. There are arrangements in place in the Code of Practice around consideration of individual circumstances that consider this within the context of making a return and being returned.
Pregnancy and maternity	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The policy does not adversely affect this group of people: there are arrangements in place in the Code of Practice around consideration of individual circumstances that consider this within the context of making a return and being returned. The University has sector leading policies in this area which should impact positively on this group.
Race	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The policy does not adversely affect this group of people: there are new dispensation arrangements in place

					for the first time to make allowances for people where English may not be their first language that may impact on their ability to comply with statutory training requirements. There are a number of actions that make this process more accessible.
Religion or belief	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The policy does not adversely affect this group of people. Any issues specifically connected to this have been highlighted and consulted upon as part of the consultation process leading to the draft CoP submission in June 2019.
Sex	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The policy does not adversely affect this group of people. Any issues specifically connected to this have been highlighted and consulted upon as part of the consultation process leading to the draft CoP submission in June 2019.
Sexual Orientation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	The policy does not adversely affect this group of people. Any issues specifically connected to this have been highlighted and consulted upon as part of the consultation process leading to the draft CoP submission in June 2019.

If you have identified any unclear or negative impact consultation, or action to mitigate negative impact, may be recommended. Therefore please contact the Equality & Diversity Team (equalityanddiversity@exeter.ac.uk) for guidance.

8. If any answers are 'negative' can this be justified on the basis of a legal requirement?

Yes No

If 'yes', please explain:

Some negative impact may be justified on the basis of a legal requirement or applicable exemption including where positive action is undertaken or where there is a conflict with other legislation e.g. health and safety. If this is the case, please explain.

If 'no', what can be done to remove or minimise the negative impact?

Are there any changes which could be made to the policy to remove (or minimise) the negative impact? If you are unclear what changes could be made to remove or minimise the negative impact and would welcome suggestions via consultation with the wider University community, please state so here and at Q10 below.

9. More generally, is there anything that could be done in terms of the content and/or implementation of this policy to improve the positive impact?

Consider whether there are any changes which could be made to the policy and/or its implementation to improve the positive impact on any of the protected characteristics.

This EA, the Pre-EA consultation and consultation on the CoP highlighted there was no evidence that this implementation of REF2021 would have any negative impact on protected characteristics. This is our initial assessment when we take an overview of this process. However, REF2021 being a sum of its parts means that there are number of elements that may require further steps to improve the positive impact.

Following discussions detailed above on the consultations occurring around the preparation of the University's Code of Practice it was agreed that in addition to this initial consultation on the work around the EA for REF 2021 in broad terms, there should be more specific focus and consultation on the following three areas of the University Code of Practice for REF 2021:

- Determining research independence
- Selecting outputs for the REF
- Determining individual staff circumstances

in order to identify any unknown impacts and enhance the positive impact for groups with protected characteristics.

We had also explored examining a fourth area: – the processes around the compilation of the environment statement but following discussion with the University's REF Special Advisory Group (15th May) it was felt this would not provide a detailed enough focus so this strand was dropped. However, the proposal has been made to look at the actual impact of this in the review of EA after the final submission of the REF2021 in November 2020

CONSULTATION DECISION

The decision about whether or not equality specific consultation takes place as part of an Equality Analysis is that of the policyholder (or designate). The Equality Analysis Consultation Group is made up of staff and students who are interested in, and have personal experience of equality issues, who provide feedback on the equality implications of the policy. If you decide that consultation is

required please highlight this to the Equality & Diversity Team when sending the completed Equality Analysis Form. The Equality & Diversity Team will be able to co-ordinate consultation for you. Please allow up to 4 weeks for this to be carried out.

For more information about how consultation works and the benefits of consultation see the Equality Analysis FAQ at www.exeter.ac.uk/equality/equalityanalysis/fag.

10. Is consultation with the wider University community needed for this Equality Analysis?

No consultation needed

Consultation needed

Please explain your consultation decision:

This is an important process:

This is a high profile proposal and will effect a high number of people. It will affect all academic and a number of research staff at the University of Exeter in particular those who have protected characteristics (from equalities communities) and will impact on our ability to meet the requirements of the Equality Act 2010 and its Public Sector Equality Duty (PSED). It will also enable us to realise our strategic aims and to ensure these staff at the University of Exeter are enabled to thrive.

The proposal is institution wide and public facing. Although it has a consequence for significant numbers of people it is felt to have low potential for or evidence of adverse impact. The policy also identifies the potential for some unknown impacts and opportunities to improve positive impacts that we would like to explore further.

The REF 2021 EA will be communicated through consultation, presentations, briefings and surveys. We aim to follow a robust consultation process reaching out to as many relevant people as possible.

Further planned iterations of the Cumulative EA

Preliminary pre-EA consultation work took place around the time of the development of the CoP which did not highlight any significant concerns.

This first stage of our REF2021 Cumulative EA consultation will ask individuals and groups to comment on this boarder overarching EA. This gives an opportunity to comment on our general overview and proposals in relation to equality, diversity and inclusion.

The consultations may bring up other elements to consider in more focus but at this stage we have already identified three core implementation elements of this process which we will explore in more detail in future stages of this EA. This will ensure that there are no unknown

impacts on equalities communities and it might lead to further actions that will enhance any possible positive impacts. These three areas of focus are:

- Determining research independence
- Selecting outputs for the REF
- Determining individual staff circumstances (which can include:
 - If you are an Early Career Researcher (started as an independent researcher on or after 1 August 2016)
 - An absence from work due to secondments or career breaks
 - Periods of family-related leave
 - Circumstances equivalent to absence, for example, disability, ill-health, injury, mental health, caring responsibilities)

The results and assessment of impact through further consultation will be fed back into this document resulting in a cumulative process.

As part of the process of the finalisation of the draft Code of Practice a phased approach to completing the REF 2021 EA is proposed. This envisages six phases that began in December 2018 and goes through to March 2021 (this final date is to be confirmed and is dependent on when the final University EA will need to be submitted to EDAP).

This whole process will take the following phased approach.

The planned process is as follows:

Phase 1: Dec 2018-May 2019: Preliminary drafting; describing and agreeing: scope, processes and stages via the Code of Practice; Pre-EA consultation approach to REF; EA screen submission; training plan and consultation plan

Phase 2: May 2019-October 2019: Completion of preliminary full EA building from REF2014 EA setting out the foundation of a cumulative EA approach that will populate the final REF2021 EA. In parallel relevant EDI training being undertaken for REF involved UoE members of staff both in person and online and any comments arising from this will also be fed into review of draft EA.

Phase 3: October 2019: Completion of EA on i) Selection of outputs; ii) selection of independent researchers; iii) processes around determination of individual circumstances of staff.

Phase 4: October 2019 - November 2019: 6 week consultation on EA with feedback into completion of final EA

Phase 5: December 2020-August 2020: Final EA version updated and published in early 2020 as EA REF2021. Constant review and updating throughout period.

Phase 6: November 2020-March 2021 (tbc): Full review of EA following final submission of REF2021 return on 27th November 2020.

Where significant observations are identified, these will be reported to, and considered by, the RIEG. Further data may be collected and analysis undertaken if necessary. If specific instances of potential discrimination are identified, we will seek to address these in the final submission process in November 2020, subject to any significant changes to our Code of Practice being approved by the Funding Bodies. Any significant changes to our Code of Practice will also be communicated to all staff.

Once completed please email this form to equalityanddiversity@exeter.ac.uk. The Equality Analysis author's name will be published on the Equality & Diversity website as the contact for any queries about the Equality Analysis. Therefore please ensure that you retain a copy of the form for your own records and that the final Equality Analysis Form is fit for public viewing as people could contact you directly to request to view the form.

Please indicate below any specific deadline the policy is subject to eg. approval by VCEG/Council/another committee:

*Authors of policies subject to specific deadlines should allow **at least 4 weeks** from the date of submission to the Equality & Diversity Office in case consultation is necessary **before** it is submitted to Council/VCEG/another committee etc for consideration.*

Feedback considered and Section C completed by:

Name(s) and job title(s)	Russell Thomas and Dorcas Cowan (Jobshare) Head of Equality, Diversity, Inclusivity and Wellbeing
Date	

Once completed please return to equalityanddiversity@exeter.ac.uk. This concludes the Equality Analysis process.

Appendix 1: General information on the Research Excellence Framework (REF) and specific changes introduced since REF2014 by the UK Funding Councils:

The REF is an exercise undertaken on behalf of the UK's HE Funding Bodies to: provide accountability for public investment in research and produce evidence of the benefits of this investment; provide benchmarking information and establish reputational yardsticks, for use within the HE sector and for public information; inform the selective allocation of funding for research. It is a process of expert review, carried out at national level, by expert panels for each of the 34 subject-based units of assessment (UOAs), under the guidance of four main panels. Expert panels are made up of senior academics, international members, and research users. Three distinct elements are assessed: the quality of outputs (e.g. publications, performances, and exhibitions), their impact beyond academia, and the environment that supports research.

Following REF 2014 the equality impact assessment now known hereafter as Equality Analysis (EA) conducted by the funding councils identified a series of measures to enhance HEIs' equality and diversity considerations relating to selection of staff. These included:

- Strengthening the guidance on institutional codes of practice
- Strengthening criteria for panel selection
- Setting up the Equality and Diversity Advisory Panel
- Improving the quality of data to monitor selection.

Arising from the identified impact of the 2014 exercise and also as a result of policy changes to staff submission in REF2021 the funding bodies undertook further work to identify potential impact on individuals from protected groups. This included consultation with the sector and during this policy development phase steps were taken by the UK funding bodies to mitigate potential negative impact arising as a response to impact analysis and assessment.

Draft panel criteria and guidance on submissions publications was developed in 2018 by the UK's four higher education funding with advice from the REF expert panels. This set out the detailed requirements for submissions to REF 2021. Consultation responses were invited from any higher education institution, association, organisation or individual with an interest in the conduct, quality, funding or use of research. Within the University, we carried out our own internal consultation to inform our response, and this was submitted in October 2018.

Appendix 2: Institutional Equality Objectives 2014 – 2018 and Vision 2023

Institutional Equality Objectives 2014-18:

The Public Sector Equality Duty places a requirement on all higher education institutions to publish information on an annual basis and to prepare and publish equality objectives to continually develop one or more of the aims set out in the general public sector equality duty. The University's current equality objectives (2014 – 2018) are as follows:-

- Create a working and learning environment that respects the dignity and rights of all staff and students through the provision of appropriate policies and support mechanisms and
- promotion of these to all members of the University community;
- Develop and publish an annual E&D Action Plan to enable monitoring of progress and ensure continuous improvement;
- Participation in, and gaining of, external accreditations which demonstrate advancing equality of opportunity, elimination of discrimination and fostering of good relations between people from different groups;
- Ensure **all staff** complete mandatory equality and diversity training.

Equality, Diversity and Inclusivity Objectives and Key Priorities	Provost Commission Themes
Student and Staff Success, Fairness and Equity	1. Student induction and support
People: Journeys, Transitions and Investment	
<ul style="list-style-type: none"> • Recruitment processes • Inductions and On-boarding • Accreditations: Stonewall, AS • Managing Change and Transition • Talent and Organisational Development • Representation, Retention and Outcomes • Pay Gaps: Ethnic, Gender, Disability • Guarantee Interview Scheme • Attainment Gaps 	2. Staff induction, support, recognition and reward
Knowledge and Competence	3. Inclusive Learning and Teaching
Progress: Reflection, Development and Advancement	
<ul style="list-style-type: none"> • Reviewing and Refreshing • Lessons learnt/Reporting • Capacity and Resource Building • Training and Development • Sharing Best Practice and Benchmarking • Coaching and Facilitation 	4. Culture and Environment
Staff and Student Perceptions and Experience	
Experience: Safety, Access and Engagement	4. Culture and Environment
<ul style="list-style-type: none"> • Inclusive, Safe and Accessible • Culture and Environment • Listening and Challenging • Fulfilling Experiences • Enabling Voices – Speak Out, Networks • Equality Groups • EES, NSS, Surveys • Equality Analysis • Inclusivity Groups 	
Information and Communication	5. Data Gathering
Information: Mapping, Gapping and Impact	5. Data Gathering
<ul style="list-style-type: none"> • Data Gathering • Gap Analysis and Needs Assessments • Qualitative info and Case Studies • Monitoring and Responding • Information Sharing • Measuring Impact • Inclusive speakers programme • Student based primary research/polls and listening exercises • Audits of Student and staff views • HEFCE BME Safeguarding Audit • Community Engagement • Communications and Events Planning • Stalls, Events, workshops and awareness campaigns 	

EDI Vision 2025:

More recently the approach to EDI within the University has been renewed with the adoption of EDI Aims, Vision and Priorities (Vision 2023). This new vision and objectives will ensure that there is a focus on all nine individual equalities communities as well as taking a unified approach which will help move the University to a more advanced level of inclusivity and cross cultural working. Vision 2025 will provide:

- Clarity in direction of travel for EDI

- A road-map to Cultural Competence
- A way of prioritising resources and clearly evidencing work taking place
- Clarity on where the University is on its EDI journey? and what work needs to be done to get to our destination?

The specific aims and objectives of Vision 2025 are set out in the following table:

University of Exeter - Equality, Diversity & Inclusivity Strategic Objectives 2019 – 2025
Success, Fairness and Equity for All “All Students and Staff to have the best possible outcomes free from the barriers of prejudice and discrimination”
Positive Perceptions and Experience for All “All Students and Staff to experience the benefits of an inclusive culture”
Knowledge and Competence “Enabling and ensuring meaningful and impactful change through knowledge, awareness, reflective learning and cultural competence”

APPENDIX 3: University of Exeter REF2021 Code of Practice (as originally submitted to EDAP on Thursday 6th June 2019 with updated version submitted on Thursday 20th September) (NB: Please note this is still subject to final approval by EADP)

Please see the University online version available at:

https://universityofexeteruk.sharepoint.com/:w:/r/sites/ResearchMonitoringandREF/PoliciesandPlanning/_layouts/15/Doc.aspx?sourcedoc=%7B7EDDB1ED-B7BC-4E29-A1E5-BFCE6C8D810A%7D&file=University%20of%20Exeter%20REF2021%20Code%20of%20Practice_Sep%20tember.docx&action=default&mobileredirect=true

and attached as separate document alongside this EA consultation.

Appendix 4: Initial EDI data for Exeter UoAs organised by REF Main Panels (A, B, C and D):

Graphs available show the following:

- Disability
- Gender
- Potential ECR status
- Ethnicity
- Age
- Grade
- Religion

(Data gathered from University HR System – Trent in May 2019 by the HR systems team. Post-summation/analysis undertaken by Mr Shane Jackson, Senior Research Analyst in the Policy, Planning and Business Intelligence section of Research Services. The ethnicity groupings were decided on after consulting with EDI about how best to group up lower-level ethnicity groupings).

TABLE A:

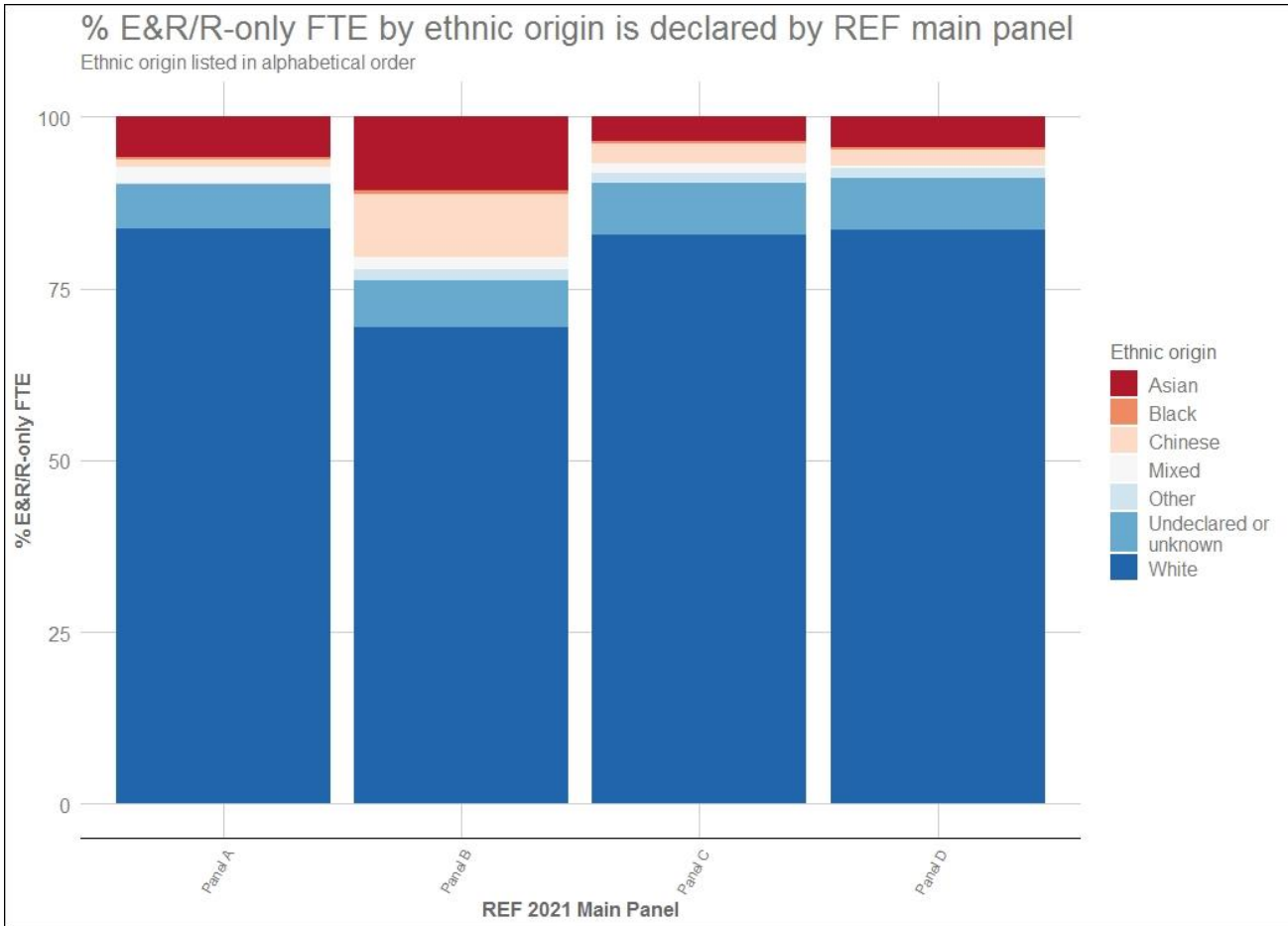


TABLE B

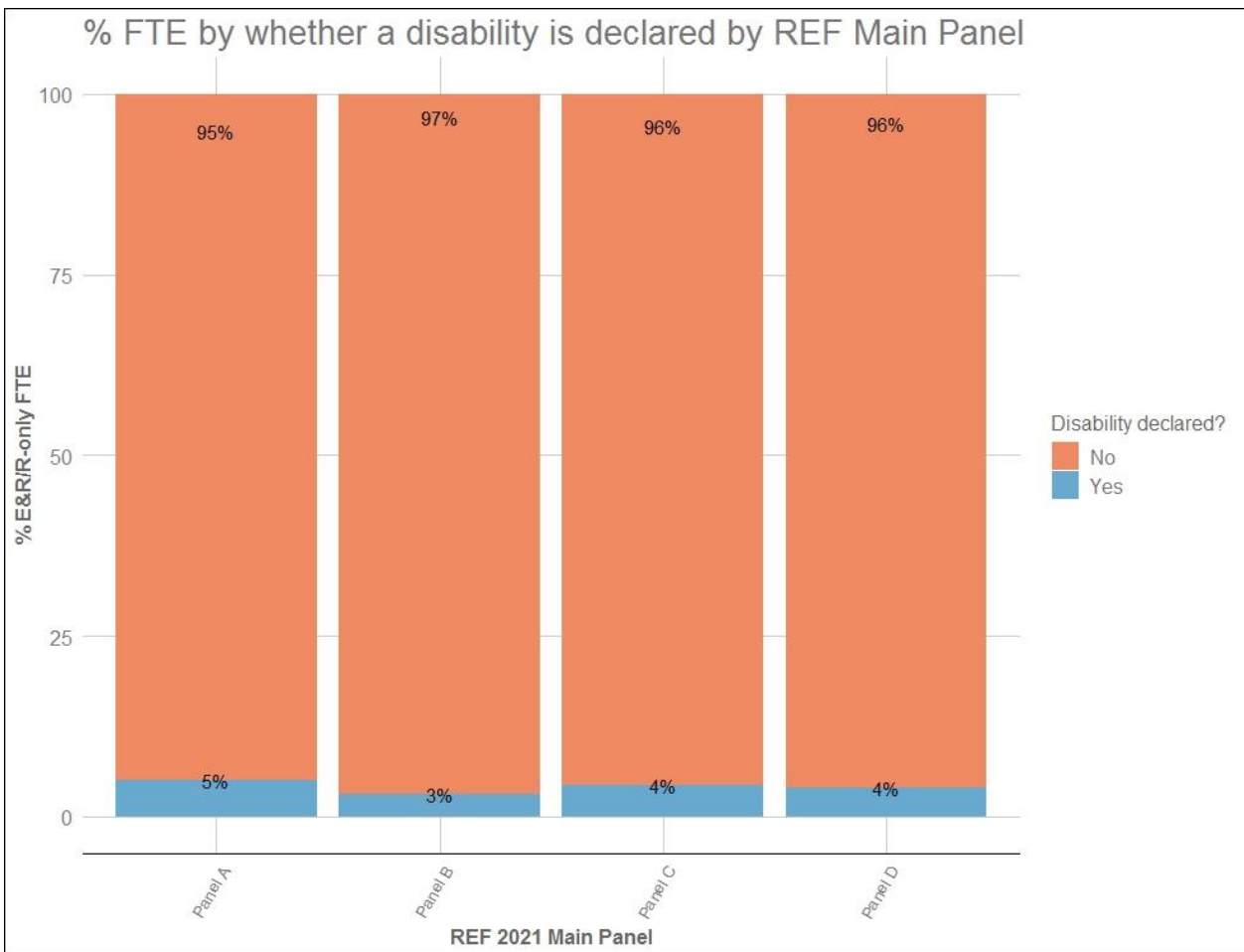


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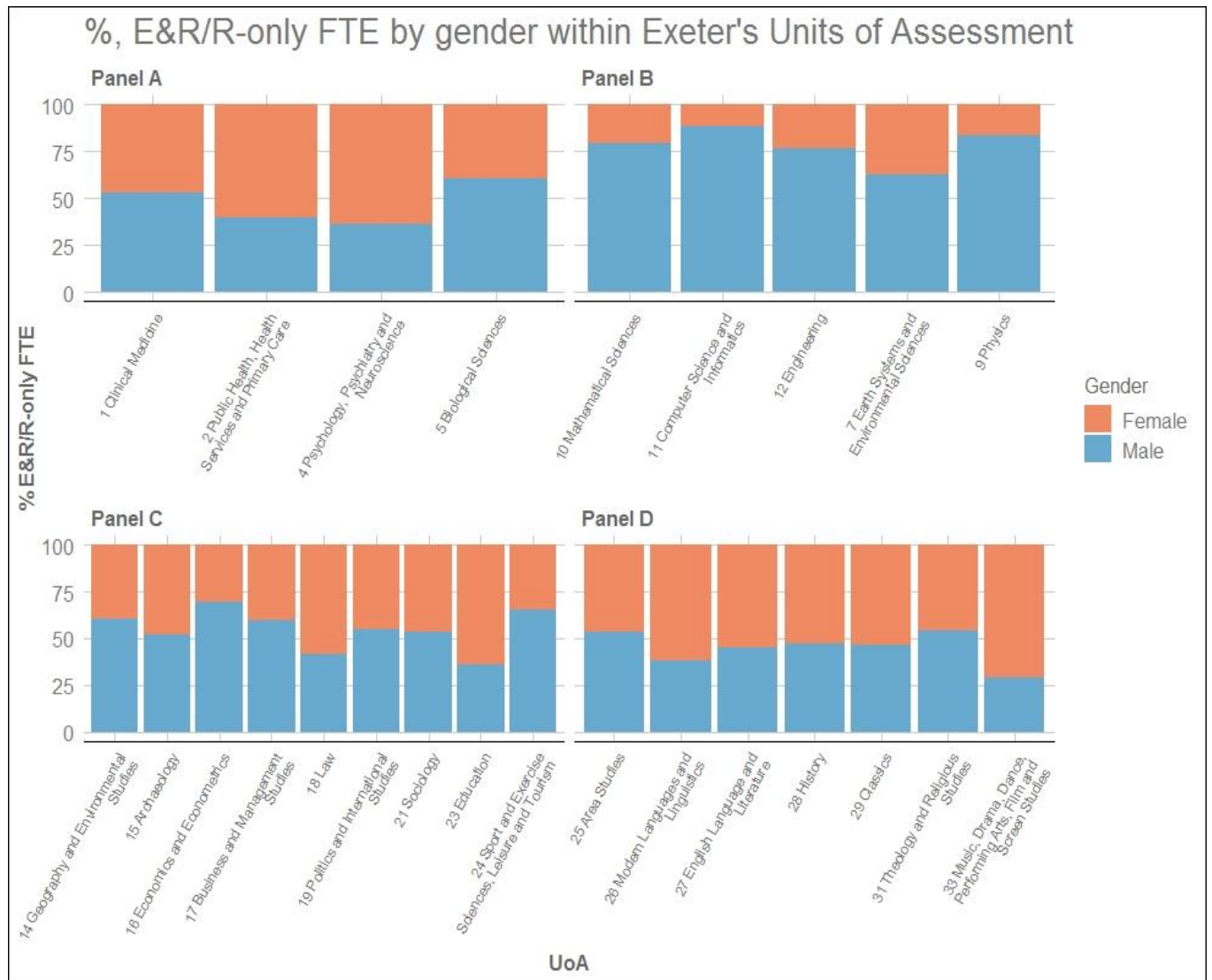


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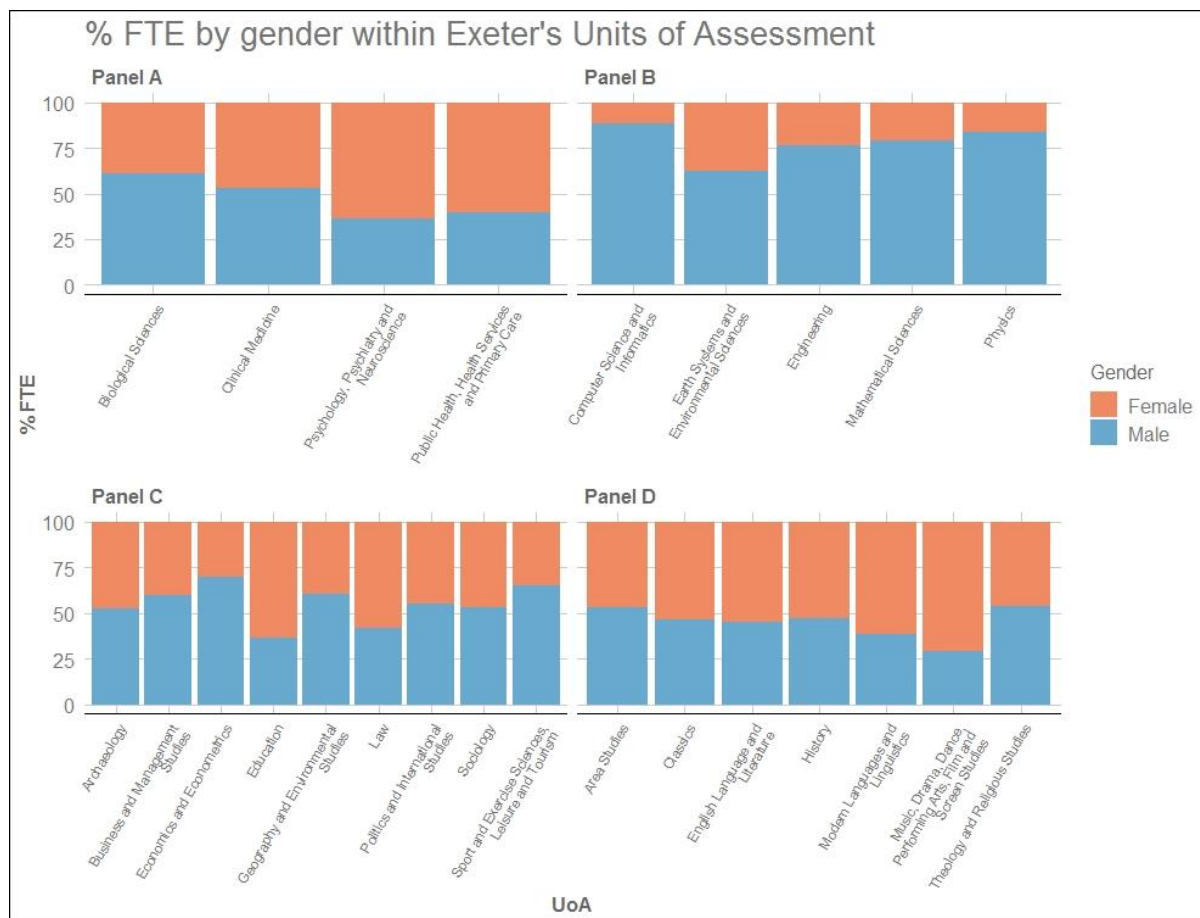


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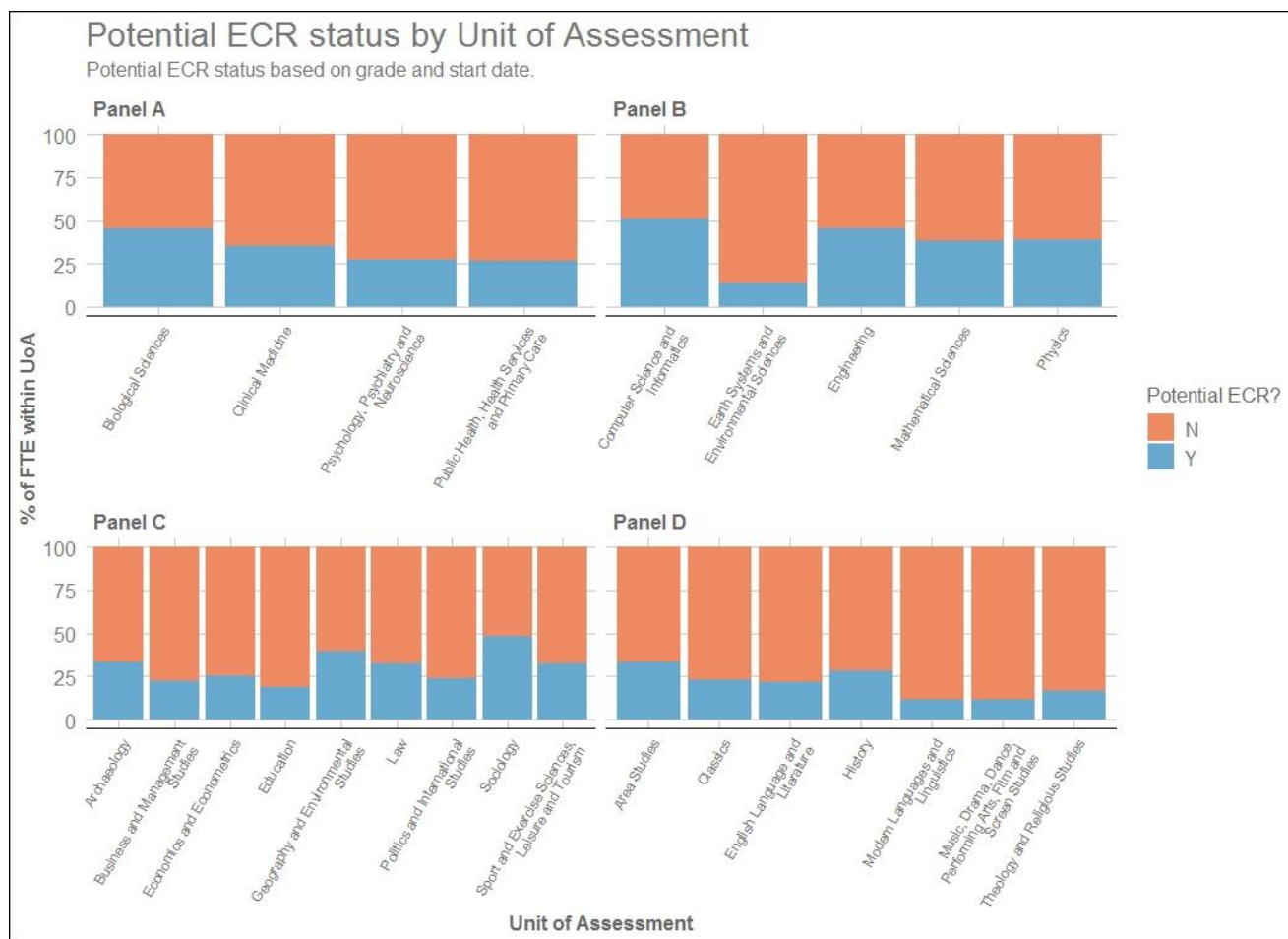


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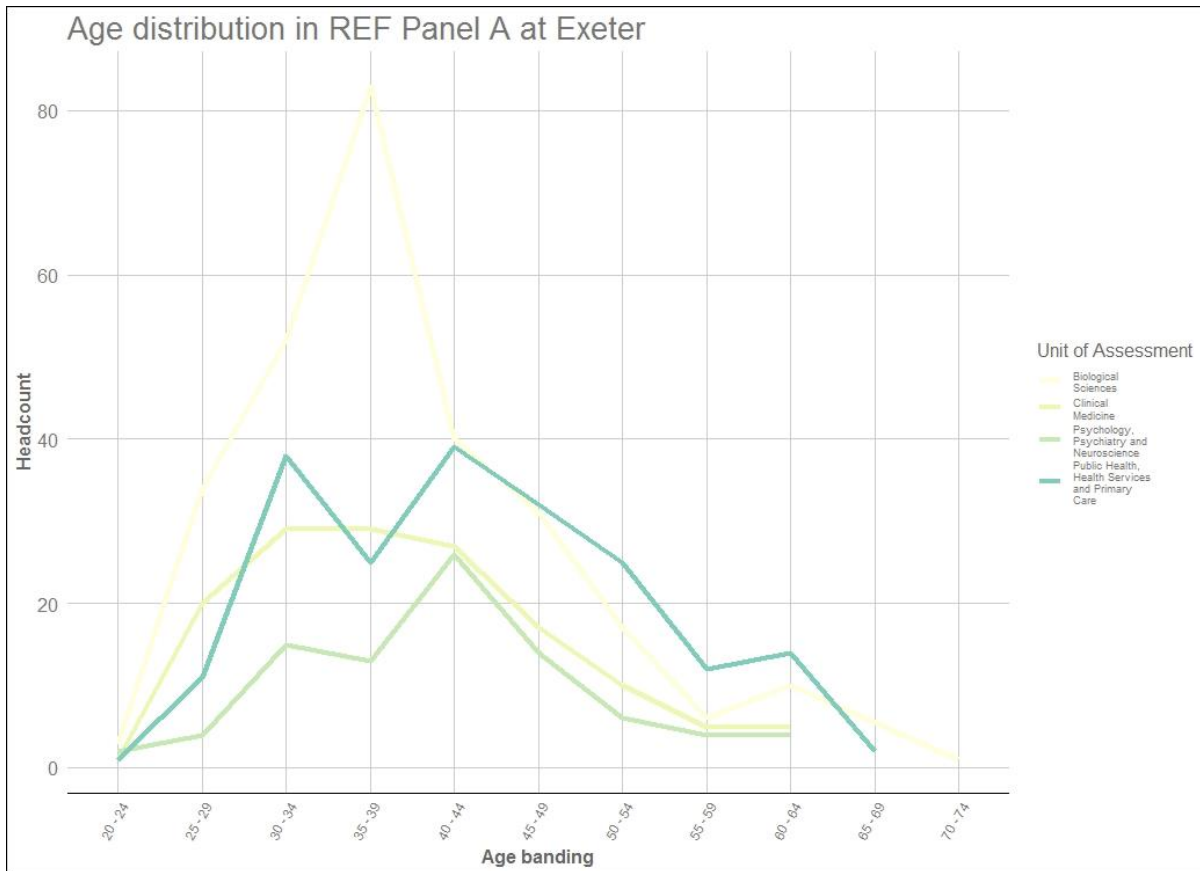


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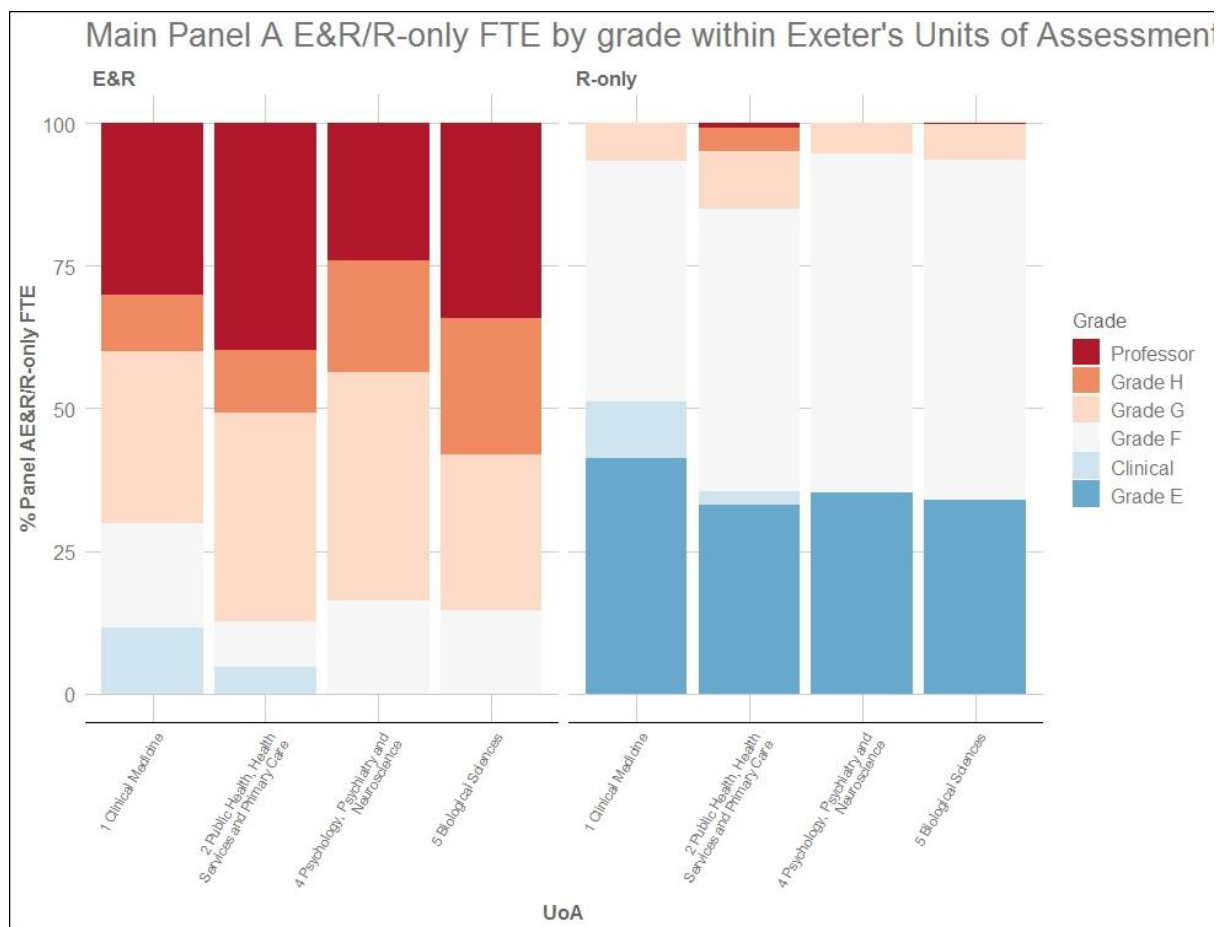


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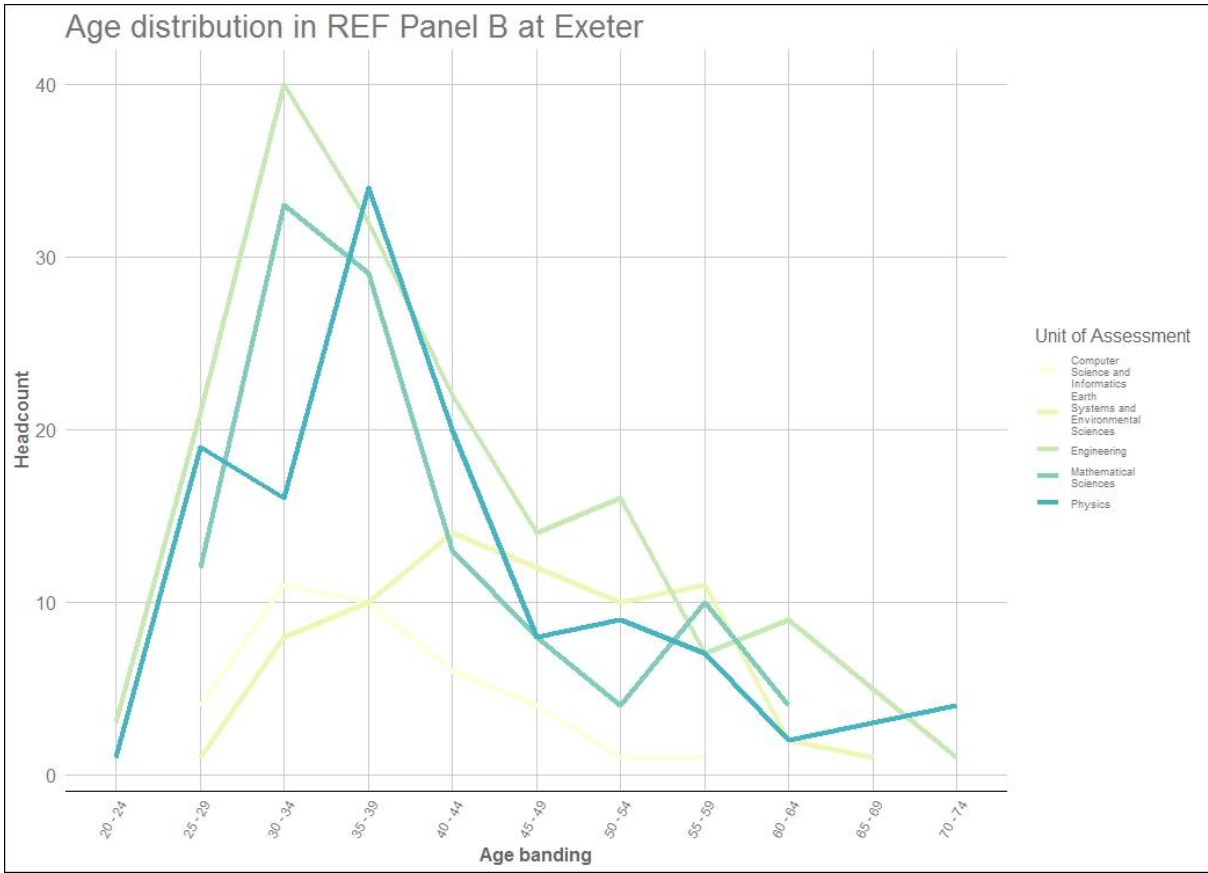


TABLE I:

Main Panel B E&R/R-only FTE by grade within Exeter's Units of Assessment

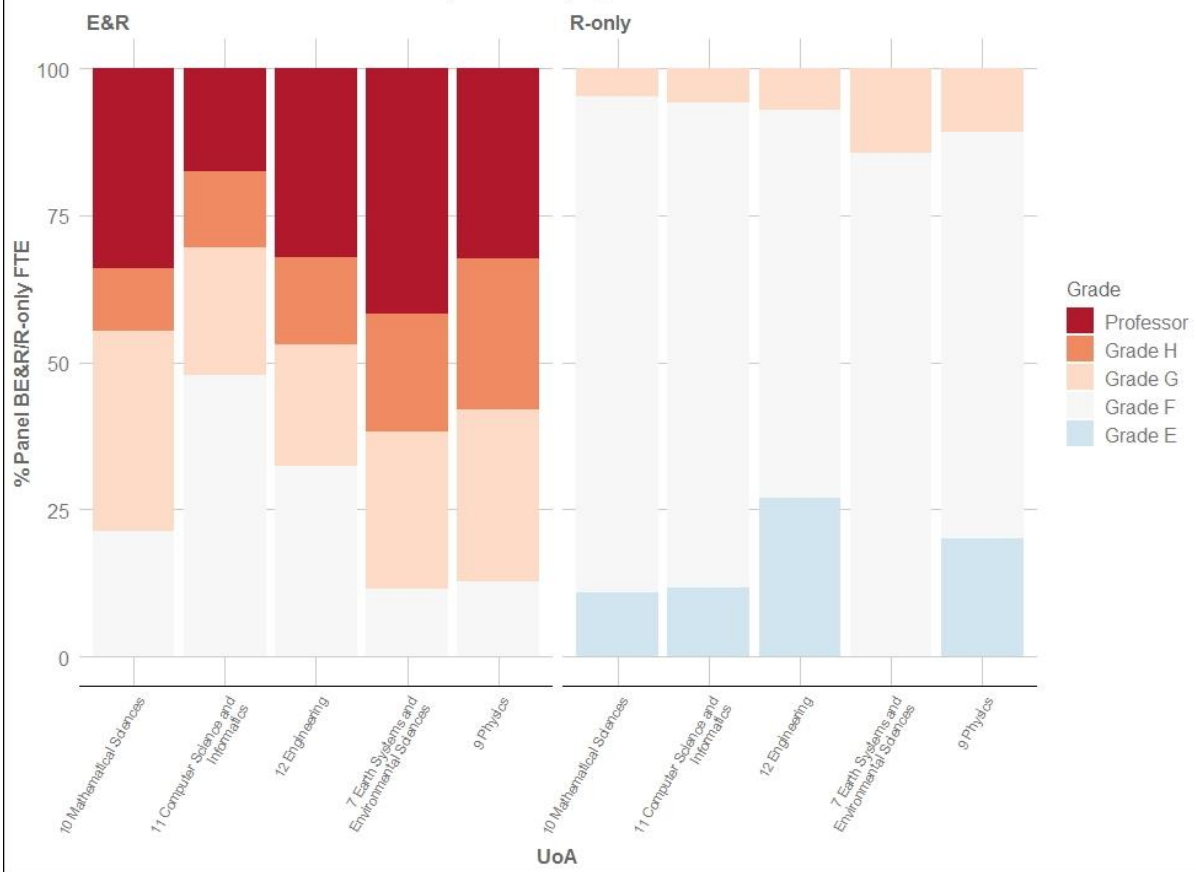


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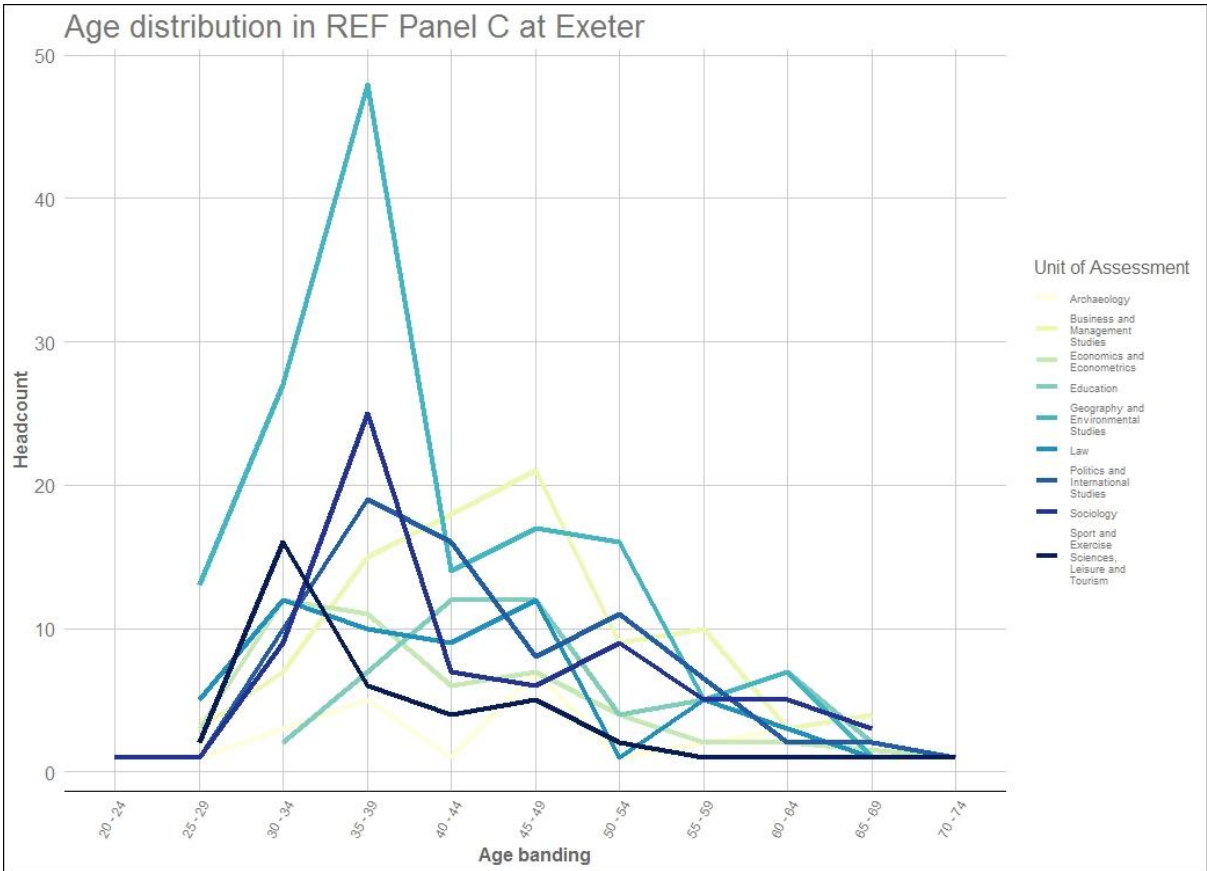


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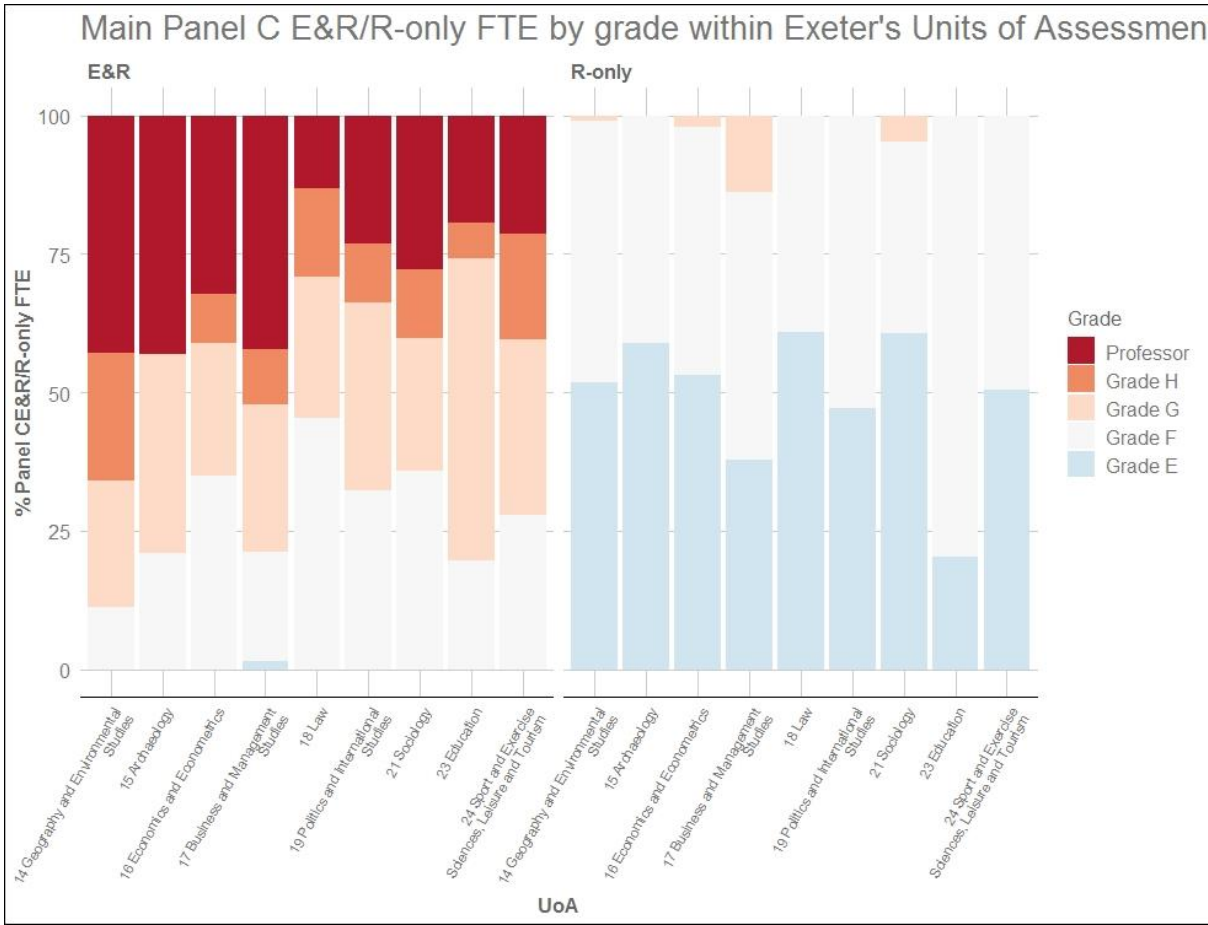


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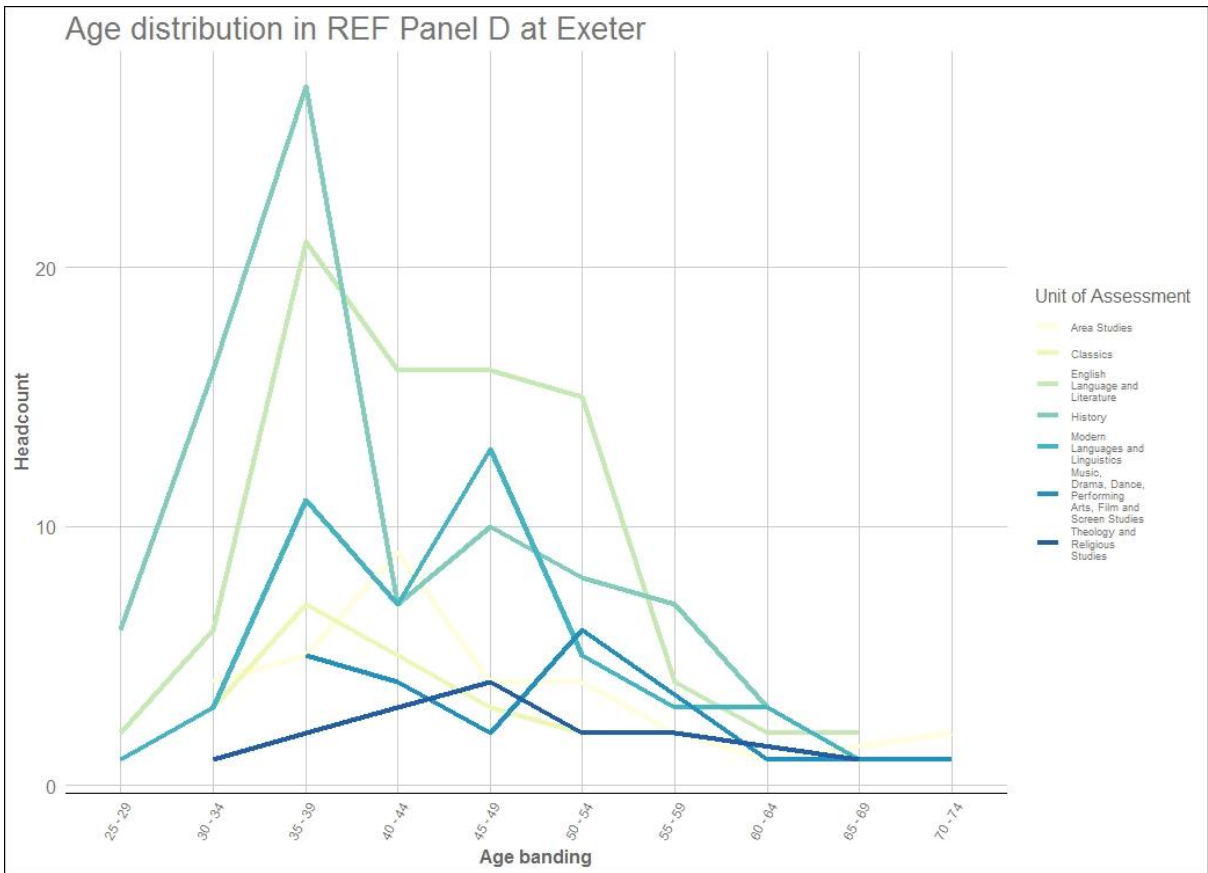


TABLE M:

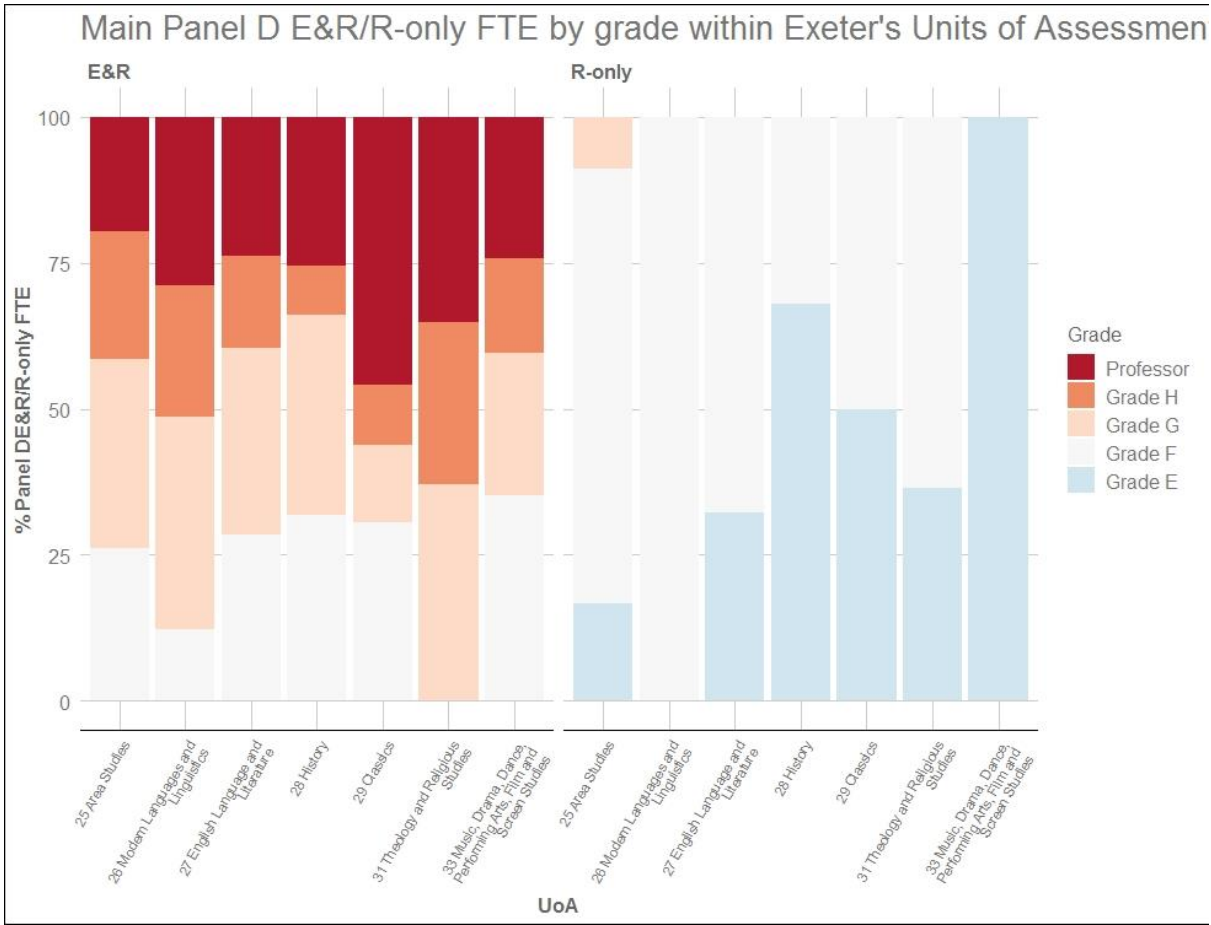
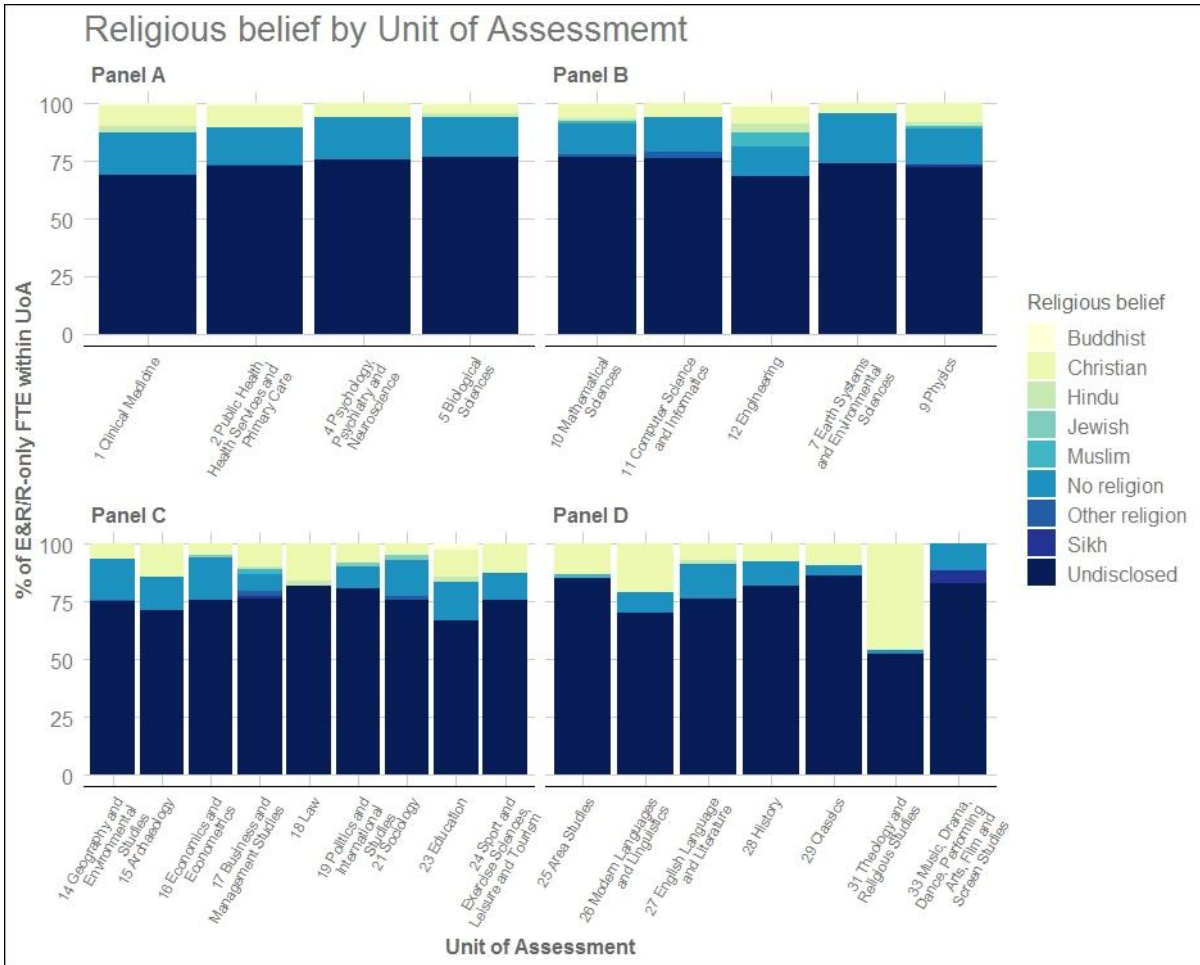


TABLE N:



Appendix 5: EDI Data and Reports

EDI Annual Report 2017 - 2018

[http://www.exeter.ac.uk/media/universityofexeter/humanresources/edi/equalitydata/Equality and Diversity Annual Report considered by Council July 2018.pdf](http://www.exeter.ac.uk/media/universityofexeter/humanresources/edi/equalitydata/Equality_and_Diversity_Annual_Report_considered_by_Council_July_2018.pdf)

Gender Pay Gap Report 2018

[http://www.exeter.ac.uk/media/universityofexeter/humanresources/edi/equalitydata/Gender Pay Gap Report 2018.pdf](http://www.exeter.ac.uk/media/universityofexeter/humanresources/edi/equalitydata/Gender_Pay_Gap_Report_2018.pdf)

Appendix 6: Units of Assessment in REF 2021

Main Panel	Unit of assessment	
A	1	Clinical Medicine
	2	Public Health, Health Services and Primary Care
	3	Allied Health Professions, Dentistry, Nursing and Pharmacy
	4	Psychology, Psychiatry and Neuroscience
	5	Biological Sciences
	6	Agriculture, Food and Veterinary Sciences
B	7	Earth Systems and Environmental Sciences
	8	Chemistry
	9	Physics
	10	Mathematical Sciences
	11	Computer Science and Informatics
	12	Engineering
C	13	Architecture, Built Environment and Planning
	14	Geography and Environmental Studies
	15	Archaeology
	16	Economics and Econometrics
	17	Business and Management Studies
	18	Law
	19	Politics and International Studies
	20	Social Work and Social Policy
	21	Sociology
	22	Anthropology and Development Studies
	23	Education
	24	Sport and Exercise Sciences, Leisure and Tourism
D	25	Area Studies
	26	Modern Languages and Linguistics
	27	English Language and Literature
	28	History
	29	Classics
	30	Philosophy
	31	Theology and Religious Studies
	32	Art and Design: History, Practice and Theory
	33	Music, Drama, Dance, Performing Arts, Film and Screen Studies
	34	Communication, Cultural and Media Studies, Library and Information Management

Equality Analysis Action Plan

Issue/change identified	Action required	Responsibility and timescale	How progress will be monitored
1. Ensuring that the initial processes around the consultation on the EA for the REF 2021 CoP are adequate and include suitable representation from protected groups.	Completion of EA	Research Services working with EDI lead	
	Lodging of EA for consultation on the appropriate EDI EA webpages	Research Services working with EDI lead	
	Wider circulation of details of the EA via Colleges	Research Services	
	Collation of responses to EA and summarising	Research Services working with EDI lead	
2. Ensure all changes are fed into the revised University REF2021 CoP		Research Services working with EDI lead	
3. Ensure high quality and relevant REF related training.	Check what training is required and when	EDI Team working with Research Services	
	To consider employing appropriate consultant	EDI Team	
	To ensure adequate funding is available	EDI Team and Research Services	
	Ensure all necessary participants who require training are identified and invited	Research Services	
	Communications about dates available are circulated		

	Updating the EDI Webpages to make them easier to navigate and more accessible		
	Design team to look at improving the presentation of the Vision and Objectives		
4. Ensuring that all groups feed into EA consultation on specific REF2021 aspects.			
5. Ensuring the Due Regards is shown to Protected Characteristics	Review of the Equality Analysis Process		
	Publishing of data		
	Improved Consultation Process		
	Integration in to the Change Blue Print		
6. Robust methods for measuring success	Exploring appropriate and inclusive charters.		

Feedback considered and Section C completed by:	
Name(s) and job title(s)	
Date	

Once completed please return to equalityanddiversity@exeter.ac.uk. This concludes the Equality Analysis process.