**People and Organisational Development**

**Equality, Diversity and Inclusion**

**Policy and Guidance:**

**Improving Outcomes Assessment**

**Understanding diversity and maximising positive impact though equality analysis**

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# About this policy and guidance

* 1. Equality, diversity and inclusion are central to the values, vision and mission of DMU, embedded in our Strategic Framework and articulated through DMUfreedom, the university’s diversity and inclusion charter.
	2. Through DMUfreedom, De Montfort University sets out its commitment to allow our students, staff and visitors to have the freedom to be, freedom to inspire and freedom to succeed.
	3. To deliver this commitment, consideration of diversity through equality analysis needs to be placed at the heart of strategic, policy, process and practice developments. This enables the creation of greater opportunities and more successful outcomes for staff and students, the community and the university. Further, it ensures that DMU meets its legal responsibilities.
	4. Equality analysis should therefore form an integral aspect of the evaluation or development of any strategic plans, new or revised policies, procedures, projects major events, efficiency considerations and environment changes, such as estates changes. This will ensure that the diversity of our staff, students and community is systematically considered in advance of decisions being taken.
	5. As the analysis is intended to enhance the overall outcome of any work area or function, equality analysis at DMU is referred to as Improving Outcomes Assessment (IOA).

# The legal framework

* 1. Understanding the impact of work on different groups of people is a legal requirement of the Equality Act 2010. This introduced the Public Sector Equality Duty (PSED). Covering nine protected characteristic groups: Age, disability, gender identity, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, and sexual orientation.
	2. The PSED includes the need to (i) eliminate discrimination; (ii) advance equality of opportunity for people from protected characteristic groups; and (iii) foster good relations between people from protected characteristic groups and those who are not.
	3. The Act places a responsibility on the university to deliver the three aims of the PSED in relation to these characteristics across all of its functions and all aspects of institutional practice. This includes decision-making, design and delivery of services, policy, procedure and practice at strategic and operational levels. The PSED requires organisations to be able to evidence that due regard has been given to meeting the requirements of the PSED.

# About Improving Outcomes Analysis

* 1. Understanding and analysing for impact of any activity is an evidence based, reflective process that leads to continuous improvement. IOA provides a practical tool to identify if policies and practices have the potential to discriminate or disadvantage people from protected characteristic groups. It enables the identification of areas for development, provides an opportunity to highlight successes and good practice and a vehicle for sharing this as part of an evidence based approach to development. It can help to deliver better outcomes across the university and can support meeting personal and corporate objectives
	2. **An evidence based approach**
	3. The use of a robust evidence base is essential for understanding the potential impact, both positive and negative, of activity on people from diverse groups. It will enable the identification of difference in experience for different groups of people in the area of work under consideration, and highlight areas for action.
	4. The evidence base needs to include qualitative and quantitative data, disaggregated by protected characteristic. Anecdotal evidence is often also helpful.
	5. Evidence sources include:
* DMU equality data in respect of staff and students.
* Staff and student surveys and consultation exercises / feedback from services users.
* Internal research and / or bespoke focus groups and questionnaires.
* Monitoring and evaluation reports.
* External benchmarking data.
* National research and guidance.
	1. If there is not enough information or evidence to make an assessment, this should be addressed through, for example, consultation with staff and students who are stakeholders of your work, or engagement with those that have specific knowledge and expertise.
	2. **Principles for effective analysis**
	3. The following principles will enable the effective consideration of diversity when undertaking analysis:
	+ Analysis should be undertaken by those involved in and responsible for the area of activity or function being considered. It is beneficial to draw on more than one perspective and engage with staff and / or students with appropriate knowledge and expertise.
	+ Highlight effective practice and what works, as well as identifying where negative impact might be experienced by different groups, for example where there might be barriers to participation in a project or event, or access to a service or learning opportunity due to a protected characteristic.
	+ The assessment needs to be made objectively rather than on the basis of assumption. Using quantitative and qualitative evidence will enable the identification of statistical trends in relation to people from protected characteristic groups, develop understanding of their experiences and needs, and where action may be required.
	+ The assessment may only be relevant to one or two protected characteristic groups. It is not necessary to find impacts that are not there – work from an evidence base.
	+ Identify a timeframe for implementing any changes or actions so impact can be maximised as quickly as possible.
	1. **Embedding the PSED into Improving Outcomes Analysis**
	2. In undertaking an IOA and identifying good practice and areas for development, the PSED should be taken into account in relation to protected characteristic groups and the need to be proactive in:
* Removing or minimising disadvantages suffered by people due to their protected characteristics
* Taking steps to meet the needs of people from different groups where those needs are different compared to other groups
* Encouraging people from protected characteristic groups to participate in public life or in other activities where their participation is disproportionately low
* Tackling prejudice and promote understanding between people from different groups
	1. The analysis should describe how the work takes account of these needs.

# Roles and responsibilities

* 1. The accountable person for assuring that the guidance and the requirements set out in this policy has been followed will be the relevant dean, director and chairs of committees in which the IOA has, or should have been conducted.
	2. Deans, directors and chairs of committees, may, at their discretion, nominate ‘Senior Reviewers’. This role would, in practice, hold delegated responsibility from deans, directors and chairs to provide a deputising function in ensuring that the requirements of this policy have been met and to provide final sign off on an IOA. Should deans, directors and chairs of committees wish to delegate to Senior Reviewers, the nominated delegates must attend a briefing provided by People and Organisational Development on the requirements of the policy.
	3. Deans, directors and chairs should nominate Practitioners who will be provided with guidance and training from People and Organisational Development to enable them to support those within their faculties and directorates that need to undertake IOAs.
	4. A list of Practitioners will be available on the POD pages of DMU Connect.
	5. The person or persons responsible for the practical delivery of the area under consideration should conduct the Improving Outcome Assessment. This will facilitate nuanced consideration of the work, policy or strategy being assessed. Practitioners are intended to support and guide those undertaking IOAs to complete them in line with this policy.
	6. A log of completed IOAs (or record of alternative equality analysis) should be made in accordance with the details set out in **Section 5**, below. The log will be used to provide an audit trail, but importantly, will also create a knowledge bank from which practise can be developed.

# Completing an Improving Outcomes Assessment

* 1. Consideration of the need for an IOA to be completed should be given when any new strategy, policy, procedure, project, major event, efficiency consideration or environmental change (such as estates) is being developed or revised. Analysis of evidence will be required to ascertain whether or not an IOA is required or not.
	2. Evidence should be considered to identify if there could be a significant difference to how different groups of people will engage with any area of work. If that evidence suggests that there will be a difference, the completion of an IOA pro-forma should be undertaken.
	3. Proportionality should however be considered. For example, it may not be necessary to conduct an IOA on certain elements of work being delivered to deliver a strategy, where an IOA has been conducted on the overall strategy. The number of people that will be affected, and the intended impact of the work should be considered when considering whether to conduct an IOA. Practitioners will provide guidance as required.
	4. It is not necessary for an IOA to be completed where the area of work under consideration will not have an impact on staff, students or other stakeholders. However, this is likely to apply to very few scenarios, and may only be determinable through considering the areas of analysis set out in the below IOA pro-forma.
	5. A pro-forma template with guidance is provided. This provides prompts that support the delivery of the aims and principles set out in this policy.
	6. Completion of the pro-forma will provide an audit trail of how DMU has met its legal obligations. Where it is considered that no IOA is required, the evidence based rationale should be recorded and logged.
	7. The guidance provides prompts (Annex 1) in relation to the work area being assessed – and Annex 2 assists the consideration of the diverse needs of different groups, which should be reflected upon in relation to each question set out in the pro-forma.
	8. The prompts are not definitive or the only responses to the questions posed in the pro-forma. They are intended as a guide to developing understanding of difference and impact and provide examples of things that may be revealed. Other questions and areas for investigation will emerge as evidence and assessment is conducted.
	9. A blank pro-forma can be found at <http://www.dmu.ac.uk/about-dmu/professional-services/equality-and-diversity/guidance-documents-and-policies.aspx> A blank pro-forma can also be found at the end of the guidance.
	10. The responsible dean, director, or their delegated Senior Reviewer should confirm that the IOA has been completed satisfactorily and completed pro-formas should then be emailed to: Equalities@dmu.ac.uk. These will be stored in a confidential folder and only accessed for quality review purposes by the Head of Equality, Diversity and Inclusion and the Senior Adviser for Equality, Diversity and Inclusion.

**Annex 1 – Improving Outcomes Assessment Pro-forma with signposting**

A blank pro-forma is available here. This version provides signposting to areas or topics that might be considered, or some outcomes that might be seen for each question, in relation to the area that the work being assessed falls under.

**Section A: About your work**

1. **What is being assessed?**
* Identify whether you are looking at a strategy, policy, process, major event, efficiency saving, or an aspect of the environment.
1. **Why is this work being undertaken and what are the intended outcomes and benefits?**
* What are the aims and objectives of your work?
* Is it designed to benefit the university, all staff / students or a specific group?
* Who are the beneficiaries?
* What difference do you intend to make for these beneficiaries?
* Are outcomes for your beneficiaries clearly articulated?
* What change or impact do you expect to realise?

For example:

* There is parity in retention and achievement for all groups of students across all programmes.
* The staff body is proportionately representative of all groups at all levels.
* All staff and students are confident in addressing discrimination.
* Students from different backgrounds are confident in their interactions with staff and other different groups of students.
* The governing body is diverse.
* The career progression of BAME staff mirrors the experience of their white counterparts.
* Provision of information and materials uses examples that are relevant to students from diverse backgrounds.
1. **How will the intended outcomes of your work be delivered?**

For example:

* What are your key delivery mechanisms?
* How does it fit into the governance and management structure?
* Are there adequate staff development / capacity building opportunities for effective implementation?
* How do you review and evaluate your work? What happens to the outcome?
* How do you engage with difference in your delivery?

How do you review and evaluate your work? What happens to the results?

1. **Describe how your work supports the delivery of one or more of DMU’s strategies and objectives.**

For example:

* Does the consideration of different experiences and variable outcomes for different groups help the university better meet its strategic aims?
* How does / will your work support the delivery of DMUfreedom?

**Section B: Understanding and assessing impact for different groups**

1. **What evidence or consultation has been used to determine the impact on different groups? If you have identified gaps in the evidence required to assess impact, how will you address these?**
* Set out the range of evidence you have used to analyse the impact / potential impact of your work.
* How have you maximised engagement?
* How have you consulted staff / students / the community to inform development and delivery?
* What methods do you use to engage with your intended beneficiaries and how can these be regarded as accessible for different groups?
* Highlight where gaps prevent you from understanding what the impact might be for different groups.
* Indicate your strategy for addressing the gap at institutional, school, department and programme / service levels.
1. **After consideration of evidence, how will different groups of people benefit? Is there a differential impact (positive or otherwise) on different groups of people? Please outline what these are.**
* Is there a differential impact on different groups? Is this intended?
* Is the approach the same for everyone?
* Do you use alternative modes of delivery or incorporate flexibility to meet different needs?
* What, if any, positive impact have you identified for other groups?
1. **Are there areas where different approaches are required to meet the needs and/or enhance the experience of staff/students from different groups? What will these be?**
* See Annex 2 for examples of approaches you might take to help you enhance experience and outcomes for people from different groups.

**SECTION C: IMPROVING PERFORMANCE**

1. **How will improving the experience and outcomes of people from different groups contribute to effective policy/project/operational delivery?**

For example:

* Recruitment and retention of talent from a diverse range of staff at all levels.
* Variations in outcomes for staff and students across all protected characteristic groups start to reduce.
* Staff and students are more confident in thinking about and engaging with diversity in the delivery of their work and in their relationships with each other.
* Increasing the likelihood of retention for students at risk.
* Impact on the attainment gap for BAME, disabled and male students.
* Increased wellbeing of staff and students to aid retention and productivity.
* Piloting innovative approaches and mainstreaming of effective practice
* Contribution to inclusive DMU culture.
* Staff and students are more confident in thinking about and engaging with diversity in the delivery of their work and in their relationships with each other.

**Section D: Action Planning**

For areas where you have identified that the experience and outcomes for people from different groups could be improved, please record the actions in the plan below, identifying your timeframe and who will be responsible for delivery.

Remember to include actions to communicate and promote effective practice and positive outcomes and to address gaps in evidence where identified.

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| --- | --- | --- | --- | --- |
| **Action** | **Intended improvement / outcome** | **Person responsible** | **Timeframe** | **Link to DMU Strategy** |
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**Annex 2**

**Consideration of diverse characteristics**

**Developing your approach to engaging with diversity, advancing equality and creating an inclusive environment**

The following sets out examples of approaches to policy development and service delivery that will provide positive impact and support enhanced outcomes for people from different groups. A section for carers has also been included as research indicates that this group experience social exclusion and difficulties in accessing services. It also acknowledges the intersection between caring and other protected characteristics, for example, gender / age.

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| **AGE:*** Ensure HR and student recruitment policy, practices and outcomes are regularly reviewed to identify whether staff are being excluded from certain posts due to age.
* Review job criteria to ensure they do not exclude on the basis of age.
* Provide career development activities regardless of age.
* Delivery student activities which recognise and take account of the age profile of the student cohort.
* Offer services at times which meet the needs of people of different ages, taking account of caring or home responsibilities.
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| **DISABILITY:*** Consider your location and physical access.
* Use facilities which provide induction loops.
* Take account of the needs of different groups when designing information and materials.
* Ensure that personal assistants or interpreters can be provided / accommodated.
* Take an anticipatory approach to designing policy and provision which is accessible to all.
* Provide flexible working / study options.
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| **GENDER IDENTITY:*** Take account of the potential need for people who are transitioning to take time off to facilitate this process.
* Provide appropriate facilities suitable for trans, non-binary and gender fluid people, e.g. gender neutral facilities.
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| **MARRIAGE AND CIVIL PARTNERSHIP:** *(in respect of employment only)** Take a non-stereotypical approach to ensure false assumptions are not made about relationship status.
* Do policies consider the full range of relationships?
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| **PREGNANCY AND MATERNITY:*** Introduce initiatives to ensure those on maternity leave have equal access to personal development and promotion opportunities.
* Consult with pregnant people to identify initiatives to ensure they are able to access institutional services irrespective of whether they are pregnant or on maternity leave.
* Provide facilities for people who are breast-feeding.
* Support staff to access appropriate childcare.
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| **RACE AND ETHNICITY:*** Review policies to ensure they take account of religion, belief and culture in their implementation.
* Take a globally informed approach to reviewing materials and communications.
* Recognise and understand the heterogeneity of people from a BAME background in the development and delivery of your activities – one size does not fit all.
* Take a positive action approach to addressing differential outcomes for BAME groups.
* Deliver cultural awareness or unconscious bias training to ensure all of your staff / volunteers / facilitators develop their understanding of equality and difference.
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| **RELIGION / BELIEF AND CULTURE:*** Provide adequate prayer facilities for staff and students.
* Wherever possible, build flexibility into delivery to enable staff and students to meet their religious commitment.
* Cater for diverse dietary requirements as a matter of course.
* Take account of dress code in planning of activities and events.
* Provide a range of events that do not include alcohol and are held in appropriate locations.
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| **SEX AND GENDER:*** Ensure HR and student recruitment policy, practices and outcomes are regularly reviewed to identify whether staff are being excluded from certain posts due to their gender.
* Take a positive action approach to addressing under-representation of men and women.
* Provide flexible working / study options.
* Provision of single sex facilities and events, e.g. sports facilities and female only swimming sessions.
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| **SEXUAL ORIENTATION:*** Review materials, communications and delivery to ensure they take account of difference in a non-stereotypical way, eg portrayal in job roles or academic subject area; types of events and activities.
* Ensure your policy / practice recognises all relationships, including same sex and binary relationships.
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| **CARERS:*** Encourage staff / students to disclose their caring responsibilities and provide tailored support for staff / students who are carers.
* Think about timing of events, e.g. could an evening event be problematic?
* Take steps to accommodate carers’ needs, e.g. timings of meetings or interviews.
* Provide flexible working / study options.
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**IMPROVING OUTCOMES ASSESSMENT**

**BLANK PRO FORMA**

**SECTION A: ABOUT YOUR WORK**

*Please note: when completing this form you will be able to access additional information by selecting ctrl+ with the titles highlighted in blue.*

|  |
| --- |
| Improving Outcomes Assessment completed by: |
| Name:  |  |
| Role:  |  |
| Faculty/Directorate: | *Please select a Faculty or Directorate here*. |

|  |
| --- |
| [What is being assessed: (please select box to tick)](#_What_is_being) |
| [ ]  Strategy[ ]  Policy[ ]  Process[ ]  Major event[ ]  Efficiency saving[ ]  Environmental Change (including Estates) |

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| [Who may be impacted by the change? (please select box to tick)](#_Who_may_be) |
| [ ]  Staff[ ]  Students[ ]  Others e.g. external stakeholdersIf other, please specify…………………………………………………………………………………… |

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| Why is this work being undertaken and what are the intended outcomes and benefits? |
| *Please add description here* |

 *\*Please limit to 500 words*

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| [How will the intended outcomes of your work be delivered?](#_How_will_the) |
| *Please add description here* |

*\*Please limit to 500 words*

|  |
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| [Describe how your work supports the delivery of one or more of DMU’s strategies and objectives.](#_Describe_how_your) |
| *Please add description here* |

**SECTION B: UNDERSTANDING AND ASSESING IMPACT FOR DIFFERENT GROUPS**

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| What evidence or consultation has been used to determine the impact on different groups? If you have identified gaps in the evidence required to assess impact, how will you address these? |
| *Please add description here* |

*\*Please limit to 500 words*

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| After consideration of evidence, how will different groups of people benefit? Is there a differential impact (positive or otherwise) on different groups of people? Please outline what these are.  |
| *Please add description here* |

*\*Please limit to 500 words*

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| --- |
| [Are there areas where different approaches are required to meet the needs and/or enhance the experience of staff/students from different groups? What will these be?](#_Are_there_areas) |
| *Please add description here* |

*\*Please limit to 500 words*

**SECTION C: IMPROVING PERFORMANCE**

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| [How will improving the experience and outcomes of people from different groups contribute to effective policy/project/operational delivery?](#_How_will_improving) |
| *Please add description here* |

*\*Please limit to 500 words*

**SECTION D: ACTION PLANNING**

|  |
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| Action plan required. Please select a box. A template is provided below.  |
| [ ]  Yes[ ]  NoIf yes, review date: *Click or tap to enter a date.* |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Action** | **Intended improvement / outcome** | **Person responsible** | **Timeframe** | **Link to DMU Strategy** |
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| We would like to build an internal database of completed IOAs, to enable the sharing of good practice within DMU. Would you be willing to share your completed IOA? |
| [ ]  Yes[ ]  No |