

Staff Equality, Diversity & Inclusion

Annual Report 2012-13

Prepared by:

Jean Harrison, HR Director (Strategy & Development)

Nicola Davies, Head of Resourcing and Reward

Tim Olliver, HR Adviser, MIS

Date: October 2013

| CONTENTS | Page No. |
|---|-----------------|
| Section 1: Introduction and Executive Summary | 4 |
| Section 2: Recommendations for 2013/14 | 5 |
| Section 3: Progress against 2012/13 Recommendations | 5 |
| Section 4: Summary Reports: Staff Turnover and Diversity Profiles | 10 |
| Section 5: Legislative Issues and Casework | 14 |
| Section 6: Continuous Improvement: Awards and Accreditations | 14 |

NOTE:

Supporting charts and tables are attached as Appendices in a separate document

Appendix 1: Staff Profile by Turnover/Employment Type - 3 year trend analysis – Voluntary staff turnover in comparison with HE Average

1a: Staff Profile by Voluntary Turnover/Employment Type: Corporate Services

1b: Staff Profile by Voluntary Turnover/Employment Type: Schools

1c: Staff Profile by Voluntary Turnover vs All Turnover: Voluntary Leavers vs All Leavers

1d: Management Profile by All Turnover

1e: Management Profile by Voluntary Turnover

Appendix 2: Staff Profile by Disability - 3 year trend analysis: Staff disability in comparison with HE Sector average

2a: Staff Profile by Disability – Corporate Services

2b: Staff Profile by Disability – Schools

Appendix 3: Staff Profile by Ethnicity - 3 year trend analysis: Staff ethnicity in comparison to HE Average

3a: Staff Profile by Ethnicity – Corporate Services

3b: Staff Profile by Ethnicity – Schools

3c: Staff Profile by Ethnicity – Schools– 3 year trend

Appendix 4: Staff Profile by Gender - 3 year trend analysis: Female staff in comparison to HE Average

4a: Staff Profile by Gender – Corporate Services

4b: Staff Profile by Gender – Schools

4c: Staff Profile by Gender – Schools – 3 year trend

4d: Staff Profile by Gender – Senior Grades

Appendix 5: Staff Profile by Age– 3 year trend analysis – Age profile in comparison with HE average

5a: Staff Profile by Age: Staff Group

5b: Staff Profile Information by Age: Professional Support grades

5c: Staff Profile by Age: by Academic grades

Appendix 6: Staff Profile by Religion and Belief and Sexual Orientation

6a: Staff Profile by Sexual Orientation – 3 year trend

6b: Staff Profile by Religion & Belief – 3 year trend

Staff Equality, Diversity & Inclusion Annual Report 2012-13

Section 1: Introduction and Executive Summary

1.1 Purpose of Report

The purpose of the annual report is to:

- Summarise the current position of the University's effectiveness in maintaining and enhancing its nationally recognised equality, diversity and inclusion agenda.
- Satisfy legal compliance requirements.
- Highlight issues identified from regular monitoring and benchmarking and make recommendations for action.

Accurate equality information enables the University's management team to understand what steps need to be taken to; address diversity and equality issues in the structure and management of the workforce; prevent direct and indirect discrimination, and identify appropriate support for a diverse staff profile.

1.2 Executive Summary

1. All trends show positive improvements, albeit reflecting the incremental nature of profile changes in our establishment, which is a hallmark of our success in maintaining our existing diversity and consistently making minor changes in the profile across all characteristics in both large groups of staff. Westminster remains comfortably ahead of sector benchmarks with an improved voluntary turnover in both Corporate Services and Academic units but there is no room for complacency.
2. Targeted monitoring of key characteristics has identified the need to focus on BME staff retention and recruitment, in particular in middle and senior management roles, and some re-balancing of gender proportions in middle management groups and some academic discipline areas that are traditionally male-dominated. The curriculum review work and Faculty restructuring may offer opportunities for turnover, while work on staff retention, which remains just as important, continues to focus on developing career pathways and improved development and training to enhance our existing skill bases.
3. Overall turnover is now marginally higher than the Sector average which is on an upward trend and reflects recommended percentages in Sector benchmarking reports (management turnover 5-7% and staff turnover 7-9%).
4. While we will continue to ensure that impact assessments are used after all structural changes and recruitment exercises, many of the changes are too small to have a significant impact on our overall profile. Over time the incremental nature of changes ensures the maintenance of our existing profile but our priorities must continue to be focused on developing flexibility in our existing workforce and capability.
5. It is particularly important to ensure that the new HR Strategy and the HR Development Strategy reflect the need for a more proactive approach to incremental movements in the diversity profile. The single equality policy will be included in the consultations for the new HR Strategy and the revised Staff Development Policy.
6. There are plans to undertake data collection alongside the staff engagement and stress survey due to be launched end January 2014. This will seek to capture further information about the characteristics of our workforce and additional information about staff qualification levels and professional memberships to add to our PPDR platform. Although there were no specific data capture exercises in 2012/13 there were still small improvements in data capture.
7. The University may wish to formulate a strategy for securing national and sector awards and accreditations. Corporate Services maintained their 'Customer First' accreditation. Initial results of the LiFE (Learning in Future Environments) Index audit showed a silver award for the Leadership and Governance section. The Athena Swan Bronze Award submission was however unsuccessful for the second time. All external feedback suggests that effort needs to be focused on identifying evidence that links University policy and local practices, showing proactive delivery of targets and objectives related to EDI, and other, performance indicators.

Section 2: Recommendations for action for 2013/14

| 1. Implement HR Strategies to improve diversity of staff profile through attraction, retention or proactive management | Responsibility & Timeline |
|--|---|
| 1) Make SEG responsible for ensuring the implementation of these strategies and monitoring progress against EDI recommendations. | UEB SEG |
| 2) Implement workforce planning as part of the normal business planning cycle to ensure that all management teams consider all aspects of the staffing establishment of their unit, including the diversity of the profile. Workforce Plans - Corporate Services and Academic Unit Workforce Plans with objectives to 2015 | UEB HR Directors Unit Plans by 1 st March 2014 University capability plan by July 2014 |
| 3) Further enhance the diversity of our leadership and management groups, specifically BME and gender balance in targeted groups/disciplines. <ul style="list-style-type: none"> • Raise awareness of the need to be proactive in this through participating in the London Higher Diversity in London HE Leadership project. • Participate in LF Aurora programme – 7 places and provision of role models | UEB – Rikki Morgan-Tamosunas LOD team, HR By July 2014 |
| 4) Continue to develop staff networks to support groups representing protected characteristics <ul style="list-style-type: none"> • LGBT Network – Improve Stonewall • Women in Leadership (NEW) | SLD team, HR Ongoing As part of Aurora programme |
| 5) Develop and implement schemes to target and attract younger people into HE: <ol style="list-style-type: none"> 1. Talent Bank (a Student Affairs initiative) development. 2. Leadership in Research Programme (Vitae development programme run inhouse) 3. HR Excellence in Research Award 4. Apprenticeship schemes <ul style="list-style-type: none"> • early career academics and researchers • corporate services – all groups • Technician group | Senior Executive Group HR Development & Resourcing & Reward teams – deferred pending outcome of Technician’s review (Nov 2013) Student Affairs Employability Team and HR Resourcing & Reward Team |
| 6) Resource the activity for Athena Swann (Women in Science) University Bronze Award submission: <ul style="list-style-type: none"> • Develop action plan to address Athena Swan feedback • Audit practices against the HR Excellence in Research Award • Research support for undertaking the ECU Charter Mark scheme that extends the award to all discipline areas. | November 2014 January 2014 |
| 7) Develop and maintain career pathways to provide progression and promotion criteria for academic staff and professional support staff. | |

| | |
|--|--|
| <ol style="list-style-type: none"> 1. Complete the implementation of the Corporate Services Reviews. 2. Academic Career Pathways <ul style="list-style-type: none"> • Finalise the Learning & Teaching: Professional Standards Framework and develop mapping for career pathways in learning & teaching. • Make the Researchers Development Framework available in the PPDR. 3. Continue to support managers working with the PPDR implementation 4. Review and update the existing Competency Frameworks (Core and Leadership) as part of the HR Strategy development work; updating job descriptions to reference and link to the frameworks; drafting descriptions of University career pathways with supporting guidance. | <p>by April 2014</p> <p>tbc</p> <p>by December 2013</p> <p>ongoing</p> <p>by 31 July 2014</p> |
| 2. Monitor, benchmark and report progress | |
| 8) Continue to raise awareness of HR support and services for management teams working proactively on EDI agendas. | HR Advisory team |
| 9) Continue to collect information that relates to EDI generally, develop knowledge of gaps ('unknowns') in the characteristics reported to date (in consideration of data protection legislation), undertake regular benchmarking, where relevant, and recommend actions to address gaps. | HR, LOD and Services & Information teams |
| 10) Monitor replacement activities/criteria in academic units and advise on how to bring about change in the profile and mix | On-going advice is provided by HR on each individual vacancy to ensure each step of recruitment and workload allocation processes takes account of diversity considerations. |
| 11) Collect and collate information about EDI awards and accreditation held by London Universities and other competitors e.g Athena Swan, Stonewall, Disability Two Ticks, Disability Go, Charter Mark, liP Diversity Champion | |
| 3. Update and develop policy, and guidance for managers | |
| 12) Launch Single Equality Policy following appropriate approvals. | April 2014 |
| 13) Undertake a full review of the Disability Equality Scheme for impact in the context of completing the work on the Single Equality Policy. | This will be undertaken on completion of the consultation for the draft policy. |
| 14) Develop new skills development training for staff and managers and build diversity skills into all relevant programmes. <ul style="list-style-type: none"> • The revisions will be dependent upon funding in the 2013/14 HR budget allocation. | |
| 15) Contribute to the ECU funded research 'supporting the development of equality and diversity skills, knowledge and values in academic teaching staff in HEIs'. <ul style="list-style-type: none"> • Survey completion • Case Study submission | November 2013 |

Section 3: Progress against 2012/13 Recommendations

| Action | Progress/Status |
|---|--|
| Maintain Profile | |
| 1) Data Collection / Review and Report - Collect information that relates to EDI, including data on sexual orientation and religion and belief and monitor/report on an on-going basis. | Data has improved without carrying out a specific data capture exercise. The next data collection exercise has been deferred to beginning 2014 to support the gap analysis for the new HR Strategy. |
| 2) Develop early career schemes for 16-24 candidates based on SSSL work. | <ul style="list-style-type: none"> We have started to formulate how Apprenticeship schemes might do this at the University. A Researchers Network was launched in June 2013 in support of early researcher careers and the Graduate School and Wex. |
| 3) Improve Stonewall league table position by implementing feedback from 2012 assessment. 4) Continue to develop staff networks to support groups representing protected characteristics | <ul style="list-style-type: none"> There was an improvement in our Stonewall ranking following submission of the 2012/13 Stonewall Workplace Equality Index (WEI). Our 2012/13 ranking was 289th out of 376 private and public organisations, from 2011/12 position of 313th out of 363. The LGBT network will work with the Stonewall feedback to build on our strengths and work with HR on areas we can develop. The 2012/13 Stonewall Careers Guide has been prepared to communicate our salary scales, staff benefits etc and give staff the chance to talk about their experience of being gay and working here. We are currently reviewing the case for setting up and supporting networks for other protected groups. |
| % Launch Single Equality Policy_following appropriate approvals. | The draft policy is ready for consultation and will be launched following formal approvals. |
| Improve Profile | |
| 6) Monitor replacement activities/criteria in academic units and advise on how to bring about change in the profile and mix | On-going advice is provided by HR on each individual vacancy to ensure each step of recruitment and workload allocation processes takes account of diversity considerations. |
| 7) Resource the activity for the Athena Swann University Bronze Award submission, to support the REF 2014. | The outcome of the submission will be available at the end of September. If the University meets the standard, additional resources will be required to support Faculty submissions, implement an intensive action plan and research support for undertaking the ECU scheme that extends this award to all discipline areas. |
| 8) Support the need to change the mix of academic staff in all units to re-balance the profile. | This objective was subsumed into activities related to preparing the ground to implement workforce planning as part of the normal business planning cycle. |

| Action | Progress/Status |
|--|--|
| <p>9) Develop and maintain career pathways to provide progression and promotion criteria for academic staff and professional support staff.</p> | <p>1. Corporate Services Reviews - the aim of the Corporate Services reviews is to apply good practice organisation design principles to optimise staffing resources. One of the main objectives is to develop succession and career pathways. Approximately 66% of the CS Group has been designed in this way.</p> <p>2. Academic Career Pathways</p> <ul style="list-style-type: none"> • Learning & Teaching: Professional Standards Framework - work continues on the development of the HEA professional standards framework which will provide the basis for mapping career pathways in learning & teaching. • The Researchers Development Framework will be available in the PPDR in December 2013. <p>3. PPDR implementation</p> <ul style="list-style-type: none"> • The PPDR platform offers the opportunity for staff to use a range of competency frameworks in support of career development work. • Further work has been identified, including reviewing and updating the existing Competency Frameworks (Core and Leadership) as part of the HR Strategy development work; updating job descriptions to reference and link to the frameworks; drafting descriptions of University career pathways with supporting guidance. • These materials are also needed to support the Employer Branding Strategy (employer value proposition). The guidance will explain the pathways and how staff can get support for understanding how to develop their skills to achieve career aspirations, both inside and outside the University and HE Sector. • Greater awareness of how to access support for career development and the role of HR in the provision of that support needs to be developed, including within the HR Department. |
| <p>10) Encourage workforce planning as part of the annual planning cycle, including regular impact assessments to show changes in profile.</p> <p>11) Workforce Plans - Corporate Services and Academic Unit Workforce Plans with objectives to 2015 (by 1st March 2014).</p> | <ul style="list-style-type: none"> • Awareness-raising with senior managers continues. • Baseline preparation for introducing workforce planning to the University is complete. • Implementation plans are being developed and a project has been drafted and commissioned with an internationally recognised specialist. • Development of staffing/workforce plans will be embedded in to revisions to the annual planning processes. Deadlines for the production of plans have been revised to align with the 2013/14 cycle. |
| <p>12) Develop new skills development training for staff and</p> | <ul style="list-style-type: none"> • Review of the Diversity module Respect for People has shown that it urgently |

| Action | Progress/Status |
|---|--|
| managers and build diversity skills into all relevant programmes. | <p>requires updating and it needs to be redeveloped as an online learning module.</p> <ul style="list-style-type: none"> • The revisions will be dependent upon funding in the 2013/14 HR budget allocation. • Consideration will also be given to whether it remains a mandatory requirement for probation and whether or not to extend the revised module as a one-off exercise to existing staff. |
| 13) Undertake a full review of the Disability Equality Scheme for impact in the context of completing the work on the Single Equality Policy. | This will be undertaken on completion of the consultation for the draft policy. |
| 14) Develop Employer Branding strategy (presenting the University as an Employer of choice). | <p>The University's advertising agency will support the HR department in this work, highlights of activities to date include;</p> <p><u>2012</u></p> <ul style="list-style-type: none"> ✓ Gathering existing data e.g. Staff Engagement Results (strengths & weaknesses), University Vision, Strategy and Values, feedback from UEB and other Residentials. ✓ Gap analysis – support identified – action plan developed. <p><u>2013</u></p> <ul style="list-style-type: none"> ✓ Short-term improvements e.g. web pages ✓ Project Brief developed with advertising agency ✓ 2013 and 2014 - two Phases of work identified, costed and contracted for implementation . |

Section 4: Summary Reports: Staff Diversity Profiles

The trend data is based on the period 1st July 2012 to 30th June 2013. The profile data is a snapshot as at 30th June 2013.

4.1 Benchmarking Summary 2012-13: Table 1 - University position against Sector benchmark information

| Characteristic | UoW % | B'mark % | Status | Change in year |
|-----------------------------------|-------|----------|--------|---|
| Disability | 4.9 | 3.6 | ↑ | Disclosure rate higher than Sector average for the last four years. |
| Ethnicity | 23.3 | 10.8 | ↑ | No significant local change. Sector average has fallen by 0.5% since 2011/12. |
| Gender | 53.6 | 46.3 | ↑ | No significant local change. Sector average returns to 2010/11 level having risen by 9% in 2011/12. |
| Voluntary Turnover (resignations) | 7.2 | 6.7 | ↑ | Overall turnover is now marginally higher than the Sector average which is on an upward trend. |
| Age (45 to 65+) | 52.0 | 49 | ↑ | Higher than sector average by 3% and on an upward trend. 66% of academic staff in this age band, compared with 38.6% of CS staff. |
| Age (16 to 24) | 1.5 | 3.7 | ↑ | Lower than sector average by 2.2% on a shallow upward trend. |

4.2 Staff Diversity Summary Profiles (Appendices 1-6 refer)

1. Staff turnover – Appendix 1 refers

This analysis is included in the annual report because it is the mechanism that allows us to monitor the impact of a variety of changes on the University's staffing profile. Levels of staff turnover can have a significant impact on the success or otherwise of achieving University goals. Low turnover can restrict career opportunities, make cultural changes difficult to introduce or mean that the organisation misses out on fresh ideas. Too 'much' turnover can cause instability, impact on productivity and skill levels, and result in higher recruitment costs. We monitor both 'voluntary' turnover and 'all' turnover to review the difference. The former **does not** include, voluntary severances, end of fixed term contracts, retirements, redundancies, death in service, failed probations, dismissals etc.

- The headline figures show an average increase in the number of leavers 6.3% to 7.2%, marginally higher than the sector average of 6.7% which is also on an upward trend.
- As usual, the average figure masks the variations in turnover between the two main groups. The turnover in Academic Staff returned to 2010/11 levels from 2.4 to 4.4%. The Professional Support figure at 9.7% reflects a relatively stable position with a very small increase of 0.2% over the 12 months.
- There may be more change in the turnover of the academic group in 2013/14 as Schools implement planned re-structuring/re-organisation of departments to create new Faculty structures or revise management roles. At this point however HR is not aware of any such plans.
- Variations by School show turnover increases in WBS (15 leavers), SSHL (7 leavers), SABA (7 leavers) and MAD (11 leavers) which are fairly evenly spread across departments within these Schools. All others show a decrease from 11/12. With one exception, the department of Accounting & Finance in WBS, there were no significant indicators requiring investigation. Accounting & Finance is a subject area that experiences difficulty with attracting and recruiting

staff so initial analysis of exit interview questionnaires was undertaken but did not highlight any issues or concerns.

- e) The ratio of female to male voluntary leavers is 1.21:1 so there is an equal split of female:male leavers.
- f) The characteristic where voluntary leavers do not broadly represent the university population is age which has been a point of concern and policy work for some time:
 - 25-34 40.7% - significantly higher than university profile of 21.4%
 - 45-54 17.8% - significantly lower than university profile of 28.0%
 - 55-64 11.9% - significantly lower than university profile of 18.9%
- g) When comparing Voluntary Leavers to 'All Leavers', the figure increases from 7.2% to 10.1% which illustrates the difference between the two data sets. This is, however, the closest convergence between the two figures for three years. In 2011/12 there was a 9.6% difference.
- h) In 2012/13, 65% of the 'not voluntary' leavers (54) were due to the ending of fixed term contracts and 26% for reason of Compromise Agreements.

The "*Higher Education Workforce Survey 2013*", published by the Universities and Colleges Association (UCEA), noted that academic recruitment difficulties are not widespread but do vary considerably by discipline and grade, highlighting varied experience in the subject areas of; business, administrative studies, civil engineering, building and architecture. Increases in recruitment and retention challenges reported by HEIs included; IT professionals, managers, academic staff, senior executives, and, for some, marketing and alumni staff and technicians.

2. Disability – Appendix 2 refers

- a) Disability disclosure at Westminster has been consistently higher at 4.9% than the sector average, now 3.6%, over the last four reporting years.
- b) All Schools are moving in a positive direction and individually are above the sector average of 3.6%. Total disclosure has risen again, by 0.6% and is now 5.5%.
- c) The Corporate Services disclosure rate decreased from 4.7% to 4.2% and relates to 4 disclosures spread across different areas. This did not warrant further investigation.

3. Ethnicity – Appendix 3 refers

- a) The overall BME profile continues to remain stable at 23.3%, more than double the HE Sector average of 10.8%. The percentages reported in the categories of 'unknown' or 'information refused' are low and the overall position reflects a positive disclosure rate.
- b) WBS continues to show the highest representation at 28.9%. SSHL and SABE have the lowest representation at 10.4% and 10.2% respectively. While these percentages are lower than the sector average we do not have subject-specific trend data or benchmarks of a national picture to help position this information. The actual numbers of BME staff are the same in both Schools but the total headcounts have changed so percentages have gone up accordingly. SABE remains on a small upward trend.
- c) This relatively strong position is not reflected in the ethnicity profile of staff in more senior roles where the BME population is 6.4%. Any recent increases and/or decreases in changes are in single figures. Monitoring of applicants has also identified a drop in BME applicants for Senior Level positions (down by 6.1%). Consideration needs to be given to recruitment sources for all posts, including recruitment agency success in recruiting senior BME staff.

4. Gender – Appendix 4 refers

- a) The overall gender split is 53.6% with the percentage of female staff 7.3% higher than the HE average. The percentage increase is largely due to a reduction in the HE average, from 55.1% in 11/12 to 46.3% in 12/13. The local position remains relatively stable. 47% of academic staff and 61.3% of professional support staff are female.
- b) ECS and SABE have the largest gender differences probably reflecting traditional male-oriented disciplines but both show a small and continuing positive three year trend. The biggest increase

in gender change by School is reflected in Life Sciences with an increase of 10% over the last year.

- c) The gender split at senior grades increased slightly from 52.8% to 53.6%, attributed to an increase in female Heads of Department and Deans, now representing 50% of all senior academic post holders. There was a small decrease (0.8%) in female Professors attributed to the 'Academic Leaders' appointments of five new Professors, four of which were male.

5. Age – Appendix 5 refers

- a) The profile has not changed significantly since the last report which is unsurprising given the overall picture of a fairly static workforce profile. 52.0% of all Westminster staff are 45 and over.
- b) The overall age profile is higher than the HE average, specifically in the 35-44 and 55-64 groups. The number in the 65+ group is now higher than the sector average by 2.1% and will continue to increase slightly year-on-year due to low turnover. There is no notable impact to report at this time on the removal of the statutory default retirement age at 65 and the University's chosen default retirement age of 75. In order for the retirement age to be justified and implemented, the University must show evidence of at least 2/3 years of staffing planning.
- c) There are 29 staff in the 16-24 age group but there has been a positive increase this year to although the number in this group is half the Sector average. One possible reason may be that Westminster has contracted out job roles in catering, cleaning and security that in other circumstances may be of interest to School leavers. There may be fewer opportunities in the Corporate Services grades at NG0, NG1 and NG2, for this age category than other Universities across the country who may have these roles in-house.
- d) The Academic staff profile peaks in the 45 to 54 age category. 69.8% of Academic Managers are in the 55-65 and over age group. This position is exacerbated by low academic turnover and there is a clear case for reviewing how this staff group continues to be supported.
- e) There has been an even spread of new academic starters by grade and age, although 66.6% of new Professors and 100% of new Principal Lecturers, Readers and Heads of Department were aged over 45. This may however reflect traditional general progression in the academic career lifecycle. This also bears further investigation and it would be useful to identify discipline benchmarks if they are available.
- f) The Corporate Services group has a younger staff profile generally that 'peaks' in the 25-34 age category.
- g) There is a clear need for succession planning in all units and to look for interventions and strategies that address early career attraction and recruitment and investment in capability enhancements across all groups to ensure skills profiles are fit for purpose, now and in the future. HR developed an intervention to improve the turnover of Heads of Departments through the introduction of a 3-5 year rolling contract and provide more opportunities for senior academic role holders to take on management responsibilities e.g. Readers and Professors. Although two new Heads of Department were appointed in 12/13 to this new contract, implementation has not proceeded to plan and with such small numbers, impact in the short to medium term will be negligible. Other strategies for creating artificial turnover internally need to be identified.

6. Religion and Belief and Sexual Orientation – Appendix 6 refers

We need to acknowledge that a number of staff consider this information, in particular, to be sensitive, personal, information. Many Universities do not provide information about staff with these protected characteristics. It is therefore crucial that we are clear about our purpose for collecting the information.

The tables in Appendix 6 summarise data collected over three years, 2010-13. Although the information is incomplete, it shows an improvement in overall respondent rates which is encouraging:

- Responses about sexual orientation improved from 595 individuals in 2011/12 to 716 in 2012/13.
- Responses about religion and belief also improved from 587 in 2011/12 to 694 in 2012/13.

The positive decreases in the 'unknown' categories for both characteristics are not in response to a data gathering exercise. It is however still too early to draw any conclusions. The summary does provide improved insight about the overall richness of the profile of the University staff population. A data capture exercise is planned during 2013/14.

Section 5: Legislative Issues and Casework

5.1 Formal case work for the period 1st July 2012 to 30th June 2013

We continue to monitor formal and informal case work closely and undertake regular Impact Assessments. The small number of formal cases continues to make statistically significant comparisons difficult. In order to comply with Data Protection principles and protect individual confidentiality (and therefore the credibility) we have provided a high level summary of case numbers and type.

Table 2: Summary of Cases

| Type of case/year | 2010/11 | 2011/12 | 2012/13 |
|---------------------|-----------|-----------|-----------|
| Disciplinary | 12 | 7 | 8 |
| Grievance | 16 | 5 | 1 |
| Sub-total | 28 | 12 | 9 |
| Employment Tribunal | 6 | 2 | 1 |
| Total | 34 | 14 | 10 |

The figures show a significant and welcome decrease of 30% across formal cases over the last two years. 60% of all cases involved Corporate Services staff, 30% of cases involved full time academic staff, and 10%, Visiting Lecturers. The Tribunal claim was settled by a Compromise Agreement. The gender split of claimants was 50/50 male/female staff in comparison with 2011-2012, when 64% of all cases were brought by male staff. During the last 12 months within the HE Sector an average of 1.5 tribunal applications were made per 1,000 employees with 0.8 proceeding to tribunal. In addition, on average, 6.7 disciplinary cases and 2.6 grievance cases were experienced per 1,000 employees. When these benchmarks are applied our performance compares favourably.

5.2 Informal case work

The amount of staff time spent on informal cases represents a high percentage of each HR Manager/Adviser workload. We therefore track informal case work for monitoring and workload allocation purposes.

5.3 Policy Development & HR Capability

Revised grievance and disciplinary policies and procedures were published on 1st May 2012, to encourage a reduction in the numbers of issues escalating to formal case work through a variety of interventions including discussion and dialogue, mediation, and closer collaboration with trade union representatives. An ACAS Certificate in Internal Workplace Mediation was previously funded for a pool of HR Professionals and Trades Union Representatives to help underpin a mediation scheme with the aim of assisting in resolving workplace disputes before they become formal cases. In 2012/13, four employee cases involved workplace mediation.

The launch of the revised policies was supported by an ACAS in-house training course *Managing Investigations*, the aim of which was to train a University pool of investigators to improve the consistency and quality of investigations. In addition to HR Professionals and Trades Union representatives, it was also offered for a range of Managers to ensure consistency of knowledge across all stakeholder groups and to enable sharing of experiences and information about prior cases and their treatment. A suite of template letters and guidance notes were also published on the Managers Toolkit web pages.

5.4 Legislative and Compliance Changes

The following employment legislation changes were addressed in our policy work:

- Pensions Auto-enrolment Scheme.
- Changes to Vetting and Barring Scheme.
- Increase in parental leave (from 13 to 18 weeks).
- Changes to tribunal charging and procedures.
- Increases to statutory maternity, paternity, adoption and sick pay.
- Increase in qualifying periods for unfair dismissal claims (from 1 year-2 years).
- Repeal of Third Party Harassment provisions.
- European decisions towards clarifying the limits of equality law.

In addition, imminent changes to International Accounting Standards have required consultation on the revision of the annual leave year to enable standard reporting and a formal change in the leave year.

Finally, there have been a number of recent employment tribunal decisions which have established principles to further aid the definition of 'belief' and, as a result of the European Court of Human Rights cases, the Equality and Human Rights Commission (EHRC) have produced new guidance for employers, to assist with future casework and policy development in this area. The University's new Single Equality Policy is now ready for consultation and should help simplify this complex area of responsibility for managers.

Section 6: Continuous Improvement: Awards and Accreditation

Although the University has no specific strategy for undertaking work to achieve national and sector accreditations, the Corporate Services has continued to maintain and improve accreditations against Investors in People and Customer First, the most recent being the reaccreditation of the group's Customer First Award. Both of these standards have indicators that require evidence of good practice in EDI management and implementation.

Initial results of the LiFE (Learning in Future Environments) audit submitted in May 2013 have indicated a silver award for Westminster for the Leadership and Governance section of the Index. Final results will be published following submission of additional information requested by the awarding panels.

While the submission for the University's Athena Swan Bronze award was unsuccessful, the feedback will prove useful in targeting resources on future work. The Athena Swan and LiFE feedback showed clearly that University policy frameworks, implementation processes and development and support mechanisms, only require regular updating, which would happen as part of a continuous improvement process. Our main effort needs to be focused on ensuring that local management practices can provide evidence that shows consistent implementation of University policies and proactive delivery of targets and objectives related to EDI, and other key performance indicators. It is the weakness in the connections between University level policy and local practices that many assessors have identified. As a solid framework for building the next Athena Swan submission HR will be auditing practices against the European HR Excellence in Research Award and reviewing the new Equality Challenge Unit's Charter Mark aimed at non-STEM disciplines.