**DIVERSITY MONITORING GUIDELINES**

It is good practice to gather information on the diversity breakdown of employees, members, applicants, attendees at events etc. in terms of gender, age, disability, ethnicity, religion and belief, sexual orientation and any other characteristics of focus within the organisation (e.g. socioeconomic background, geographic location). This information can then be used to monitor the effectiveness of an organisation’s Diversity & Inclusion (D&I) policy.

A suggested format for a Diversity Monitoring Form is included in Appendix A. The diversity categories included in the form follow the categories within the UK Census.

Science professional bodies and learned societies would benefit from breaking down their diversity monitoring by the following:

1. Membership – split by members, fellows and any other membership grades
2. Registrants – split by CSci, RSci, RSciTech, CSciTeach
3. Governing body and associated decision-making structures (e.g. councils and committees)
4. Employees
5. Attendees at events/conferences etc.

**Global diversity monitoring**

Outside of the UK, legislation relating to Diversity monitoring is different in each country. Where an organisation operates outside of the UK, it is recommended that they seek guidance from within the country that they are operating as to what is legally and culturally acceptable within that country.

**Why monitor?**

Diversity monitoring can help to:

* Build reputation: the best performing[[1]](#footnote-1) organisations are those that invest most on promoting diversity and inclusion in their workforce;
* Improve productivity[[2]](#footnote-2): valuing and supporting the diversity of people’s backgrounds and lifestyles is important in making the most of the contribution that they can make to organisational performance;
* Recruit and retain the best from the widest talent pool;
* Identify and address any inequalities in the application of employment policies and facilitate specific adjustments or interventions;
* Avoid risk: by helping to avoid damaging and costly employment tribunals or negative publicity.

Under the General Data Protection Regulation (GDPR), it is possible to gather and analyse information about employees, applicants, membership etc. for diversity monitoring purposes, as long as the organisation has the legal basis for processing the data and, where applicable, are able to meet the rules that relate to processing Special Categories of Personal Data (e.g. race, sexual orientation). To monitor the effectiveness of an organisation’s Diversity and Inclusion policy would meet the legal basis for processing the data.

What are the diversity characteristics?

The Equality Act 2010 sets out nine protected characteristics: age, disability, gender reassignment, marriage and civil partnership, race, religion or belief, sex, and sexual orientation that should be used when collecting diversity data. Other useful categories include caring responsibilities, working pattern, geographic location and socioeconomic background.

How and when should diversity data be collected?

* For employees it is good practice to ask for diversity information at the recruitment stage
* For members at the point of joining would be the opportunity to ask for diversity data
* For registrants when applying for registration
* It is also good practice to ask as part of registration for events, people applying for
awards/grants etc.

Information can be requested via an online form or using a paper form. It needs to explicitly say that the information is not being used to make any decisions about suitability for a role, grant etc. and that it will be kept separately from any other information.

What are the general principles for collecting diversity data?

* Explain why you are collecting the information e.g. to ensure that the organisation’s
workforce is representative of the local/UK population; to ensure that we have a diverse pool of talent
* Emphasise privacy and confidentiality and the data protection aspects i.e. how the
information will be stored and used
* Work with in-house Data Protection teams, employee representative groups and employee networks on large scale data gathering exercises
* Use a ‘Prefer not to say’ option. This will help to increase the response rate, highlight where there might be resistance/concerns and build this into ongoing communications to encourage completion
* It is possible to use ‘consent’ as the legal basis for processing the data as the employees, applicants etc. have a genuine choice as to whether or not to provide the information and there are no adverse consequences for those who choose not to provide it.

How and when do I use the diversity data?

Diversity data should be used to monitor impact and outcome for different groups at all stages of the employee life cycle e.g. recruitment, measuring the diversity of people receiving awards, measuring the diversity of registering, measuring the diversity of registrants etc.

This information can then be used in promoting the organisation and the work that it is doing to achieve a diverse and inclusive culture within it. This can be done via inclusion in an annual report, publicity via social media, inclusion within publications linked to the organisation both internally and externally, etc. This will have an impact on the brand of the organisation by demonstrating its commitment to diversity and inclusion.

**Gathering data - encouraging declaration**

When asking individuals to share their diversity information, it is really important to explain the following:

* Explain why the information is being asked for
* The commitment of the organisation to their Diversity & Inclusion policy
* Describe what will be done with the data
* Identify who will have access to the data
* Give a named contact for further information
* Stress the usefulness of individuals contributing their data
* Give, where possible, examples of where positive change has happened as a result of monitoring.

This is an example of how a statement could be written:

*The (name of organisation) is committed to ensuring that it is accessible to everyone regardless of gender, ethnicity or nationality, disability, religion, sexual orientation, gender reassignment, socioeconomic background or age. We aim to foster an environment free from harassment and unfair and unlawful discrimination where everyone is treated fairly. We gather and analyse diversity data to assess the extent to which we are achieving our diversity and inclusion aims. We use this information to review our processes to ensure they are fair and transparent, and do not have an adverse impact on any particular group.*

 *All information provided will be treated as strictly confidential in accordance with the (name of organisation)’s Privacy Notice in line with the General Data Protection Regulation (GDPR) 2018. The information will only be used for statistical purposes with access restricted to staff involved in processing and monitoring the data. It will not be seen by anyone involved in any selection processes. No information will be published or used in any way that allows individuals to be identified.*

 *We recognise that some people may regard this information as private and have therefore included the option of ‘prefer not to say’ in all categories. You do not have to complete the form but it will help us improve our services and processes if you can complete as much as possible.*

 *To find out more about why we gather this information contact:* *email.name@organisation*

**Diversity Monitoring and Data Protection**

Diversity information for an individual falls within the scope of ‘sensitive personal data’ under GDPR 2018. The Data Protection Action 2018, which supplements the provisions of the GDPR, includes a limited provision that specifically allows these types of special category data to be processed for the purpose of monitoring equality of opportunity or treatment between different groups.

It cannot be assumed that an individual who is willing to complete a diversity questionnaire explicitly consents to you storing, analysing, reporting and publishing their data. You must give clear information on the questionnaire about how you will use the data and how long you will store it.

The individual must be asked to give explicit consent to the use and storing of this information by having a positive ‘opt-in’ box on the form.

**The three stages of diversity monitoring**

There are three stages of diversity monitoring:

* Collecting diversity data
* Aggregating and reporting the data
* Publishing the data.

Stage 1: Collecting diversity data

You cannot assume that by completing a diversity questionnaire your members, registrants or employees also agree to you storing, analysing, reporting and publishing their responses. So, you need to be explicit about what the information is going to be used for, who it might be shared with (in an aggregated form) and how long it will be stored.

There are no rules on how you should collect the data, so you’re free to be as creative as you like. You can e-mail the questionnaire, distribute paper copies or use an online survey. You will find a sample questionnaire in the appendix which can be used for guidance.

**Stage 2: Aggregating and reporting data**

The information gathered should be stored in such a way that it is *anonymous* and it is *not possible to attribute to an individual.* This can then be used to complete analysis of, for example, the diverse makeup of the employees in a company or the diverse makeup of members of an organisation etc. Where the information is being used to track a selection process for example, it will need to be attributable to the individual, however when reporting this should be anonymous so that individuals are not able to be identified.

Thought needs to be given to the sample size and when it could be possible to identify individuals if the sample size is small e.g. under 50 people.

Many organisations will report their diversity characteristics in their annual reports or on their websites. There may be occasions where other organisations e.g. the Science Council, may ask for aggregated information on the diverse makeup of an organisation to provide a profile of the science workforce.

**Stage 3: Publishing data**

To help provide a more accurate picture of diversity across science, science professional bodies and learned societies are encouraged to share anonymised diversity data with the Science Council for aggregation with other data. Individual science professional bodies and learned societies are also encouraged to, and should, publish their individual data in an anonymised form. However, in doing so, to ensure anonymity, smaller organisations may combine membership/registrant categories, or publish for total membership, registrants or governance to avoid the risk of identification.

If an organisation is in a position to publish data in an anonymised form, it should:

* Make this clear to your employees
* Be very careful that no individual can be identified from the way in which you have
published the data.

**Retaining diversity data**

The D&I Progression Framework encourages all Science Council professional bodies and learned societies to collect diversity data so that the diversity of people attending events etc. can be monitored. This is part of the requirements within the maturity model.

Monitoring the diversity of your members and registrants will inevitably involve retaining diversity data over a period of time and you should be aware of the GDPR requirement not to keep data for longer than necessary.

If you do monitor your organisation’s diversity trends, any meaningful changes could take years to materialise, which will involve retaining data for a lengthy period. You should not retain data going further back than the period you intend to monitor, so if you want to monitor data over a five-year period, you should not retain data going back more than five years.

**Appendix**

 **SAMPLE DIVERSITY MONITORING FORM**The form below is an example of a monitoring form organisations might find useful in designing monitoring for their registrants, members and/or employees. Expanded and comprehensive categories have been included based on those used by national data collectors. However, it is up to individual organisations to adapt the form to suit their requirements.

|  |  |
| --- | --- |
| **1. Professional registration**(Please tick the level that applies) | ☐CSci☐CSciTeach☐RSci☐RSciTech☐Application in progress☐Not yet registered |
| **2. Membership category**(Please tick the grade that applies) | ☐Student☐Associate☐Affiliate☐Member☐Fellow☐Honorary Fellow☐Other, please specify |

**3. Gender**What is your gender?
☐Female ☐Male

☐Prefer not to say ☐Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**4. Gender Identity**
Is your gender identity the same as the gender you were assigned at birth?
☐Yes
☐No
☐Prefer not to say

**5. Age**Please indicate from the list which best describes your age group

|  |  |  |
| --- | --- | --- |
| ☐15-19 ☐20-24 ☐25-29 ☐30-34 ☐35-39 ☐40-44  | ☐45-49 ☐50-54☐55-59☐60-64☐65-69☐70+ | ☐Prefer not to say |

**6. Nationality**This question is about the country or nation that you belong to. Please tick one option that most accurately describes your nationality:
☐UK/British
☐English
☐Welsh
☐Scottish
☐Northern Irish
☐Irish
☐Other EU (includes: Belgium, France, Germany, Italian, Netherlands, Luxembourg,
Denmark, Ireland, Greece, Portugal, Spain, Austria, Sweden, Finland, Cyprus, Czech
Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Slovakia, Slovenia, Bulgaria,
Romania)
☐Non-EU
☐USA
☐Australian
☐New Zealander
☐Chinese
☐Chinese (Hong Kong SAR)
☐African (excluding South African)
☐South African
☐Indian
☐Pakistani
☐Bangladeshi
☐Other, please specify \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
☐Prefer not to say

**7. Ethnic origin**This question is not about your nationality, place of birth or citizenship – it is about the cultural group to which you perceive you belong. Please tick one option you feel most accurately describes you.

**White**☐British
☐Irish
☐European
☐Any other White background, please describe \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Mixed / Multiple ethnic backgrounds**☐White and Black Caribbean
☐White and Black African
☐White and Asian
☐Any other Mixed/Multiple ethnic background, please describe\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Asian / Asian British**☐Indian
☐Pakistani
☐Bangladeshi
☐Chinese
☐Any other Asian background, please describe \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Black / Black British**☐African
☐Caribbean
☐Any other Black/African/Caribbean background, please describe\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Other ethnic group**☐Arab
☐Any other ethnic background, please describe \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
☐Prefer not to say

**8. Disability**The Equality Act 2010 defines a disabled person as someone who has *‘a physical or mental
impairment which has a ‘substantial’ and ‘long-term’ adverse effect on his/her ability to carry out normal day to day activities.’*

For example, this can include diabetes, learning difficulties, hearing or speech impairments, arthritis, heart problems, epilepsy etc. Do you consider yourself to have a disability as defined above?
☐No
☐Yes
☐Prefer not to say

**9. Sexual orientation**Please indicate from the list which best describes your sexual orientation
☐Gay woman/Lesbian
☐Gay Man
☐Bisexual
☐Heterosexual/Straight
☐Other
☐Prefer not to say

**10. Religion**Please indicate from the list which best describes your religion or belief
☐No religion
☐Christian (including Church of England, Catholic, Protestant and all other Christian
denominations)
☐Buddhist
☐Hindu
☐Jewish
☐Muslim
☐Sikh
☐Any other religion, please specify\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
☐Prefer not to say

|  |
| --- |
| **Your consent***I hereby give my consent for the monitoring information provided on this form to be held onthe computer or other relevant filing systems and to be shared with other accreditedagencies (for instance to understand the diversity of those receiving science related grants and awards from a number of organisations) in the understanding that* ***it will only be used forstatistical purposes and handled in compliance with the*** *[insert organisation name]* ***Privacy Notice in line with the General Data Protection Regulations 2018.***Full name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Signed \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Please check this box if you are filling in this form electronically to show that you read thedeclaration above ☐ |

Thank you for completing the form

*Thanks to the Royal Academy of Engineering for permission to adapt this guidance.*

1. McKinsey research “Diversity Matters” 2015<https://www.mckinsey.com/~/media/mckinsey/business%20functions/organization/our%20insights/why%20diversity%20matters/diversity%20matters.ashx> [↑](#footnote-ref-1)
2. “Waiter is that inclusion in my soup?” Deloitte 2013 <http://www2.deloitte.com/content/dam/Deloitte/au/Documents/human-capital/deloitte-au-hc-diversity-inclusion-soup-0513.pdf> [↑](#footnote-ref-2)