

## EQUALITY IMPACT ASSESSMENT: Research Excellence Framework (REF) 2014

### Cover Sheet

The Guildhall School of Music & Drama conducts equality impact assessments (EIA) on large scale institutional processes, of which the REF 2014 is one. The EIAs attached have been subject to review by a member of the School's Operations Board the REF Sub-Committee and Research & Knowledge Exchange Committee throughout the REF 2014 process.

The Higher Education Funding Council for England (HEFCE) has introduced stronger requirements for the School to demonstrate equality and diversity in its REF 2014 submission through:

- The implementation of a fair and robust Code of Practice (CoP) for selecting staff to be submitted to REF 2014;
- An equality analysis of outcomes of key decisions e.g. appeal decisions<sup>1</sup> and final submission<sup>2</sup>.

Following a School-wide consultation process, the Code of Practice, informed by an analysis of RAE 2008<sup>3</sup>, was approved by the Research & Knowledge Exchange Committee in Spring 2012. Minor updates were subsequently undertaken as follows:

- To provide further detail in respect of EIA procedures;
- To update staff job titles / post holders;
- To include a footnote to clarify the timetable<sup>4</sup>.

The communication of the policy School-wide (as set out in the CoP), aimed to ensure that all staff including those away from the School (e.g. those on maternity or sabbatical leave) were kept fully informed. Staff were alerted to the Code through Committees, including the Teaching & Learning Board, Research & Knowledge Exchange Office communications, publication online and in writing. The application of the Code of Practice required training in equality and diversity (conducted by the School Disability Co-ordinator and HR department) for all staff involved in the selection of staff to REF 2014, which had a positive effect, with improved awareness of equality and diversity matters.

The EIAs conducted on the Code of Practice (February 2012) and selection process (Autumn 2013) were based upon guidance produced by HEFCE and the Equality Challenge Unit. All Individual Staff Circumstance forms were reviewed independently of the selection panel, with advice provided to the panel accordingly.

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<sup>1</sup> Note the School did not receive appeals on any grounds, including non-inclusion on the basis of equality

<sup>2</sup> See Equality Impact Assessment on the selection process attached

<sup>3</sup> See analysis attached

<sup>4</sup> The timetable was lengthened due to the practicalities of establishing which staff were eligible and to arrange meetings with the external assessors.

## RAE 2008: Data Analysis

The preparation of the School's Code of Practice has been informed by the following analysis of the School's final RAE 2008 submission. Note that original eligibility equality strand data is not available therefore it is difficult to draw any conclusions from the patterns within the 2008 submitted cohort. However, the REF Sub-Committee took note of the data provided below.

**Headcount:** 23

**FTE:** 14.92

The information below is based on HESA data as at 31 July 2007.

Figure 1: Age Analysis

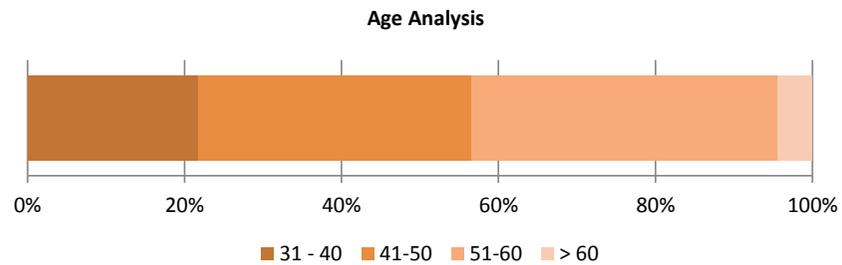


Figure 2: Ethnicity Analysis

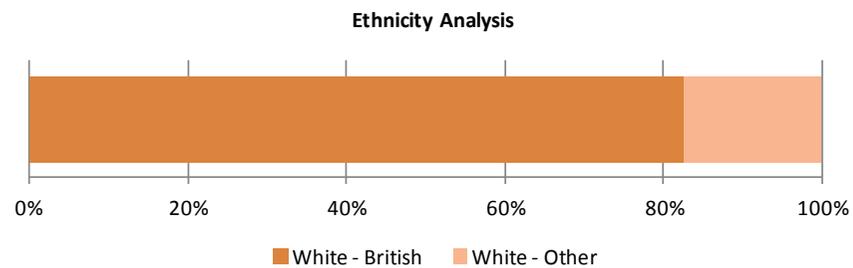


Figure 3: Gender Analysis

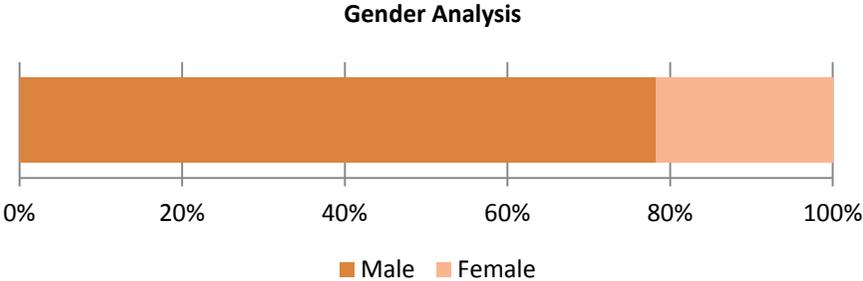


Figure 4: Disability Analysis

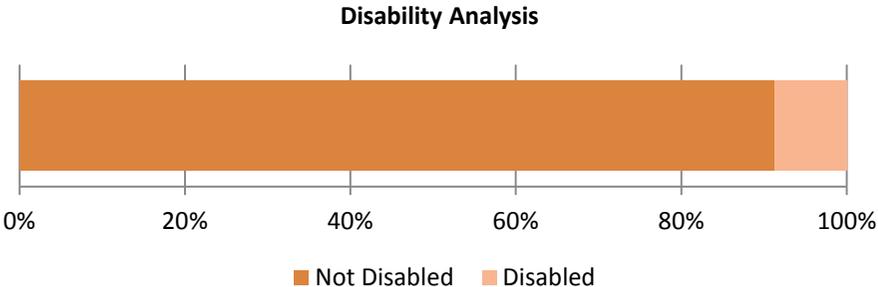
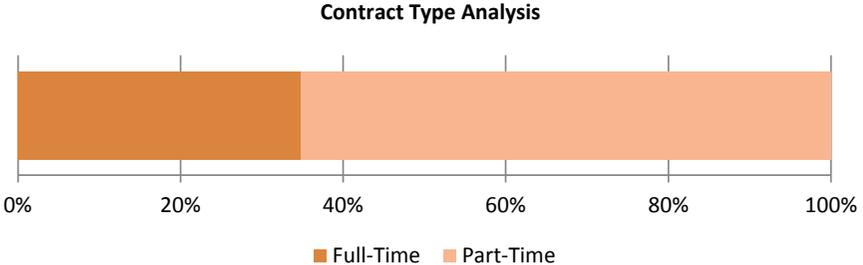


Figure 5: Contract Type Analysis



**Note:** Within the Conservatoire sector as a whole there is a large proportion of part-time staff, given the nature of portfolio careers.

## EQIA Stage One: Initial Screening Assessment Form

Name of strategy, project, policy: REF 2014 Code of Practice (CoP)

Department: Research & Knowledge Exchange

Officer completing assessment: Research & Knowledge Exchange Manager

The strategy, policy or project		
1.	What is the main purpose of the policy?	To meet the School's requirement to develop and adopt a code of practice for preparing its submission to REF2014 and selecting staff for inclusion in the exercise.
2.	Is the policy affected by external drivers for change?	Yes, submission to REF2014
3.	What are the key areas of the policy?	1) Details the process and principles by which the School will make decisions about the selection of staff from those eligible for submission. 2) Outlines the School's legal requirements, process and timetable for the submission, criteria for selection and eligibility.
4.	Who implements the policy?	Anyone involved in REF processes including any external advisors engaged by the School.
5.	Who will be affected by the policy?	All eligible research active staff
6.	What outcome do you want to achieve, why and for whom?	To implement a fair selection process for the REF2014 for all staff concerned.
7.	Are any other organisations involved?	REF2014/HEFCE, Equality Challenge Unit, CoLC
8.	Are there any existing assessments or inspections?	No.

9.	Who have you consulted on the policy?	<p>Consultation / Evidence:</p> <ul style="list-style-type: none"> <li>• The Guildhall School Teaching &amp; Learning Board, Research &amp; Knowledge Exchange Committee, REF Sub-Committee, and the Senior Management Team.</li> <li>• The policy has been developed in consultation with the HR department and the Disability Co-ordinator.</li> <li>• The RAE 2008 Code of Practice consulted as a starting point.</li> <li>• Research staff in UK Conservatoires were consulted at a meeting of the Conservatoires UK Research Forum in early 2012.</li> </ul>
10.	Who are the main beneficiaries of the policy?	Research active staff at the Guildhall School.

The Impact:		Tick the boxes which apply for each 'target group'				Reason/Comment	
Equality Target Group	Positive Impact		Neutral Impact	Negative Impact			
	High	Low		High	Low		
<b>Gender</b>							
Women			x			Guidance from HEFCE have been followed, including guidance issued on the School's legal requirements in the REF <i>Assessment Framework &amp; Guidance on Submissions and Panel Criteria and Working Methods.</i>	
Men			x				
Transgender			x				
<b>Race</b>							
Asian – Asian Bangladeshi; Asian British; Asian Indian; Asian Pakistani; Asian Other			x				
Black – Black African; Black British; Black Caribbean; Black Other			x				
Chinese			x				
Irish			x				
Mixed – Asian & White; Black & White; Mixed Other			x				
White – White British; White European Union; White Other			x				
<b>Disabled people</b>			x				
<b>Lesbians, gay men and</b>			x				

The Impact:		Tick the boxes which apply for each 'target group'				Reason/Comment
Equality Target Group	Positive Impact		Neutral Impact	Negative Impact		
	High	Low		High	Low	
bisexuals						
Older people			x			
Younger people			x			
Faith groups			x			
Minority faith groups			x			
Those of no faith			x			
Part-time members of staff			x			REF provisions allow for reductions in the number of required outputs to be submitted on the grounds of individual circumstances. ISC processes will be communicated widely as part of the REF communication strategy (see CoP).
Early Career Researchers			x			REF provisions allow for reductions in the number of required outputs to be submitted on the grounds of individual circumstances. ISC processes will be communicated widely as part of the REF communication strategy (see CoP).
Staff on Paternity / Adoption / Maternity Leave			x			REF provisions allow for reductions in the number of required outputs to be submitted on the grounds of individual circumstances. ISC processes will be communicated widely as part of the REF communication strategy (see CoP).

Further Action	
Does the strategy have a negative impact on any of the equality target groups? If so, you will need to proceed to Stage 2	No. The policy is designed to ensure equality.
Is the negative impact assessed as being of high significance? If so, you will need to proceed to Stage 2	N/A
Is progression to Stage 2: Full Assessment required?	Yes____ No__√__

Signed (Completing Officer):

*Rebecca Cohen*

Date: 1 February 2012

Signed (Departmental Equality Champion):

*Alison Long*

Date: February 2012

## Second Screening Assessment Form

**Name of strategy, project, policy:** REF 2014 Selection Process within the Code of Practice

**Department:** Research & Knowledge Exchange

**Officer completing assessment:** Research & Knowledge Exchange Manager

The strategy, policy or project		
1.	What is the main purpose of the policy?	The purpose is for the School's REF Sub-Committee to put forward recommendations to the School's Research & Knowledge Exchange Committee about staff for inclusion in the REF 2014 exercise, based on a rigorous review process and the criteria set out in the School's REF 2014 Code of Practice.
2.	Is the policy affected by external drivers for change?	Yes, submission to REF2014.
3.	What are the key areas of the policy?	Selection is based on a rigorous review of all outputs submitted by eligible staff. Given the small size of the institution and to help ensure independence, a third party has been consulted where required. The selection methods outlined in the Code of Practice are underpinned by the principle of inclusivity. All staff have been invited to declare circumstances which have significantly constrained their ability to work productively throughout the assessment period.
4.	Who implements the policy?	All individuals involved in the decision making process (see Code of Practice).
5.	Who will be affected by the policy?	All research active staff eligible for selection for inclusion.
6.	What outcome do you want to achieve, why and for whom?	A fair selection process for the REF2014 for all staff concerned (based on the principles of transparency, consistency, accountability and inclusivity) which does not discriminate against any groups.
7.	Are any other organisations involved?	REF 2014 / HEFCE, Equality Challenge Unit, City of London Corporation
8.	Are there any existing assessments or inspections?	No.

9.	Who have you consulted on the project?	Consultation / Evidence: <ul style="list-style-type: none"> <li>The CoP was approved by the School Teaching &amp; Learning Board, Research &amp; Knowledge Exchange Committee, REF Sub-Committee, Senior Management Team, and the HR department consulted.</li> <li>Equality Data: Comparison between the baseline equality data on those eligible for selection, compared to the profile of those in the likely final submission.</li> </ul>
10.	Who are the main beneficiaries?	Research staff at the Guildhall School.

<b>The Impact:</b>	Tick the boxes which apply for each 'target group'					
<b>Equality Target Group</b>	<b>Positive Impact</b>		<b>Neutral Impact</b>	<b>Negative Impact</b>		<b>Reason/Comment</b>
	<b>High</b>	<b>Low</b>		<b>High</b>	<b>Low</b>	
<b>Gender</b>						
Women			x			Guidance from HEFCE have been followed, including guidance issued on the School's legal requirements in the REF <i>Assessment Framework &amp; Guidance on Submissions and Panel Criteria and Working Methods</i> , in consultation with the School REF Sub-Committee and Research & Knowledge Exchange Committee.
Men			x			
Transgender			x			
<b>Race</b>						
Asian – Asian Bangladeshi; Asian British; Asian Indian; Asian Pakistani; Asian Other			x			
Black – Black African; Black British; Black Caribbean; Black Other			x			
Chinese			x			
Irish			x			
Mixed – Asian & White; Black & White; Mixed Other			x			
White – White British; White European Union; White Other			x			
<b>Disabled people</b>			x			
<b>Lesbians, gay men and bisexuals</b>			x			

<b>The Impact:</b>	Tick the boxes which apply for each 'target group'					
<b>Equality Target Group</b>	<b>Positive Impact</b>		<b>Neutral Impact</b>	<b>Negative Impact</b>		<b>Reason/Comment</b>
	<b>High</b>	<b>Low</b>		<b>High</b>	<b>Low</b>	
<b>Older people</b>			x			
<b>Younger people</b>			x			
<b>Faith groups</b>			x			
<b>Minority faith groups</b>			x			
<b>Those of no faith</b>			x			
<b>Part-Time members of staff</b>		x				REF provisions allow for reductions in the number of required outputs to be submitted on the grounds of individual staff circumstances. All ISC forms were reviewed and scrutinised accordingly and outcomes considered by the REF Sub-Committee. Given a large majority of full time staff have a large proportion of management duties compared to part time staff who are in the main portfolio practitioners, the REF Sub-Committee recognises this explains the potential perceived bias in favour of P/T staff. The criteria and selection process set out in the CoP are based on the quality of research. A robust communication strategy throughout the process has ensured that all staff are aware of their eligibility to submit and the criteria for selection, ensuring equal opportunity.
<b>Early Career Researchers</b>			x			REF provisions allow for reductions in the number of required outputs to be submitted on the grounds of individual circumstances. The HR data team worked with the research department to ensure that Early Career Researchers were correctly identified.
<b>Staff on paternity / Adoption / Maternity Leave</b>			x			REF provisions allow for reductions in the number of required outputs to be submitted on the grounds of individual circumstances

<b>Further Action</b>	
Does the strategy have a negative impact on any of the equality target groups? If so, you will need to proceed to Stage 2	The policy is designed to ensure equality. All Individual Staff Circumstances have been reviewed independently of the selection panel, and advice provided to the panel accordingly. A robust communication strategy throughout the process has ensured that all staff are aware of their eligibility to submit and the criteria for selection, ensuring equal opportunity.
Is the negative impact assessed as being of high significance? If so, you will need to proceed to Stage 2	N/A
Is progression to Stage 2: Full Assessment required?	Yes____ No__√__

Signed (Completing Officer):

*Rebecca Cohen*  
Research & Knowledge Exchange Manager

Date: October 2013

Signed (Departmental Equality Champion):

*Katharine Lewis*  
Head of Registry Services and Quality Assurance & Enhancement Date: October 2013

## Comparison of 2014 REF Submission to Staff Eligible for Inclusion

See below a graphical analysis comparing the school's 2014 REF submission to the academic / established staff eligible for submission.

The baseline data comprises the 78 academic / established staff (FT/PT/Permanent/Fixed term) and the 24 staff selected for submission.

The information below is based on HESA data as at 31 July 2013.

Figure 1: Age Comparison

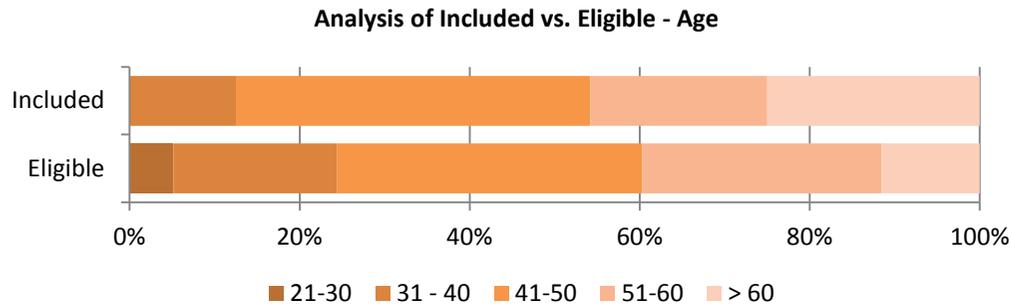


Figure 2: Ethnicity Comparison

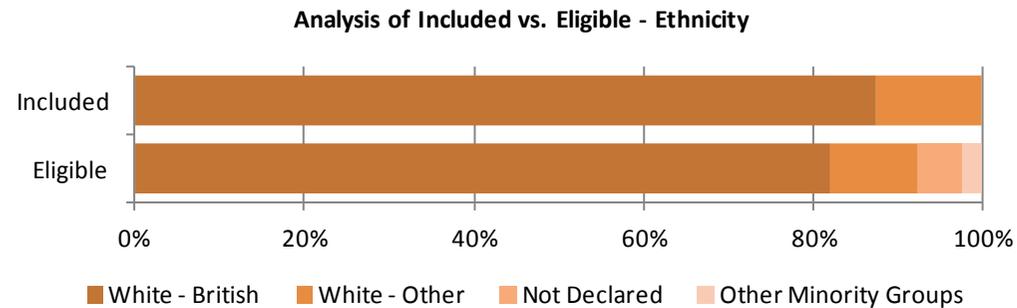


Figure 3: Gender Comparison

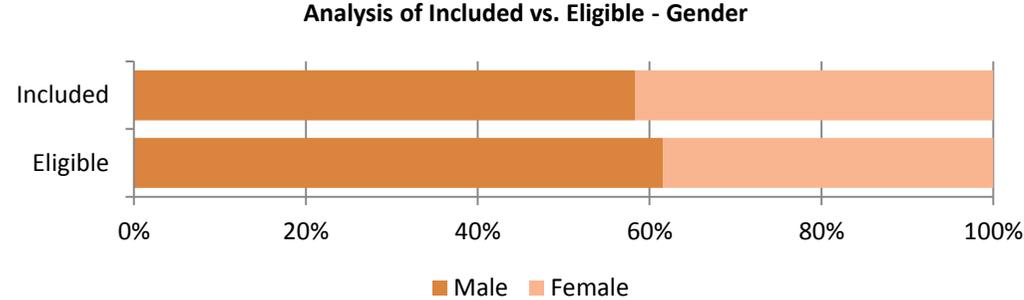


Figure 4: Disability Comparison

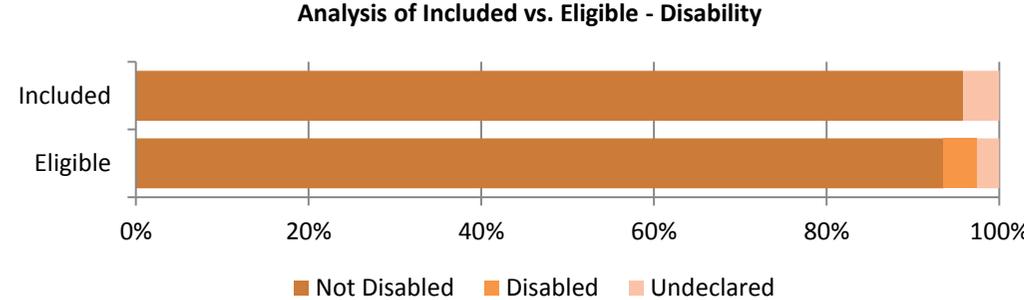
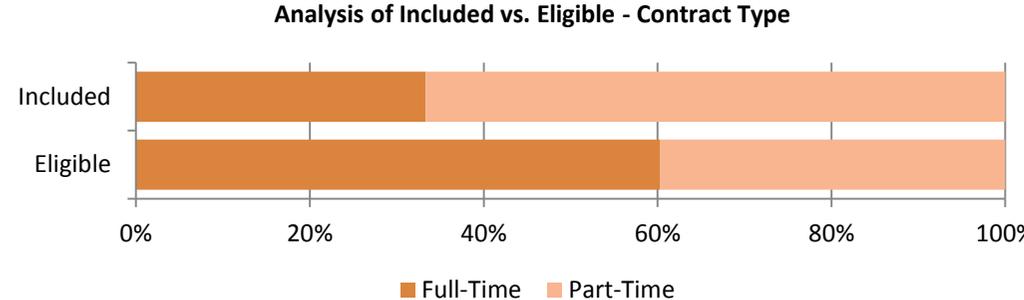


Figure 5: Contract Type Comparison



### Comparison of 2008 RAE Submission to 2014 REF Submission

The information below is based on HESA data as at 31 July 2007 and 31 July 2013.

Figure 1: Age Comparison:

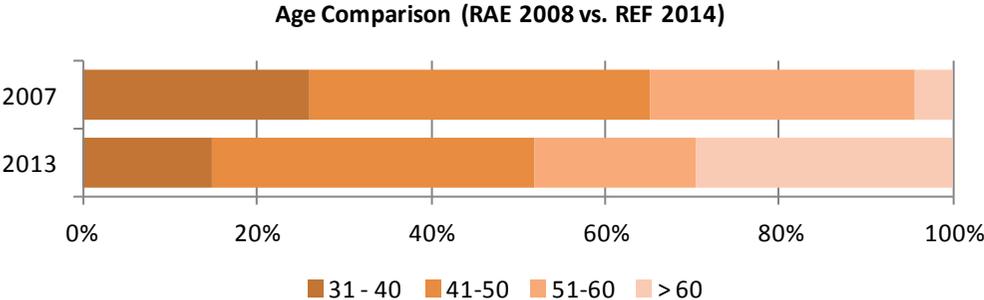


Figure 2: Ethnicity Comparison

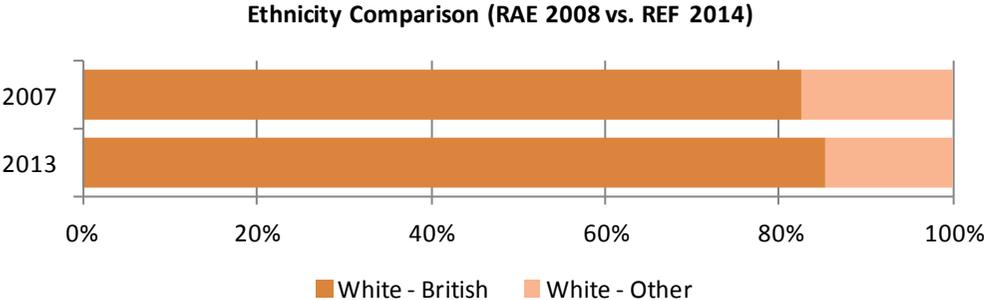


Figure 3: Gender Comparison

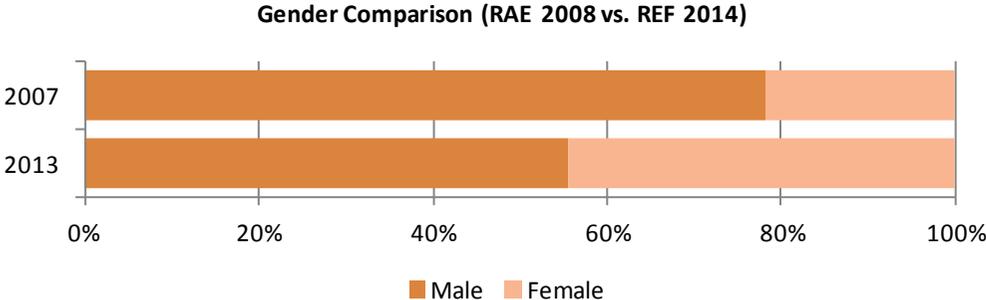


Figure 4: Disability Comparison

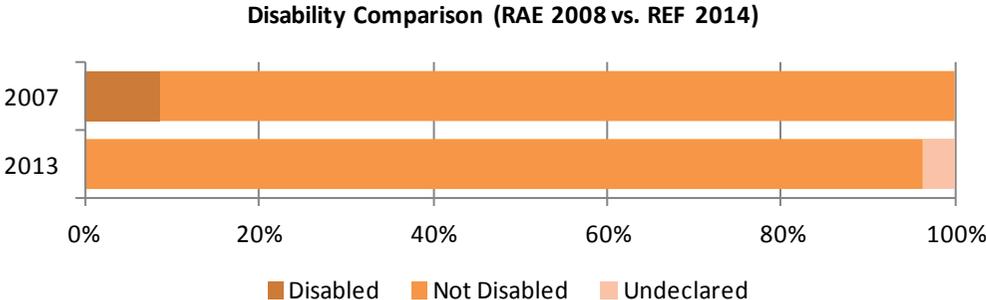


Figure 5: Contract Type Comparison

