Sheffield Hallam University - REF 2021 Equality Impact Assessment

Introduction

REF 2021

The Research Excellence Framework (REF) is the UK's system for assessing the quality of research in higher education institutions. The threefold purpose of the REF is: i) to provide accountability for public investment in research and produce evidence of the benefits of this investment, ii) to provide benchmarking information and establish reputational yardsticks, for use within the HE sector and for public information, and iii) to inform the selective allocation of funding for research. The REF is a process of expert review, carried out by expert panels, made up of senior academics, international members and research users.

Purpose

The purpose of this Equality Impact Assessment (EIA) is principally to identify whether there was an imbalance in terms of gender, disability, ethnicity, age, working pattern and occupancy between all Category A Eligible Staff and Category A Submitted Staff, as defined in the REF Guidance on Submissions. This is the 'outcome data' of ongoing initiatives to ensure the University's REF submission is as representative of the overall academic population as possible.

Historic trends of under-representation have been monitored, and interventions have sought to reduce any significant gaps. This EIA presents these trends and identifies both a generally positive direction of travel, and any remaining areas of imbalance. A significant marker of the progress made in this area is that **female staff make up 47% of our REF 2021 submission** compared with 41% in 2014, while **our submission is comprised of 15% BME staff** compared with 8% in 2014.

Responsibilities

The REF governance and management structures are set-out in Appendix 1 of the University's REF Code of Practice (www.shu.ac.uk/research/quality/research-excellence-framework/code-of-practice). The Dean of Research is ultimately responsible for matters relating to REF, including equality and diversity and this EIA. The Dean of Research is advised by a REF Management Group.

Background

Context

The University is intent on advancing equality and diversity as key features within all its activities, as it believes this to be ethically right and socially responsible. Equality and diversity are essential factors that contribute to the academic and business strengths of the University.

The University believes that excellence will be achieved through recognising the value of every individual. We aim to create an environment that respects the diversity of staff, students and other stakeholders in the University's community and enables them to achieve their full potential, to contribute fully, and to derive maximum benefit and enjoyment from their involvement in the life of the University. Through the principle of inclusivity, the talents of all individuals should be utilised to achieve organisational goals.

To this end, the University acknowledges the following basic rights for all members and prospective members of its community:
- to be treated with respect and dignity
- to be treated fairly with regard to all procedures, assessments and choices
- to receive encouragement to reach their full potential

These rights carry with them responsibilities and the University requires all members of the community to recognise these rights and to act in accordance with them in all dealings with fellow members of the University. In addition, the University complies with all relevant legislation and good practice.

As an equal opportunities employer, the University seeks to create conditions whereby staff are treated solely on the basis of their merits, abilities and potential, regardless of gender, race (incorporating colour, nationality, ethnic or national origin), age, socio-economic background, disability, religious or political beliefs, family circumstance, sexual orientation or any other irrelevant distinction. Further information on the University's commitment to equality and diversity can be found at: www.shu.ac.uk/about-us/equality-and-diversity.

Equality and Diversity in REF Processes

The University's commitments to Equality, Diversity & Inclusion (EDI), particularly in terms of ensuring fairness in the designation of significant responsibility and the selection of outputs were set out in the University's REF Code of Practice: www.shu.ac.uk/research/quality/research-excellence-framework/code-of-practice

The inclusion and performance of staff has been monitored in periodic internal research assessments throughout the REF period. EIAs were produced in 2015, 2017, 2018 and 2019 to this end. Data-informed recommendations are then embedded into action plans for Athena SWAN (www.shu.ac.uk/about-us/our-values/equality-and-diversity/what-is-athena-swan/athena-swan-at-sheffield-hallam) and the Concordat to Support the Career Development of Researchers (https://www.shu.ac.uk/research/quality/ethics-and-integrity/the-concordat-to-support-the-career-development-of-researchers).

This report presents the final submission data in the context of continuous monitoring and interventions, compiling six datasets over the seven-year period (using the 2014 return data as a baseline).

EDI has been a fundamental consideration in all aspects of REF preparation and management. All key decision-makers, including members of Unit of Assessment (UoA) reading groups, have received appropriate general EDI, unconscious bias and REF-specific E&D training.

Interventions 2014-2020

Internal research assessment exercises (known as Mini-REFs and later Draft REFs) were explicitly inclusive. Every member of staff with a research output published during the prior 18-month census period was pro-actively encouraged to submit it for review and feedback. It was communicated as a development exercise, where everyone would receive constructive feedback on enhancing the quality of future outputs. The later introduction of the Elements publication management system, with its automated harvesting functionality, also ensured the outputs of any researchers lacking confidence to put forward their work would also be brought to the attention of their UoA reading group.

An embedded policy to ensure the responsible use of research metrics and signing of the San Francisco Declaration on Research Assessment (DORA) mandated that all recruitment and promotion processes are based on first-hand qualitative assessment of samples of research quality. The selection of outputs for the REF submission was also undertaken solely on the basis of peer review by UoA reading groups (more than one reviewer for each output, plus external moderation).

Introduction of mandatory equality essentials training and unconscious bias training for staff across the University, with those in management roles or responsible for recruitment being required to also complete a second module in unconscious bias. (*2014 EIA recommendation*)

University-wide mentoring is provided by a hub of more than 100 mentors. Professors and readers mentor junior colleagues as part of their leadership roles. Female researchers can also access the internal Aspire scheme, developed by the University's Women Professors' Group, or the Aurora scheme, run by AdvanceHE - to help address gender imbalance in senior roles. (*2014 EIA recommendation*)

A comprehensive researcher development programme (SHaRD) has now been embedded, running courses for Early Career Researchers to introduce them to the fundamentals of producing quality research, and includes related concepts such as research impact and publication strategies. Since 2018, an annual University-wide Creating Knowledge conference has also supported researchers' development and incorporated specific strands for ECRs (*2014 EIA recommendation*).

The REF Code of Practice actively addresses issues of part-time staff by setting the Significant Responsibility for Research time allocation threshold as a percentage, rather than a fixed hour time allocation or decimal FTE. The Code of Practice committed that: "It is the capability of being able to produce high quality research that is being recognised by the allocation of research time… So staff are facilitated to contribute research at a pro-rated rate… This may create cases where staff on fractional contracts with significant responsibility for research have fewer actual hours for research than some full-time staff without significant responsibility for research; but this is consistent with the principles of the Part-Time Workers (Prevention of Less Favourable Treatment) Regulations 2000… It is a recommendation that research time provided should normally be blocked into whole days, and this is particularly to be applied to part-time staff."

The Code of Practice also introduced the concept of 'representativeness' to the criteria for selecting outputs, specifically that: "Output selection decisions will be evidence-based and will refer back to the fundamental criteria of first, research quality and second representativeness of the community (both in terms of demographics/diversity profile and research themes)."

During 2018/19 we introduced a 'Career Kickstart' fund, where gold open access Article Processing Charges (APC) funding was targeted specifically at parental leave returners and ECRs. Since its introduction, 26% of our total open access funds have supported Career Kickstart.

A university-wide ECR Network was launched in 2018, with funding to facilitate collaborative and developmental initiatives (e.g. research cafes, poster sessions, writing for publications events). The Network is inclusive and covers all new or returning researchers. ECR representatives are embedded throughout our governance structures, providing a voice in decision-making, ensuring two-way communications with researchers.

Since 2018, £1.3million has been invested across seven funding streams to support researchers at all stages of their career to stimulate research and impact activities. Three of the schemes, the Chancellor's Fellowship Fund, the Platform Challenge Fund and the Strategic Investment Fund, were designed to pump-prime activity; the others were focused on developing international collaborations, cluster funds to support research networks, and impact funding. 86 awards were made. A proportion of funding was ring-fenced for the development and support of ECRs.

We hold an institutional Athena SWAN Award (bronze) and gender equality work is recognised at discipline levels: Nursing/UoA 3 (bronze), Psychology/UoA 4 (bronze), Bioscience/UoA 5 (silver), Engineering/UoA 12 (bronze) and Built Environment/UoA 13 (bronze). We are members of the AdvanceHE Race Equality Charter, the Women's Higher Education Network, hold the DWP's Disability Confident Leader status and are a Stonewall Diversity Champion. We have university-wide infrastructures to support diverse communities, through our LGBT+, race, disability, parent/carer and genders networks. We have also held the HR Excellence in Research Award throughout the entire REF census period.

Scope

This EIA is reviewing the outcomes of commitments set-out in the University's 2014 REF EIA, four interim EIAs, and the institutional REF Code of Practice.

In terms of the specific REF procedures, the Code of Practice details how:
- Significant responsibility for research was determined by either: role, a time allocation threshold or role descriptor/PDR objectives, depending on the job title/grade of staff.
- Separate determination of research independence was only applicable to research-only grade 7 staff and depended on individuals actively demonstrating they were meeting the REF guidance criteria.
- Selection of outputs was determined by two basic criteria: i) quality and ii) representativeness of the UoA.

The submission data, particularly comparison between the eligible and submitted population, will be used to analyse the outcomes of these procedures.

The EIA covers the four principal protected characteristics - gender, disability, ethnicity, age; plus working pattern and contract type. These are the characteristics for which comprehensive data is collected and that allows robust analysis to be undertaken. The primary focus will be on the final REF submission data with reference to analyses of earlier interim EIAs: 2015, 2017, 2018 and 2019 (University committee paper reference numbers: RIC 1/16/7, RCOG 3/17/5, RCOG 3/19/1 and RCOG 3/19/2). The full interim EIAs are all appended.

For the purposes of REF and HESA returns, the definition of staff is as follows:
- Category A eligible staff are defined as academic staff with a contract of employment of 0.2 FTE or greater, whose primary employment function is to undertake either 'teaching and research' or 'research only'.
- Category A submitted staff are those from the Category A eligible staff pool who, through appropriate process as set out in the University's Code of Practice, are determined to have both significant responsibility for research and be an independent researcher. All Category A submitted staff were returned in the REF.

It should be noted that since the Stern Review and adoption of the concept of significant responsibility for research, the traditional grouping of individuals into 'eligible', 'considered' and 'submitted' categories in our earlier interim EIAs has been superseded, with the 'considered' category now obsolete.

Analyses

Methodology

Tables present the number and percentage of staff from the respective equality groups, for both submitted and eligible staff. Where an equality group is seen to be 5% below the average, and with a sizable sample, this gap is considered 'significant'; and worth further comment and/or investigation. Please note this is not a statistical significance measure.

The data is all based on headcount rather than FTE. The final REF submission data showed that of a total pool of 1,557 category A eligible staff, 500 (32%) were classified as having significant responsibility for research (SRfR), and were therefore category A submitted staff.

Gender

1. In the total eligible staff pool the percentage of females to males was almost equal, with a slighter higher proportion of female staff. The submitted pool consists of 47% of females compared to 53% males. This meant that 30% of eligible females were included in the

submission compared to 35% of males. This gap however remains within 5% of the mean, so is not considered significant.

Gender	Eligible	Submitted	Submitted as proportion of eligible
Female	798 (51%)	236 (47%)	30%
Male	759 (49%)	264 (53%)	35%
Total	**1557**	**500**	**32%**

Table 1. Number of eligible staff and staff with significant responsibility for research (SRfR) by gender for the final REF submission. Data in parentheses show female and male staff as a proportion of the total for each pool.

2. <u>Impact Case Study (ICS) authors</u>: Data on ICS authors by gender has been included in this EIA, in addition to overall staff inclusion. This data is based on all individuals who were listed as authors across the University's 45 REF3 submissions. Interim EIAs from 2017 onwards had included data analysis of 'lead' authors only, so this submission-based analysis is a richer data set. 59% of ICS authors were male, compared to 41% female.

3. Of particular note is that five of the 45 principal authors took periods of maternity leave during the REF census period, which is potentially an encouraging indication of the support provided to them upon their returns.

Gender	Eligible	ICS Authors	Authors as proportion of eligible
Female	798 (51%)	41 (41%)	5%
Male	759 (49%)	58 (59%)	8%
Total	**1557**	**99**	**6%**

Table 2. Number of eligible staff who were contributors to impact case studies submitted to REF 2021. Data in parentheses show female and male staff as a proportion of the total for each pool.

4. <u>Research Independence</u>: 49 individuals were eligible to be considered under the independence criteria (grade 7 research-only staff). There is a significant gap between eligible and independent pools, with females being more likely to be independent. This particularly shows disciplinary difference: whereas the majority of staff were determined to be independent, this was not the case in Panel B, where only 27% of staff were; and 100% of the eligible grade 7 staff in Panel B were male. In terms of meeting the independence criteria, it was felt that in general more junior staff are less likely to be making independent grant applications and leading their own work programmes in physical sciences than other disciplinary areas. If Panel B is excluded, the proportion of eligible males submitted increases to 61%.

Gender	Eligible	Independent	Submitted as proportion of eligible
Female	24 (49%)	16 (55%)	67%
Male	25 (51%)	13 (45%)	52%
Total	**49**	**29**	**59%**

Table 3. Number of eligible staff who were submitted as independent to REF 2021. Data in parentheses show female and male staff as a proportion of the total for each pool.

5. <u>Selection of Outputs</u>. The proportion of category A submitted staff and the total number of outputs selected for these staff by gender are identical - 47% female and 53% male - indicating there was no bias at all present in the selection of outputs.

Gender	Submitted Staff	Submitted Outputs
Female	236 (47%)	496 (47%)
Male	264 (53%)	550 (53%)
Total	**500**	**1046**

Table 4. Number of submitted staff compared to outputs selected for these staff by gender for the final REF submission.

Disability

6. In the eligible pool 85% of staff declared as non-disabled and 5% declared themselves disabled. 33% of the eligible pool of declared non-disabled staff and 29% of the total declared academic disabled staff were included in the submission. This gap however remains within 5% of the mean, so is not considered significant.

Disability	Eligible	Submitted	Submitted as proportion of eligible
No	1330 (85%)	433 (87%)	33%
Yes	85 (5%)	25 (5%)	29%
Unknown	142 (9%)	42 (8%)	30%
Total	**1557**	**500**	**32%**

Table 5. Number of eligible staff and staff with significant responsibility for research (SRfR) by disability. Data in parentheses show non-disabled, disabled and unknown staff as a proportion of the total for each pool.

Age

7. All age profiles of staff included in the submission were within 5% of the average or higher than the average; with the exception of the 55-59 age group where 26% of the total academic pool of staff were included; and the 21-24 age group where the sample size was too small to indicate any imbalance.

8. The 55-59 age group has also been under-represented in previous EIAs (see appendices), and this is believed to relate to the increase of managerial roles at that career stage.

Age	Eligible	Submitted	Submitted as proportion of eligible
21-24	1 (0%)	0 (0%)	0%
25-29	18 (1%)	5 (1%)	28%
30-34	126 (8%)	44 (9%)	35%
35-39	211 (14%)	84 (17%)	40%
40-44	243 (16%)	91 (18%)	37%
45-49	235 (15%)	71 (14%)	30%
50-54	296 (19%)	81 (16%)	27%
55-59	233 (15%)	61 (12%)	26%
60+	194 (12%)	63 (13%)	32%
Total	**1557**	**500**	**32%**

Table 6. Number of eligible staff and staff with significant responsibility for research (SRfR) by age. Data in parentheses show each age band as a proportion of the total for each pool.

Ethnicity

9. The majority of staff in the eligible academic staff pool were white, which was also observed for the SRfR pool. Due to the small sample sizes across all other ethnic groups limited granular analysis could be undertaken. However, examination of these groups combined found that the total submitted rate of staff from all minority ethnic groups combined was, 41% compared to 31% of white staff (White British and White Other).

10. Overall, 15% of submitted staff are BME (all groups except White British and White Other; excluding not knowns). This compares with 12% of the eligible group and the UK population of 14% (2011 Census).

Ethnicity	Eligible	Submitted	Submitted as proportion of eligible
Arab	9 (1%)	3 (1%)	33%
Asian Or Asian British - Bangladeshi	10 (1%)	2 (0%)	20%
Asian Or Asian British - Indian	28 (2%)	11(2%)	39%
Asian Or Asian British - Pakistani	9 (1%)	4 (1%)	44%
Black Or Black British - African	21 (1%)	7 (1%)	33%
Black Or Black British - Caribbean	5 (0%)	1 (0%)	20%
Chinese	34 (2%)	17 (3%)	50%
Mixed - White And Asian	10 (1%)	2 (0%)	20%
Mixed - White And Black African	2 (0%)	0 (0%)	0%
Mixed - White And Black Caribbean	2 (0%)	0 (0%)	0%
Other Asian Background	33 (2%)	16 (3%)	48%
Other Black Background	2 (0%)	2 (0%)	100%
Other Ethnic Background	6 (0%)	3 (1%)	50%
Other Mixed Background	12 (1%)	7 (1%)	58%
Other White Background	87 (6%)	40 (8%)	46%
White	1181 (76%)	356 (71%)	30%
Not Known	106 (7%)	29 (6%)	27%
Total	**1557**	**500**	**32%**

BME (combined)	183 (12%)	75 (15%)	41%
White (combined)	1268 (81%)	396 (79%)	31%
Not Known	106 (7%)	29 (6%)	27%
Total	**1557**	**500**	**32%**

Table 7. Number of eligible staff and staff with significant responsibility for research (SRfR) by ethnicity. Data in parentheses show both ethnicity as a percentage of the pool total.

Working Pattern

11. 79% of eligible staff worked full-time compared to 21% of staff who worked part-time. This proportion was similar for the included (SRfR) staff pool. There was no evidence of bias in terms of working pattern, as 32% of full-time and 31% of part-time staff were included in the submission. Examination of these data by gender showed that a greater number of females (66%) worked part-time relative to males (34%) and there were similar proportions in the included (SRfR) staff pool. However, only 29% of females who worked part-time were included in the submission compared to 36% of males who worked part-time; although figures are not beyond the significance threshold.

Working pattern	Eligible	Submitted	Submitted as proportion of eligible
Full-time	**1235 (79%)**	**399 (80%)**	**32%**
Female	584 (47%)	174 (44%)	30%
Male	651 (53%)	225 (56%)	35%
Part-time	**322 (21%)**	**101 (20%)**	**31%**
Female	214 (66%)	62 (61%)	29%
Male	108 (34%)	39 (39%)	36%
Total	**1557**	**500**	**32%**

Table 8. Number of eligible staff and staff with significant responsibility for research (SRfR) by working pattern. Data in parentheses show both working pattern and gender as a percentage of the relevant pool total.

Contract Type

12. In the total eligible pool 94% held permanent contracts and 6% held fixed-term contracts; this proportion was similar for the included (SRfR) pool. When examining the data by gender, 30% of female staff on permanent contracts and 20% of female staff on fixed-term contracts were submitted, compared to 35% of male staff on permanent contracts and 33% of male staff on fixed-term contracts included.

13. The proportion of female fixed-term staff submitted was significantly below the mean.

Contract Type	Eligible	Submitted	Submitted as proportion of eligible
Permanent	**1457 (94%)**	**473 (95%)**	**32%**
Female	749 (51%)	226 (48%)	30%
Male	708 (495)	247 (52%)	35%
Fixed-term	**100 (6%)**	**27 (5%)**	**27%**
Female	49 (49%)	10 (37%)	20%
Male	51 (51%)	17 (63%)	33%
Total	**1557**	**500**	**32%**

Table 9. Number of eligible staff and staff with significant responsibility for research (SRfR) by contract type. Data in parentheses show both permanent and fixed-term staff and gender as a percentage of the relevant pool total.

Historic Trends: 2014-2020

Comparisons of eligible and included staff have been undertaken at approximately 18-month intervals as part of research assessment exercises, considering gender, age, disability, ethnicity, working pattern and contract type (2014-20 data is at 18-month intervals). For the purposes of this report, staff 'included' in REF exercises that took place between 2015 and 2018 nominated themselves by submitting outputs for review. Data for 2019 showed the level of staff with SRfR as a proportion of the eligible population (as per the 18-19 HESA return). Data analysis in 2014 and 2020 showed the percentage of staff actually included in the REF submission.

14. *Gender:* The percentage of both male and female staff being included in the REF has increased since REF 2014. The drop between 2018 to 2019 reflects a change from self-nomination to formal designation of SRfR. The gap between males and females reduced from 6% to 5% across the period.
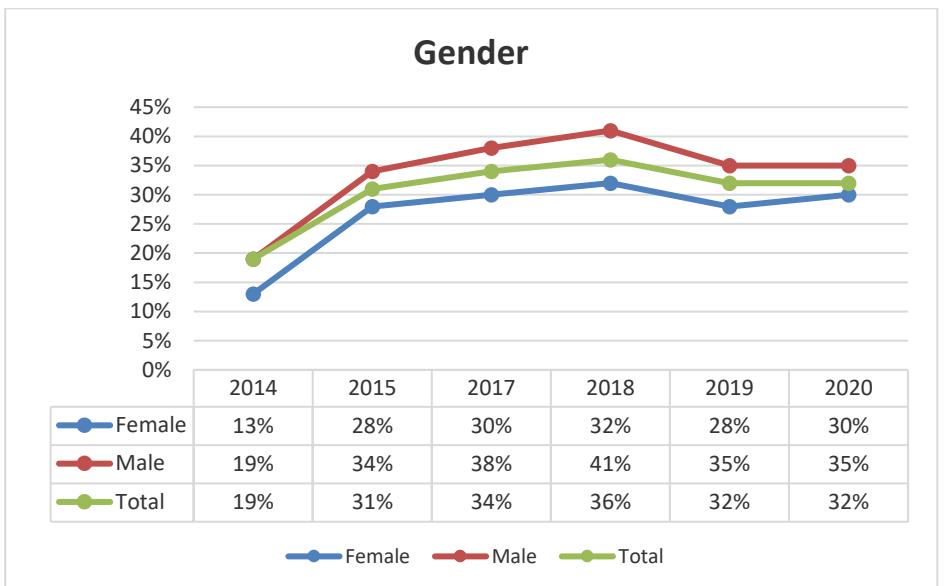
**Figure 1. Percentage of eligible and included staff by gender.**

15. *Disability:* The percentage of disabled and non-disabled staff being included in the submission has increased since REF 2014. The percentage of disabled staff being included fluctuates because of the small sample size, but was generally within the 5% from mean tolerance level.
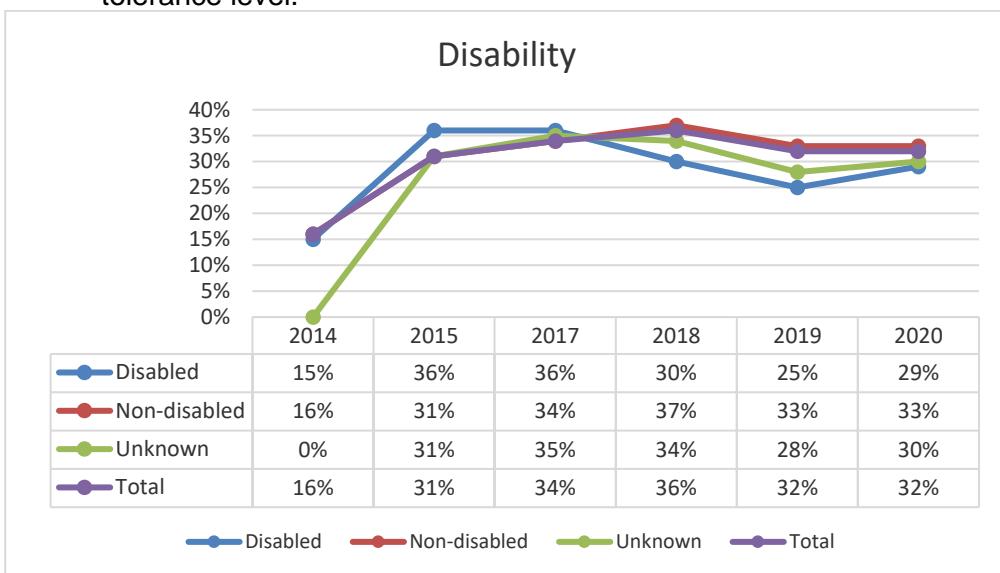
Figure 2. Percentage of eligible and included staff by disability.

16. *Age:* The percentage of staff being included has increased in all age groups since REF 2014. The 55-59 age group has remained relatively low throughout the period.

Age

	21-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60+	Total
2014	0%	19%	20%	24%	16%	16%	10%	15%	16%	16%
2015	0%	33%	45%	40%	39%	30%	27%	24%	23%	31%
2017	50%	40%	46%	46%	38%	30%	27%	25%	31%	34%
2018	0%	39%	46%	46%	44%	35%	30%	24%	36%	36%
2019	0%	30%	38%	41%	37%	30%	28%	21%	32%	32%
2020	0%	28%	35%	40%	37%	30%	27%	26%	32%	32%
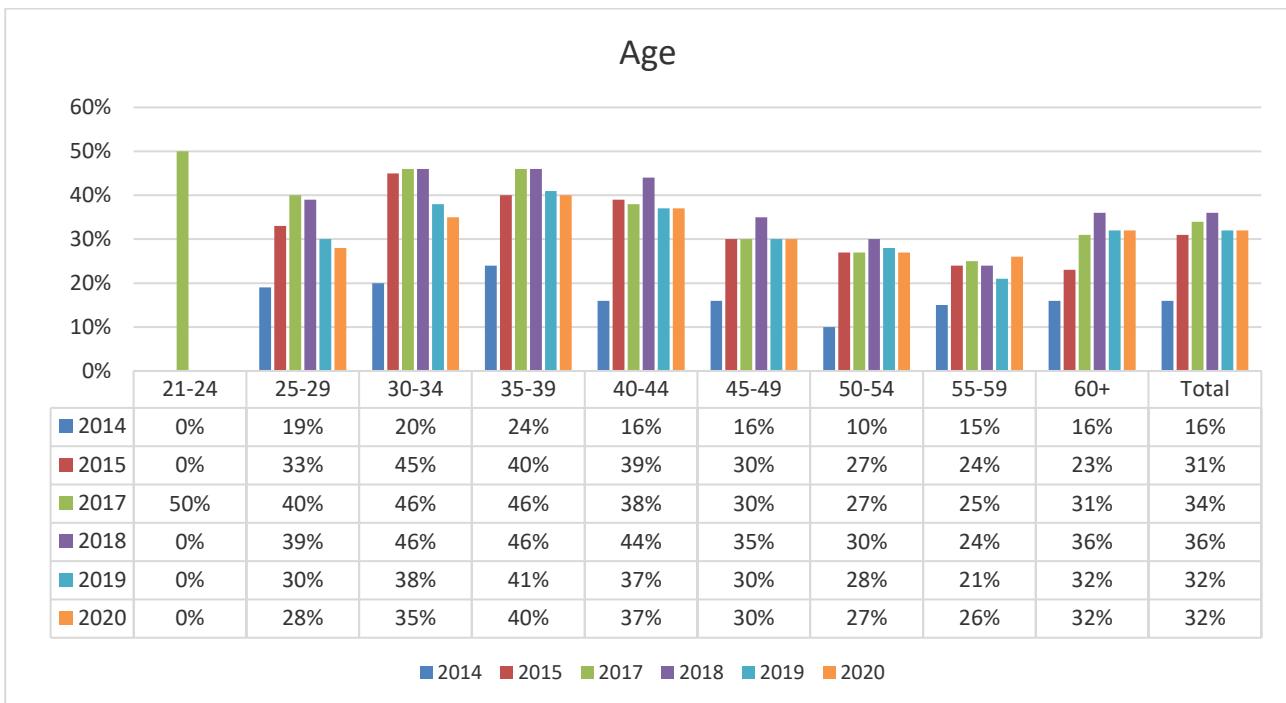
Figure 3. Percentage of eligible and included staff by age.

17. *Ethnicity:* Some groups did not have sizeable samples <10, making it difficult to identify gaps or trends. Of ethnic groups with sizeable samples all those included had increased since REF 2014, with some fluctuations noted during draft exercises between 2015 and 2018. None of these groups were greater than 5% below the mean average (32%) in 2020: Asian or Asian British – Indian (39%), Black or Black British – African (33%), Chinese (50%) and Other Asian Background (48%). On examination of the data comparing the combined White groups and combined BME minority groups, the percentage of staff from BME groups included was 41%, compared to 31% of staff from white groups.
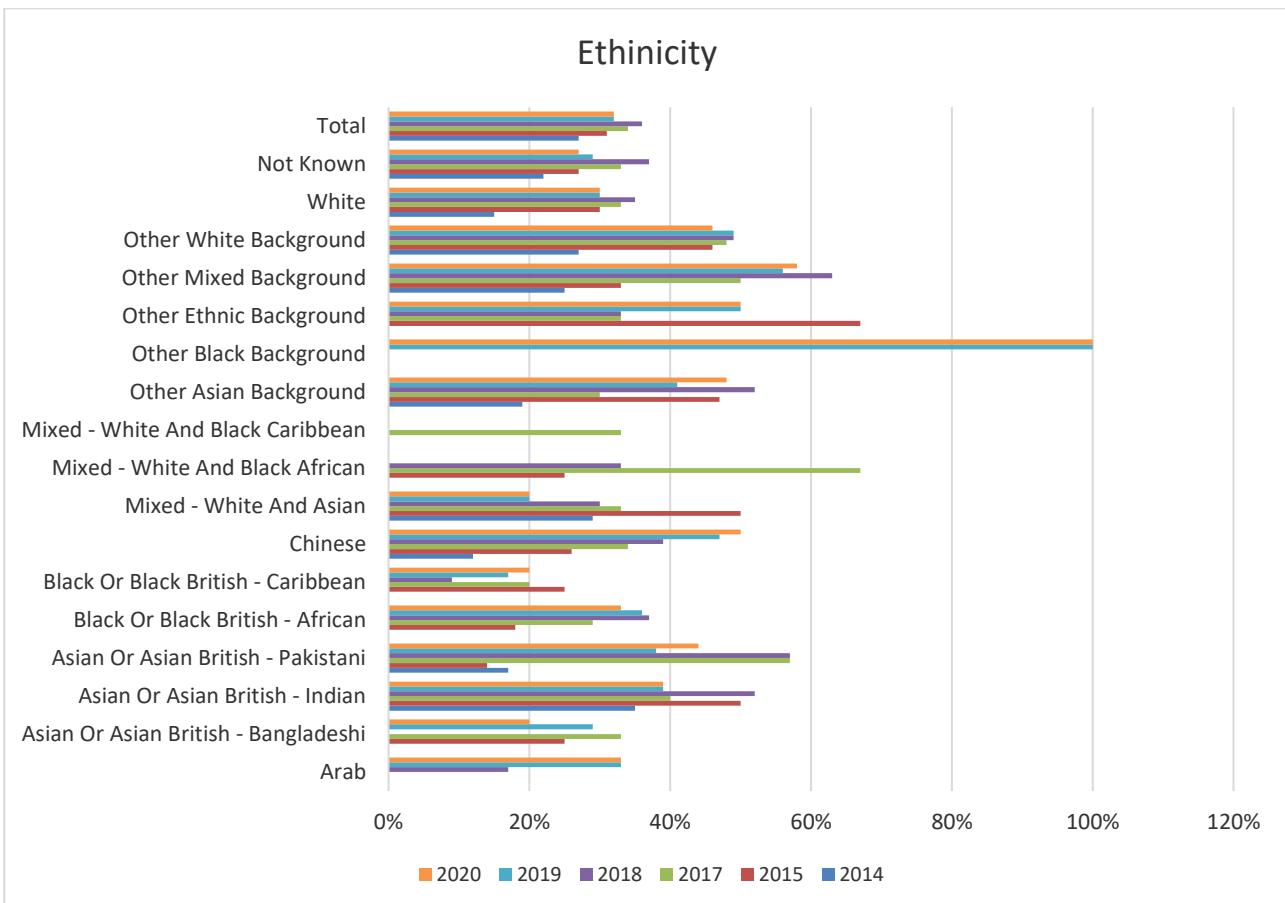
Figure 4. Percentage of eligible and included staff by ethnicity.

18. *Working Pattern:* Since REF 2014 the number of full-time staff included increased to 32% and the number of part-time staff included increased to 31%.

	2014	2015	2017	2018	2019	2020
Full-time	16%	33%	35%	37%	33%	32%
Part-time	16%	25%	27%	33%	27%	31%
Total	16%	31%	34%	36%	32%	32%
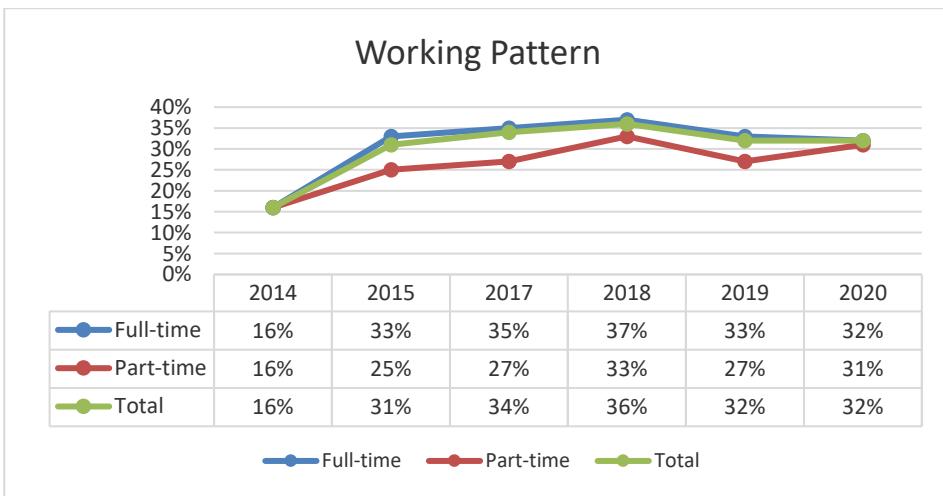
Figure 5. Percentage of eligible and included staff by working pattern.

19. *Contract Type:* The percentage of permanent staff included has increased (32%) in line with the mean since REF 2014. The percentage of fixed-term staff included had decreased to 23% in 2018 and 2019, though increased back up to 27% in 2020. On examination of these data by gender, the percentage of female staff included on fixed term contracts appears to be much lower than male staff on fixed term contracts. However, due to a small sample size it is not possible to identify any gaps or trends. It should also be noted that due to frequent regularisation schemes, the University has a very low overall number of fixed-term contracts (c.100 in total, which is c.6%).
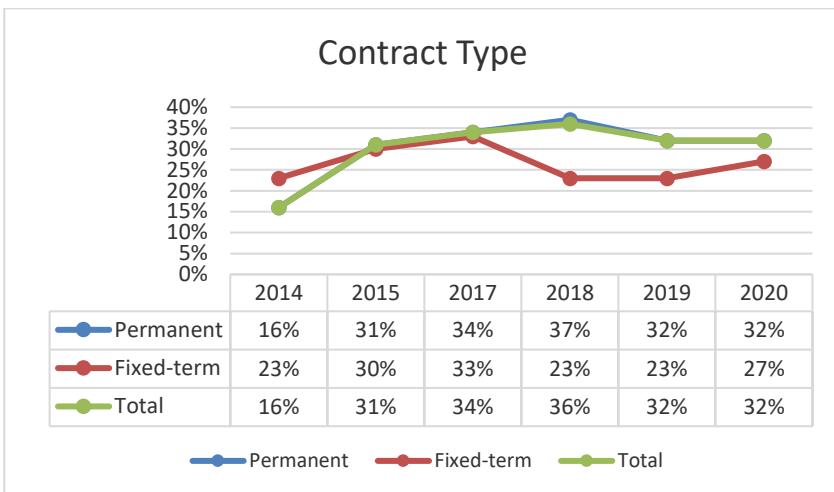
Figure 6. Percentage of eligible and included staff by contract type.

	2014	2015	2017	2018	2019	2020
Permanent	16%	31%	34%	37%	32%	32%
Fixed-term	23%	30%	33%	23%	23%	27%
Total	16%	31%	34%	36%	32%	32%

Conclusions

Significant Responsibility for Research

Overall, the submitted pool was highly representative of the eligible pool, indicating that the SRfR process introduced no biases. The only groups found to be outside the tolerance level were:
- Staff aged 55-59
- Female staff on fixed-term contracts

Of these the former is an established trend and likely to relate to managerial appointments at that career stage. The latter is of concern but relates to a relatively small sample size (49 individuals; the inclusion of three more would have brought it within tolerance).

Research Independence

The independence process appeared to favour female staff. However more granular breakdown of the data revealed disciplinary differences, with Panel B grade 7 staff less likely to be independent than their counterparts. As the Panel B eligible pool was entirely male, this translated to the equality data. The REF definition of independence could be adjusted in future exercises to account for this, if this is observed to be a wider trend.

Selection of Outputs

The staff and output profiles were identical, indicating that the output selection process created no biases.

Action Plan

1) Continue to monitor EDI at all future internal research assessment exercises and address any arising concerns accordingly.

2) Effective implementation and monitoring of institutional action plans aligned to the Concordat to Support the Career Development of Researchers, and to Athena Swan.

3) Deliver the UoA people strategies, as set out in REF5a documents.

4) Align the activities of core directorates (Human Resources and Organisational Development, Research and Innovation Services, Academic Development and Diversity) to focus on gender

and ethnicity within our people strategy for research - through the lens of recruitment, development, retention and experience at the University.

5) Undertake more thorough investigation of the fixed-term female eligible pool to determine if there is a particular cause of their low submission rate.

6) Continue to engage with our research community through surveys (e.g. CEDARs and institutional staff surveys), focus groups and other engagement activities to ensure a two-way dialogue and institutional responsiveness to need.

7) All new and revised University policies and processes (including those specific to research) will include an Equality Impact Assessment (EIA), and completed EIAs will be available for all staff to view.

Appendices

Contents

- REF 2014 EIA
- Mini-REF 2015 EIA
- Mini-REF 2017 EIA
- First Draft REF 2018 EIA
- SRfR Exercise 2019 EIA

REF 2014 EIA

SHEFFIELD HALLAM UNIVERSITY REF 2014 EQUALITY IMPACT ASSESSMENT

BACKGROUND

REF 2014

1.   The Research Excellence Framework (REF) is the new system for assessing the quality of research in UK higher education institutions (HEIs). It has replaced the Research Assessment Exercise (RAE) and the results will be published on 18 December 2014. The REF is undertaken by the four UK higher education funding bodies and the exercise is managed by the HEFCE REF team which is overseen by the REF Steering Group, consisting of representatives of the four funding bodies. The deadline for submissions was the 29th November 2014.

2.   The primary purpose of the REF is to produce assessment outcomes for the submissions made by HEIs. The funding bodies intend to use the assessment outcomes to inform the selective allocation of their research funding to HEIs, with effect from 2015-16. The assessment provides accountability for public investment in research and produces evidence of the benefits of this investment. It also provides benchmarking information and establishes reputational yardsticks.

Code of Practice

3.   Each HEI that made a submission to REF 2014 was required to develop, document and apply a code of practice to assist with embedding the principles of equality and diversity legislation (and other relevant legislation) in the decision making processes on submissions. While the code of practice assisted HEIs in fulfilling their legal obligations, it aimed to ensure fairness in REF processes through the principles of transparency, consistency, accountability and inclusivity from the outset of preparations.

4.   HEIs were required to submit their codes of practice to HEFCE by July 2012; the codes were examined by the REF Equality and Diversity Advisory Panel (EDAP) to ascertain whether the procedures set out by each institution met the requirements of the published HEFCE guidance. The University's code of practice was approved by HEFCE in January 2013. It provided a framework within which decisions and recommendations were made on staff selection and preparation of REF including training, management and equality analysis. The code is available at: http://www.shu.ac.uk/research/ref.html.

Equality Impact Assessment

5.   All HEIs were required to conduct equality impact assessments (EIAs) on their policies and processes for selecting staff. The REF Assessment Framework and Guidance on Submissions states that EIAs should be informed by an analysis of data on staff who are eligible for selection in respect of all the protected characteristics for which data are available. All HEIs are required to publish the EIAs, after the REF submission deadline, as a matter of good practice.

6.   This paper presents the data and key findings for the EIA undertaken by the University. The primary focus will be on the final REF submission data with reference to analyses of earlier drafts.

EQUALITY IMPACT ASSESSMENTS

Requirements for REF

7. The purpose of the EIA at Sheffield Hallam University was to identify whether there was an imbalance in terms of **gender, disability, ethnicity, age, working pattern and occupancy** (the latter two elements were in addition to the protected characteristics) between Category A staff included in the University's REF 2014 submission relative to the total eligible pool of staff who could be submitted and those who were considered for inclusion.

8. For the purposes of REF, the definition of staff is as follows:
    *   **Category A:** Academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on the census date (31 October 2013) and whose primary employment function is to undertake either 'research only' or 'teaching and research' and who are returned in the HESA staff return as 'academic professional'.
    *   **Eligible:** Academic staff who meet the HEFCE definition of Category A staff.
    *   **Considered:** Eligible staff who contacted a Unit of Assessment Coordinator with a view to being included in the REF 2014 return and submitted their research outputs for review.
    *   **Included:** Eligible staff who were notified that they would be included in the REF 2014 return on 29 November 2013.

Review of the Preliminary EIA

9. The purpose of the preliminary EIA was to inform policy and practice for REF 2014 in order to encourage greater participation and uptake by particular groups, notably women, and to strengthen processes around the selection of staff. The preliminary EIA submitted to HEFCE alongside the University's code of practice in July 2012 can be found in Appendix 1.

10. The University revisited the RAE 2008 EIA (see Appendix 1b) and compared the base-line of eligible staff between RAE 2008 and REF 2014 (see Appendix 1c) in order to assess the potential impact of REF 2014 policy on those groups with protected characteristics. The staff demographic showed a similar distribution between RAE 2008 and REF 2014; as such the University wished to ensure that its policy and processes for the selection of staff in REF 2014 minimised any potential imbalance in the staff selected with the protected characteristics. Even though there was no overt discrimination of staff in RAE 2008 there was an imbalance in staff submitted compared with the eligible pool for some protected characteristics.

11. The following notable procedures were implemented:
    *   Mandatory specialist equality and diversity training tailored for REF 2014 for <u>all</u> those involved in the staff selection process
    *   Awareness raising of the University's REF 2014 preparations and particularly the staff circumstances procedures, to the wider research community.
    *   A centralised, confidential process was established to encourage greater disclosure of staff circumstances that would facilitate inclusion in the submission.
    *   The requirement for the University to undertake an EIA on the first and second draft of submissions to reflect on and inform REF practice. This was in addition to the EIA on the final submission.
    *   The EIA was expanded to include part-time and fixed-term working, in addition to the protected characteristics. This was requested by the Trade Union members of the University's Information and Consultation Committee following consultation on the code (the Committee was formed following the University's voluntary agreement with recognised Trade Union representatives which outlines how the University will inform and consult staff). It was perceived that more women work part-time and the impact of

such working practice on the production of research outputs was unknown, an issue which the University wished to explore further.

EIA on the REF 2014 Submission

11. Following acceptance of the University's Code of Practice and accompanying preliminary EIA, the University conducted three EIAs at key stages of its REF 2014 preparations:
    - An EIA on the first formal draft of submissions on 30th September 2012 and the second formal draft of submissions in 30 June 2013; this enabled the University to investigate any areas where there appeared to be an imbalance in staff submitted as part of the REF compared with the eligible staff pool, against the protected characteristics. It also ensured that any necessary changes to prevent discrimination or promote equality could be taken prior to the REF 2014 submission deadline. The full data analysis can be found in Appendix 2 and Appendix 3, respectively.
    - A final EIA on the REF 2014 data submitted to HEFCE on 29 November 2013; this analysed the final submission for differences in submission rates against all the protected characteristics and the extended analysis to include working pattern and occupancy. This will inform wider University policy and practice to ensure that any identified inequalities can be addressed, where possible. The full data analysis can be found in the results section below, with reference to the first and second draft EIAs where appropriate.

Results

Overview

12. The final REF submission data showed that of a total pool of 1,538 eligible staff, 413 requested to be considered for inclusion (27%) and 249 staff were included in the final submission (16%). At the end of the first draft submission only 299 (19%) eligible staff were considered for inclusion, however, numbers dramatically increased to 416 (27%) by the second draft in line with the final submission. The size of the eligible pool was relatively consistent with less than a 2% change in volume over the 18 month REF preparation process. Data showed that there were imbalances that warrant further attention in **gender and, to a lesser extent, age** between staff eligible for the REF submission and those being considered and subsequently included. This was noted throughout the REF preparation process.

Protected Characteristics

13. **Gender:** In the eligible pool the percentage of females to males was almost equal with 49% females and 51% males; however, only 13% of eligible females were included in the submission compared with 19% of eligible males. This discrepancy between females and males arose in the considered pool where only 23% of eligible females were considered for REF compared with 31% males. However, once staff were considered for inclusion there was no bias in the selection process with 60% of females and 60% males being selected for inclusion in the submission. As such, there was no overt discrimination in the REF staff selection processes but notably fewer women were putting themselves forward for consideration. This bias was noted at the end of the first draft submission and continued at each stage of the submission process despite efforts to encourage women to come forward, as discussed below.

Table 1. Number of eligible, considered and included staff by gender for the final REF submission. Data in parentheses show female and male staff as a proportion of the total for each pool.

Gender	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Female	752 (49%)	169 (41%)	102 (41%)	23%	60%	13%
Male	786 (51%)	244 (59%)	147 (59%)	31%	60%	19%
Total	**1538**	**413**	**249**	**27%**	**60%**	**19%**

14. **Disability:** In the eligible pool 97% of staff were non-disabled and 3% declared themselves disabled; a similar proportion of non-disabled and disabled staff was included in the final submission. 16% of the eligible pool of non-disabled staff and 16% of the eligible pool of disabled staff were included in the submission indicating no bias in selection; this was also observed for the second draft. It should be noted that 28% of the eligible non-disabled staff pool were considered compared with only 20% of eligible disabled staff pool. Once these staff were considered 78% of disabled staff were included in the submission compared with only 60% of non-disabled staff; however, the small sample size (<10) is likely to have distorted this finding and no overall bias is observed.

Table 2. Number of eligible, considered and included staff by disability for the final REF submission. Data in parentheses show female and male staff as a proportion of the total for each pool.

Disability	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
No	1493 (97%)	404 (98%)	242 (97%)	28%	60%	16%
Yes	45 (3%)	9 (2%)	7 (3%)	20%	78%	15%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

15. **Age:** The age profile of staff in all three pools was broadly similar, with a trend towards greater numbers of staff in the mid- to older-age bands. The greatest disparity between the eligible, considered and included categories was observed for the 35-39 year age band. The proportion of staff in this age group increased at each stage of the selection process such that 36% of the eligible staff pool were considered (9% above the average) and 24% of the eligible pool were included (8% above the average). Of those staff considered, 67% were included (7% above the average). Conversely, a decrease at each stage of the selection process was observed for the 50-54 age band such that only 10% of staff in this age band were included from the eligible pool. The most marked result for this age band was observed for the considered pool where only 18% were considered, 9% below the average. Examination of these data by gender show that more men were included as a proportion of the eligible pool compared with women for 8 of the 9 age bands, the only exception being in the 30-34 age band. This is consistent with the overall pattern that emerged for gender.

Table 3. Number of eligible, considered and included staff by age band for the final REF submission. Data in parentheses show each age band as a proportion of the total for each pool.

Age band	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
21-24	3 (0.2%)	0 (0%)	0 (0%)	0%	-	-
25-29	37 (2.4%)	10 (2.4%)	7 (2.8%)	27%	70%	19%
30-34	137 (8.9%)	45 (11%)	27 (11%)	33%	60%	20%
35-39	167 (11%)	60 (15%)	40 (16%)	36%	67%	24%
40-44	208 (14%)	65 (16%)	34 (14%)	31%	52%	16%
45-49	297 (19%)	77 (19%)	48 (19%)	26%	62%	16%
50-54	284 (19%)	52 (13%)	29 (12%)	18%	56%	10%
55-59	227 (15%)	56 (14%)	35 (14%)	25%	63%	15%
60+	178 (12%)	48 (12%)	29 (12%)	27%	60%	16%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

Figure 1. The number of eligible, considered and included staff in each age group for the final REF submission data.
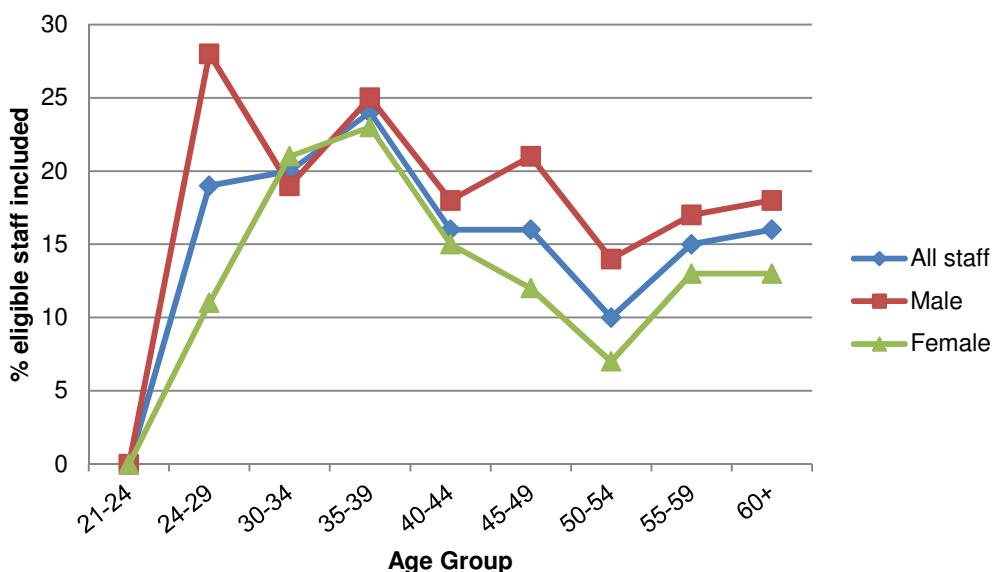
Figure 2. The proportion of male and female staff included in the submission compared with eligible females and males in each age group for the final REF submission data.

16. **Ethnicity:** The majority of staff in the eligible pool were of white British ethnicity and this was observed for all three staff pools. Due to the small sample sizes across all other ethnic groups no robust data analysis could be undertaken. However, across the three staff pools a broadly similar profile for ethnicity was observed and this was particularly the case for the considered pool compared with the included pool suggesting that once individuals were considered there was no bias in the selection process. Overall, 16% of staff were included from the eligible pool, where this figure differs markedly for an individual ethnic group this was typically due to a very small sample size and no inferences can be made. Similar observations were made for both the first and second formal draft submissions.

Table 4. Number of eligible, considered and included staff by ethnicity for the final REF submission. Data in parentheses show both ethnicity as a percentage of the pool total.

Ethnicity	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Asian/Asian British-Bangladeshi	3 (0.2%)	0 (0%)	0 (0%)	0	0%	0%
Asian/Asian British-Indian	20 (1.3%)	9 (2.2%)	7 (2.8%)	45%	78%	35%
Asian/Asian British-Pakistani	6 (0.4%)	3 (0.7%)	1 (0.4%)	50%	33%	17%
Black/Black British-African	11 (0.7%)	3 (0.7%)	0 (0%)	27%	0%	0%
Black/Black British Caribbean	7 (0.5%)	0 (0%)	0 (0%)	0%	0%	0%
Chinese	24 (1.6%)	5 (1.2%)	3 (1.2%)	21%	60%	12%
Mixed-White & Asian	7 (0.5%)	3 (0.7%)	2 (0.8%)	43%	67%	29%
Mixed-White & Black African	4 (0.3%)	1 (0.2%)	0 (0%)	25%	0%	0%
Mixed-White & Black Caribbean	3 (0.2%)	0 (0%)	0 (0%)	0%	0%	0%
Other Asian Background	31 (2%)	11 (2.7%)	6 (2.4%)	35%	55%	19%
Other Ethnic Background	5 (0.3%)	3 (0.7%)	0 (0%)	60%	0%	0%
Other mixed background	4 (0.3%)	2 (0.5%)	1 (0.4%)	50%	50%	25%
Other White Background	92 (6%)	41 (9.9%)	25 (10%)	45%	61%	27%
White British	1248 (81%)	310 (75%)	188 (75%)	25%	61%	15%
Not Known	73 (4.7%)	22 (5.3%)	16 (6.4%)	30%	5%	22%
Grand total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

17. **Working pattern:** A greater number of staff in the eligible pool worked full-time (79%) compared with staff who worked part-time (21%); this proportion was similar for considered and included staff pools. In the final REF submission 16% of full-time and 16% of part-time staff were included; indicating no overall bias in selection between working pattern. This was also observed for the second draft of submissions. The first draft submission showed that more full-time staff (20% of the eligible pool) were considered compared with part-time staff (15% of the eligible pool), however, this discrepancy was not evident in later drafts. Examination of these data by gender showed that a greater number of females (63%) worked part-time relative to males (37%). 14% of eligible part-time females were included compared with 18% of part-time males. On examination of the considered pool, 22% of part-time eligible females were considered compared with 31% males; however, once considered, 63% of females were included compared with 60% males indicating no overall bias in selection between working pattern of females and males. A similar pattern was observed for the second draft submission and also for full-time working.

Table 5. Number of eligible, considered and included staff by working pattern and gender for the final REF submission. Data in parentheses show both working pattern and gender as a percentage of the pool total.

Working Pattern	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Full-time	**1212 (79%)**	**330 (80%)**	**198 (80%)**	**27%**	**60%**	**16%**
Female	546 (45%)	123 (37%)	73 (37%)	23%	59%	13%
Male	666 (55%)	207 (63%)	125 (63%)	31%	61%	19%
Part-time	**326 (21%)**	**83 (20%)**	**51 (20%)**	**25%**	**61%**	**16%**
Female	206 (63%)	46 (55%)	29 (57%)	22%	63%	14%
Male	120 (37%)	37 (45%)	22 (43%)	31%	60%	18%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

18. **Occupancy:** In the eligible pool 94% of staff held permanent contracts and 6% held fixed-term contracts; this proportion was similar for both considered and included staff pools. 16% of permanent staff from the eligible pool were included compared with 23% of fixed-term staff; the increase observed for fixed-term staff is most likely due to the small sample size but data suggest that holding a fixed-term contract does not offer any disadvantage over selection in the REF, other than being in post on the census date. Similar results were also observed for the second draft. As for working pattern, the first draft showed that more permanent staff were considered for inclusion than fixed-term staff compared with the respective eligible pools, this discrepancy was not evident by the second draft as more staff were considered. When data are examined by gender, the gender bias is observed again. 21% of part-time

females were included in the submission from the eligible pool compared with 24% of part-time men. A similar pattern is observed for permanent staff with 13% of eligible females included compared with 18% of eligible men. The gender imbalance between males and females arose in the considered pool and once staff were considered there was no evidence of bias against females.

Table 6. Number of eligible, considered and included staff by occupancy for the final REF submission. Data in parentheses show permanent and fixed-term staff as a percentage of the relevant pool total.

Occupancy	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Permanent	1446 (94%)	387 (94%)	228 (92%)	27%	59%	16%
Female	719 (50%)	160 (41%)	95 (42%)	22%	59%	13%
Male	727 (50%)	227 (59%)	133 (58%)	31%	58%	18%
Fixed-term	92 (6%)	26 (6%)	21 (8%)	28%	81%	23%
Female	33 (36%)	9 (35%)	7 (33%)	27%	78%	21%
Male	59 (64%)	17 (65%)	14 (67%)	29%	82%	24%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

Observations and Reflections

19. On the REF census date of 31 October 2013, 1538 staff at the University were eligible to be returned to REF 2014. Not all academic staff undertake research and so the University's REF policy stated that eligible staff should contact a UOA Coordinator and submit their research outputs for review with a view to being included in the REF 2014 return. At the start of the formal REF preparations, June 2012, the University undertook a campaign of awareness raising and all staff received formal communications from the Vice Chancellor reinforced by articles in the University's research newsletter and the provision of dedicated web pages. All staff on long-term absence received hard-copy communications at their home address. However, by the end of the first draft only 19% of eligible staff had put themselves forward for consideration and there were early warning signs of a potential gender imbalance. A second phase of staff communications specifically addressed staff circumstances to encourage a greater number of women (and possibly men) to identify themselves for consideration in the REF submission. This was based on the perception that that more females work part-time and have more child- and family-care obligations relative to males, which may impact on their production of research outputs. It was important to ensure that all staff, but particularly females, understood that consideration of individual staff circumstances may permit a reduction in research outputs and thus inclusion in the REF submission, potentially improving the gender balance at a later review point.

20. By the end of the second formal draft of submissions (30th June 2013), 27% of eligible staff were considered for inclusion, an 8% increase compared with the first draft, indicating that communications had encouraged staff to self-identify themselves for consideration. Furthermore, over a third of included staff (83) had submitted staff circumstances forms to the University's staff circumstances panel; 77 of these were simple circumstances and 6 were complex. 57% of staff circumstances were submitted by females, substantially more than their male colleagues. Furthermore, 49 of the simple circumstances were for early career researchers, nearly 20% of our submission. There was little change in staff pools between the second draft and final submission and the majority of decisions on the inclusion and exclusion of staff were made by the end of the second draft; however, it should be noted that this process was ongoing with new outputs being published that required review and also notable staff departures (12) and new arrivals (10) in the last 4 months of preparation.

21. As the REF process relied on self-identification as a potential REF entrant, it is difficult to know whether the considered pool of 413 staff represented all eligible research active staff at the University. There are few data sets with which comparisons can be drawn, however, the annual Time Allocation Survey (TAS) data do offer some insights which may warrant further

exploration by the University. The 2012-13 data showed that 49% (590 academic staff) of the academic pool claimed to undertake research. Whereas the respondent pool for TAS was 21% smaller than the REF eligible pool and data are not collated over an identical timeframe, these data strongly suggest that not all research active staff are coming forward to be considered for REF. The reasons for this are unknown but TAS data suggest that around a third of staff who undertake research have low time allocations (<10%) for research and that this may not be sufficient to generate 4 high quality outputs.

22. There continued to be a discrepancy between the proportion of females in the eligible pool and those considered for inclusion at both the end of the second draft and the final submission such that only 13% of eligible females were included in the submission compared with 19% of eligible males. However, an important distinction should be made between i) the REF process of staff selection from the considered pool of staff and ii) the process of self-identification for REF inclusion. Once females had put themselves forward for inclusion there was no bias in the REF selection process between females and males. This observation is significant as it demonstrates equity and fairness in the REF selection process in respect of gender. Conversely, if we examine the University's RAE 2008 data we see not only a decrease in females from the eligible to the considered pool but also a further decrease in females at the selection stage, with 56% of considered females included in the submission compared with 69% of males. Whereas there was no direct evidence of undesirable behaviour, a positive change at the selection stage for REF is to be welcomed. Importantly, all 78 staff at the University involved in staff selection received mandated REF equality and diversity training at the start of the University's REF preparation process and prior to the selection of staff. Training for RAE 2008 was an on-line module covering general equality and diversity legislation; face to face REF 2014-specific training may have reinforced the concept of fairness and equity.

23. As noted previously, consultation with the Trade Union representatives at the University resulted in an extension of our analysis beyond protected characteristics to include working pattern and occupancy to understand whether working part-time or having a fixed-term contract was a disadvantage in being selected for REF. Significantly, the same proportion of full-time and part-time staff were considered and subsequently included in the submission compared with the eligible pool. HEFCE had very clear tariffs relating to part-time working and the reduction of outputs and these clear guidelines may have offered absolute certainty as to the number of outputs required for part-time staff, encouraging them to come forward for consideration. The proportion of academic staff on fixed-term contracts is low at the University and sector benchmarking data from CROS and other research surveys reflect this finding. Holding a fixed-term contract did not offer any disadvantage over selection in the REF, other than being in post on the census date. As predicted, the working pattern data show that more females work part-time compared with male colleagues, consistent with the assumption that females have more family and caring responsibilities. Even though working pattern and occupancy did not influence selection in the REF, the gender bias against females coming forward for consideration is further evident.

24. An imbalance was also observed for age; although this was to a lesser extent than that observed for gender. The increase in the proportion of staff in the 35-39 years age band at each stage of the selection process was markedly above the average for all other age bands. There is no concrete explanation for this trend, however, possible causes may include recent changes in recruitment policy in some areas of the University, or a relationship between the age when staff typically become early career researchers (ECRs) and when they subsequently establish their research careers. The largest proportion of ECRs was in the 24-29 year age band and it is anticipated that these ECRs will establish a successful independent career and track record over the next 5-10 years. One possibility is that researchers may be most active in this period producing a large number of high quality outputs. However, this is simply an assertion and would require further examination.

Consideration and Recommendations

25. It is perplexing that fewer eligible females put themselves forward for consideration compared with their male colleagues and the University lacks any concrete data as to why this is the case. It would be desirable to look at gender balance by Unit of Assessment and to determine whether there are notable research disciplines where women are not coming forward for consideration. As a large proportion of academic staff at the University are teaching focused, staff are not routinely assigned to Units of Assessment in the University HR data, however, examination of staff location does offer some insight. Data showed that 27% of eligible staff were considered for inclusion; 31% of eligible males and 22% of eligible females were considered. Two general areas were identified where the proportion of eligible females considered for inclusion is markedly below 27% compared with males - health, and education. These disciplines can have greater focus on professional practice, as opposed to academic publishing and comprise a greater proportion of females than many other disciplines. As such, females may simply not be undertaking research in these areas that lead to peer-reviewed academic publications desirable for REF. These observations should be treated with caution as robust data analysis is not yet possible, but this may warrant further investigation by the University when all academic staff are formally assigned to a Unit of Assessment as required for the next staff HESA return.

26. Moreover, as the TAS data suggested that the research-active staff pool was larger than that observed for REF, there is a need for the University to better understand wider working practice and policy outside of the REF process but which may unknowingly impact on staff inclusion in a future assessment exercise. The suggestions below are not an exhaustive list but may provide a helpful starting point.
    - An understanding of Academic Work Planning and specifically time allocations for research.
    - The perception and understanding of REF within the eligible staff pool, and particularly in under-represented groups, and whether there is an incentive for staff to come forward for consideration for the REF, for example recognition and reward.
    - The understanding within the eligible pool (and again, in under-represented groups) of the output requirements for a future assessment exercise, including setting personal publication strategies.
    - Whether females are effectively work-loaded to undertake research following a period of leave such as maternity leave.
    - Whether part-time working patterns and subsequent work loading are conducive to undertaking periods of focused high quality research needed to generate high quality research outputs.

27. The University currently has a number of initiatives that aim more widely to address equality and diversity issues in research, and which could be used or adapted to promote the participation of under-represented groups in a future REF. These include:

    - The ASPIRE mentoring scheme, which aims to increase the number of women professors at the University, to provide networks of support and to increase the confidence of female academic staff (at senior lecturer level and above).

    - Provision of training in unconscious bias to staff across the University; this is being piloted over the next few months.

    - An active researcher development programme, which runs courses to introduce Early Career Researchers to REF, and related concepts such as research impact and publication strategies.

Mini-REF 2015 EIA

<u>Mini-REF 2015 - Equality Impact Assessment</u>

The purpose of REF-related equality impact assessments is to identify whether there are an imbalance in terms of gender, disability, ethnicity, age, working pattern and contract type between Category A staff included in the University's submissions relative to the total eligible pool of staff who could be submitted, and those who were considered for inclusion.

This review focuses primarily on the level of staff considered for Mini-REF 2015 as a proportion of the eligible population, rather than the staff selected for inclusion, which was not part of the Mini-REF exercise. There had been no concerns about bias in selection forthcoming from the REF 2014 equally impact assessment; however raising the considered rate of a few specific equality groups had been identified as the priority.

For the purposes of REF, the definitions of staff are as follows:
- **Category A**: Academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on the census date, and whose primary employment function is to undertake either 'research only' or 'teaching and research', and who are returned in the HESA staff return as 'academic professional'.
- **Eligible**: Academic staff who meet the HEFCE definition of Category A staff.
- **Considered**: Eligible staff who submitted their research outputs for review.
- **Included**: For REF, but not Mini-REF - eligible staff who were notified that they would be included in REF 2014

Contents

Key

Green = notable improvement between REF 2014 and Mini-REF 2015
Yellow = significant gap (5% below the average) remaining

Gender

REF 2014

Gender	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Female	752 (49%)	169 (41%)	102 (41%)	23%	60%	13%
Male	786 (51%)	244 (59%)	147 (59%)	31%	60%	19%
Total	**1538**	**413**	**249**	**27%**	**60%**	**19%**

In REF 2014 it was noted that while there was no overt discrimination in the REF staff selection processes, notably fewer women were putting themselves forward for consideration.

Mini-REF 2015

Gender	Eligible	Considered		Considered (% eligible)
Female	779 (50%)	221 (46%)		28%
Male	770 (50%)	264 (54%)		34%
Total	**1549**	**485**		**31%**

In Mini-REF 2015 those putting themselves forward from both genders increased, the female percentage increased by 5% and the male 3%. This has closedthe gap and appears to be good progress on this issue.

Gender	4*	3*	2*	1*	U or N/A
Female	11 (35%)	76 (41%)	70 (48%)	33 (47%)	31 (60%)
Male	20 (65%)	111 (59%)	75 (52%)	37 (53%)	21 (40%)
Total	**31**	**187**	**145**	**70**	**52**

For the purpose of this table, those awarded borderline .5 ratings have been rounded down

When the ratings awarded to outputs are viewed by gender, it can be seen that male staff are receiving a greater proportion of 3* and 4*, while females are receiving a greater proportion of unclassified or not applicable ratings. This should be monitored in future mini-REFs to check that the direction of travel is that these gaps are reducing and that historical barriers are the fundamental cause of this. There is no comparable data from REF 2014 to be able to confirm this.

Disability

REF 2014

Disability	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
No	1493 (97%)	404 (98%)	242 (97%)	28%	60%	16%
Yes	45 (3%)	9 (2%)	7 (3%)	20%	78%	15%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

The gaps between disabled and non-disabled staff were marked, but the sample size was too small to indicate there was any bias.

Mini-REF 2015

Disability	Eligible	Consider-ed		Considered (% eligible)
No	1388 (90%)	432 (89%)		31%
Yes	55 (4%)	20 (4%)		36%
Unknown	106 (7%)	33 (7%)		31%
Total	**1549**	**485**		**31%**

The gap has reversed with there being a higher percentage of eligible disabled staff considered than non-disabled. However the small sample size again means such fluctuations should be treated with caution. A slightly different methodology was used, where unknowns were separated from not disabled, but that does not alter the results.

Age

REF 2014

Age	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
21-24	3 (0.2%)	0 (0%)	0 (0%)	0%	-	-
25-29	37 (2.4%)	10 (2.4%)	7 (2.8%)	27%	70%	19%
30-34	137 (8.9%)	45 (11%)	27 (11%)	33%	60%	20%
35-39	167 (11%)	60 (15%)	40 (16%)	36%	67%	24%
40-44	208 (14%)	65 (16%)	34 (14%)	31%	52%	16%
45-49	297 (19%)	77 (19%)	48 (19%)	26%	62%	16%
50-54	284 (19%)	52 (13%)	29 (12%)	18%	56%	10%
55-59	227 (15%)	56 (14%)	35 (14%)	25%	63%	15%
60+	178 (12%)	48 (12%)	29 (12%)	27%	60%	16%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

The 50-54 age band was particularly low. Historic recruitment practices and involvement in managerial roles were possible causes of this.

Mini-REF 2015

Age	Eligible	Considered		Considered (% eligible)
21-24	1 (0.6%)	0 (0%)		0%
25-29	42 (2.9%)	14 (2.9%)		33%
30-34	128 (8.3%)	57 (12%)		45%
35-39	188 (12%)	75 (15%)		40%
40-44	202 (13%)	79 (16%)		39%
45-49	290 (19%)	86 (18%)		30%
50-54	296 (19%)	80 (16%)		27%
55-59	242 (16%)	57 (12%)		24%
60+	160 (10%)	37 (7.6%)		23%
Total	**1549**	**485**		**31%**

The 50-54 band reverted much closer to mean, while the 55-59 and 60+ bands both dropped more than 5% below average. This could just be natural through flow of staff who began their careers prior to 1992 when research expectations expanded significantly across the sector.

Age	4*	3*	2*	1*	U or N/A
21-24	**0 (0%)**	**0 (0%)**	**0 (0%)**	**0 (0%)**	**0 (0%)**
Female	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Male	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
25-29	**1 (2.3%)**	**6 (3.2%)**	**4 (2.8%)**	**3 (4.3%)**	**0 (0%)**
Female	1 (100%)	4 (67%)	1 (25%)	1 (33%)	0 (0%)
Male	0 (0%)	2 (33%)	3 (75%)	2 (67%)	0 (0%)
30-34	**3 (9.7%)**	**21 (11%)**	**20 (14%)**	**5 (7.1%)**	**8 (15%)**
Female	1 (33%)	11 (52%)	9 (45%)	2 (40%)	4 (50%)
Male	2 (67%)	10 (48%)	11 (55%)	3 (60%)	4 (50%)
35-39	**4 (13%)**	**34 (18%)**	**24 (17%)**	**7 (10%)**	**6 (12%)**
Female	1 (25%)	17 (50%)	14 (58%)	2 (29%)	4 (67%)
Male	3 (75%)	17 (50%)	10 (42%)	5 (71%)	2 (33%)
40-44	**6 (19%)**	**29 (16%)**	**26 (18%)**	**10 (14%)**	**8 (15%)**
Female	1 (17%)	11 (38%)	12 (46%)	5 (50%)	5 (63%)
Male	5 (83%)	18 (62%)	14 (54%)	5 (50%)	3 (38%)
45-49	**6 (19%)**	**30 (16%)**	**25 (17%)**	**14 (20%)**	**11 (21%)**
Female	2 (33%)	11 (37%)	14 (56%)	10 (71%)	8 (73%)
Male	4 (67%)	19 (63%)	11 (44%)	4 (29%)	3 (27%)
50-54	**5 (16%)**	**27 (14%)**	**24 (17%)**	**17 (24%)**	**7 (13%)**
Female	2 (40%)	10 (37%)	10 (42%)	9 (53%)	6 (86%)
Male	3 (60%)	17 (63%)	14 (58%)	8 (47%)	1 (14%)
55-59	**3 (9.7%)**	**22 (12%)**	**14 (9.7%)**	**9 (13%)**	**9 (17%)**
Female	2 (33%)	6 (27%)	6 (43%)	2 (22%)	4 (44%)
Male	1 (67%)	16 (73%)	8 (57%)	7 (78%)	5 (56%)
60+	**3 (9.7%)**	**18 (9.6%)**	**8 (5.5%)**	**5 (7.1%)**	**3 (5.8%)**
Female	1 (33%)	6 (33%)	4 (50%)	2 (40%)	0 (0%)
Male	2 (67%)	12 (67%)	4 (50%)	3 (60%)	3 (100%)
Total	**31**	**187**	**145**	**70**	**52**

For the purpose of this table, those awarded borderline .5 ratings have been rounded down

When the ratings awarded to outputs are viewed by age as well as gender, it can be seen that the gaps at 4*, 3* and unclassified primarily exist in the over 40s age groups. This should be monitored in future mini-REFs to check that the direction of travel is that these gaps are 'working through' and that historical barriers are the fundamental cause of this. Again there is no comparable data from REF 2014 to be able to confirm this. The near 50:50 split of 3*s of researchers in their 30s (highlighted in blue) is an encouraging sign.

There is a prospect that reviewer bias existed. Although this was shown to not exist in terms of the selection process for REF 2014, the reading groups were broader for Mini-REF 2015 so involved more individuals, and a greater proportion of whom had not undergone any diversity training such as unconscious bias.

Ethnicity

REF 2014

Ethnicity	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Asian/Asian British-Bangladeshi	3 (0.2%)	0 (0%)	0 (0%)	0%	0%	0%
Asian/Asian British-Indian	20 (1.3%)	9 (2.2%)	7 (2.8%)	45%	78%	35%
Asian/Asian British-Pakistani	6 (0.4%)	3 (0.7%)	1 (0.4%)	50%	33%	17%
Black/Black British-African	11 (0.7%)	3 (0.7%)	0 (0%)	27%	0%	0%
Black/Black British Caribbean	7 (0.5%)	0 (0%)	0 (0%)	0%	0%	0%
Chinese	24 (1.6%)	5 (1.2%)	3 (1.2%)	21%	60%	12%
Mixed-White & Asian	7 (0.5%)	3 (0.7%)	2 (0.8%)	43%	67%	29%
Mixed-White & Black African	4 (0.3%)	1 (0.2%)	0 (0%)	25%	0%	0%
Mixed-White & Black Caribbean	3 (0.2%)	0 (0%)	0 (0%)	0%	0%	0%
Other Asian Background	31 (2%)	11 (2.7%)	6 (2.4%)	35%	55%	19%
Other Ethnic Background	5 (0.3%)	3 (0.7%)	0 (0%)	60%	0%	0%
Other Mixed background	4 (0.3%)	2 (0.5%)	1 (0.4%)	50%	50%	25%
Other White Background	92 (6%)	41 (9.9%)	25 (10%)	45%	61%	27%
White British	1248 (81%)	310 (75%)	188 (75%)	25%	61%	15%
Not Known	73 (4.7%)	22 (5.3%)	16 (6.4%)	30%	5%	22%
Grand total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

Small samples sizes of most non-white staff prevented robust data analysis. The level of Chinese staff considered was potentially a concern, as that sample size was slightly larger.

Mini-REF 2015

Ethnicity	Eligible	Consider-ed		Considered (% eligible)
Asian/Asian British-Bangladeshi	4 (0.2%)	1 (0.2%)		25%
Asian/Asian British-Indian	22 (1.4%)	11 (2.3%)		50%
Asian/Asian British-Pakistani	7 (0.5%)	1 (0.2%)		14%
Black/Black British-African	11 (0.7%)	2 (0.4%)		18%
Black/Black British Caribbean	8 (0.5%)	2 (0.4%)		25%
Chinese	27 (1.7%)	7 (1.4%)		26%
Mixed-White & Asian	8 (0.5%)	4 (0.8%)		50%
Mixed-White & Black African	4 (0.3%)	1 (0.2%)		25%
Mixed-White & Black Caribbean	3 (0.2%)	0 (0%)		0%
Other Asian Background	32 (2.1%)	15 (3.1%)		47%
Other Ethnic Background	3 (0.2%)	2 (0.4%)		67%
Other Mixed background	3 (0.2%)	1 (0.2%)		33%
Other White Background	85 (5.5%)	39 (8.0%)		46%
White British	1236 (80%)	373 (77%)		30%
Not Known	96 (6.2%)	26 (5.4%)		27%
Grand total	**1549**	**485**		**31%**

The Chinese staff considered level reverted closer to mean. Seven ethnic groups show as 5% below average considered rate, however the entire population of these seven groups is only 64 individuals. Minority groups combined were considered at a slightly higher rate than the White British majority.

Working Pattern

Working Pattern	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Full-time	**1212 (79%)**	**330 (80%)**	**198 (80%)**	**27%**	**60%**	**16%**
Female	546 (45%)	123 (37%)	73 (37%)	23%	59%	13%
Male	666 (55%)	207 (63%)	125 (63%)	31%	61%	19%
Part-time	**326 (21%)**	**83 (20%)**	**51 (20%)**	**25%**	**61%**	**16%**
Female	206 (63%)	46 (55%)	29 (57%)	22%	63%	14%
Male	120 (37%)	37 (45%)	22 (43%)	31%	60%	18%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

The female considered rate was lower than average in both types of working pattern, while the working pattern itself showed little affect.

Mini-REF 2015

Working Pattern	Eligible	Consider-ed		Considered (% eligible)
Full-time	**1235 (80%)**	**406 (84%)**		**33%**
Female	567 (46%)	170 (42%)		30%
Male	668 (54%)	236 (58%)		35%
Part-time	**314 (20%)**	**79 (16%)**		**25%**
Female	212 (68%)	51 (65%)		24%
Male	102 (32%)	28 (35%)		27%
Total	**1549**	**485**		**31%**

The female full-time considered rate reverted much closer to mean, but female part-time remained significantly low. The 18 month cycle of Mini-REF will have a general issue with part-time staff, who could only be required to produce one output every three years.

Contract Type

REF 2014

Contract Type	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Permanent	1446 (94%)	387 (94%)	228 (92%)	27%	59%	16%
Female	719 (50%)	160 (41%)	95 (42%)	22%	59%	13%
Male	727 (50%)	227 (59%)	133 (58%)	31%	58%	18%
Fixed-term	92 (6%)	26 (6%)	21 (8%)	28%	81%	23%
Female	33 (36%)	9 (35%)	7 (33%)	27%	78%	21%
Male	59 (64%)	17 (65%)	14 (67%)	29%	82%	24%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

Female permanent staff were 5% lower than average.

Mini-REF 2015

Contract Type	Eligible	Consider-ed		Considered (% eligible)
Permanent	1486 (96%)	466 (96%)		31%
Female	749 (50%)	213 (46%)		28%
Male	737 (50%)	253 (54%)		34%
Fixed-term	63 (4%)	19 (4%)		30%
Female	30 (48%)	8 (42%)		27%
Male	33 (52%)	11 (58%)		33%
Total	**1549**	**485**		**31%**

Female permanent staff had reverted closer to mean. No subgroup was more than 5% below average.

Conclusion

Significant progress has been in several areas in the intervening 18 month period between REF 2014 and Mini-REF 2015.

Of particular note is the increase in female participants as a proportion of population from 23% (average 27%) to 28% (average 31%).

In terms of performance, female staff received proportionally fewer high ratings and more unclassified ratings. However this is the first time that such a measure has been taken (HEFCE does not share details of REF ratings linked to individuals). This is therefore a benchmark for future Mini-REFs to measure against.

Other gaps of potential significance had too small sample sizes to be able to do robust analysis with, but there were no particularly concerning trends (in disability and ethnicity, the equality groups were slightly higher than the majority groups).

Actions

1) Repeat this exercise for Mini-REF 2017 to ensure the direction of travel remains that any significant gaps that exist between equality groups and non-equality groups continue to shrink. Particular attention should be paid to the data around the gaps in 4*, 3* and unclassified ratings between genders in the over 40s.

2) Highlight HR's Unconscious Bias online module to UoA Co-ordinators and ask them to raise the issue with members of their reading groups and advise those who have not already done it in relation to a recruiting capacity, do so.
(https://portal.shu.ac.uk/departments/HRD/development/yourself/Pages/Unconscious-Bias.aspx)

Mini-REF 2017 EIA

RESEARCHER CONCORDAT OPERATIONS GROUP

16 May 2018

MINI-REF 2017 - EQUALITY IMPACT ASSESSMENT

BACKGROUND

1.   For REF the University is required to undertake a thorough equality impact assessment (EIA), where data on equality groups' representation through the process is collected and analysed.

2.   The data and key findings for REF 2014 and Mini-REF 2015 have previously been presented.

3.   This paper provides an update, incorporating additional data from Mini-REF 2017.

PURPOSE

4.   To highlight any significant equality and diversity issues in the new data collected for Mini-REF 2017.

5.   To check that any areas of concern from REF 2014 and Mini-REF 2015 are improving, with existing gaps between equality groups and other staff continuing to shrink.

6.   To make new recommendation with a view to further improving staff participation in future assessment exercises, with explicit reference to underrepresented groups.

7.   As Mini-REF is an internal exercise and the data is available, to compare performance levels, as well as participation rates.

TERMS OF REFERENCE TO WHICH THE ITEM RELATES

8.   Athena SWAN Action Plan (November 2017) - Action A18

9.   Researcher Concordat Action Plan v.3.0 (January 2017) - Action 6.1.1

ACTION

TO DISCUSS

TO BE INTRODUCED BY

Dr Keith Fildes
Research Development Manager (Policy and Performance)
Research and Innovation Office

Introduction

9.   The purpose of REF-related equality impact assessments is to identify whether there are imbalances in terms of gender, disability, ethnicity, age, working pattern and contract type between Category A staff included in the University's submissions, relative to the total eligible pool of staff who could be submitted, and those who were considered for inclusion.

10.   This review focuses primarily on the level of staff considered for Mini-REF 2017 as a proportion of the eligible population, rather than the staff selected for inclusion, which was not part of the Mini-REF exercise. There had been no concerns about bias in selection forthcoming from the REF 2014 equally impact assessment; however raising the considered rate of a few specific equality groups had been identified as the priority.

11.   For the purposes of REF, the definitions of staff are as follows:
- **Category A**: Academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on the census date, and whose primary employment function is to undertake either 'research only' or 'teaching and research', and who are returned in the HESA staff return as 'academic professional'
- **Eligible**: Academic staff who meet the HEFCE definition of Category A staff
- **Considered**: Eligible staff who submitted their research outputs for review
- **Included**: For REF, but not Mini-REF - eligible staff who were notified that they would be included in REF 2014

Contents

Key

Blue background = new Mini-REF 2017 data

Yellow highlight = significant gap (generally 5% below the average and with a valuable sample size; not a statistical significance measure)

Gender

Table 1a. Number of eligible, considered and included staff by gender for the final REF submission. Data in parentheses show female and male staff as a proportion of the total for each pool.

Gender	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Female	752 (49%)	169 (41%)	102 (41%)	23%	60%	13%
Male	786 (51%)	244 (59%)	147 (59%)	31%	60%	19%
Total	**1538**	**413**	**249**	**27%**	**60%**	**19%**

11. In REF 2014 it was noted that while there was no overt discrimination in the REF staff selection processes, notably fewer women were putting themselves forward for consideration.

Mini-REF 2015 - Participation

Table 1b. Number of eligible and considered staff by gender for the 2015 Mini-REF. Data in parentheses show female and male staff as a proportion of the total for each pool.

Gender	Eligible	Considered		Considered (% eligible)
Female	779 (50%)	221 (46%)		28%
Male	770 (50%)	264 (54%)		34%
Total	**1549**	**485**		**31%**

12. In Mini-REF 2015 those putting themselves forward from both genders increased - the female percentage increased by 5% and the male 3%. This closed the gap.

Mini-REF 2017 - Participation

Table 1c. Number of eligible and considered staff by gender for the 2017 Mini-REF. Data in parentheses show female and male staff as a proportion of the total for each pool.

Gender	Eligible	Considered		Considered (% eligible)
Female	789 (49%)	234 (43%)		30%
Male	806 (51%)	306 (57%)		38%
Total	**1595**	**540**		**34%**

13. In Mini-REF 2017 those putting themselves forward from both genders has increased, the female percentage increased by 2% and the male 4%. This has increased the gap, though the female rate remains within 5% of the average.

Mini-REF 2015 - Performance

Table 1d. Quality ratings of outputs by gender for the 2015 Mini-REF. Data in parentheses show the quality rating for female and male staff as a proportion of the total for each quality pool. For the purpose of this exercise, those awarded borderline .5 ratings have been rounded down.

Gender	4*	3*	2*	1*	U
Female	11 (35%)	76 (41%)	70 (48%)	33 (47%)	31 (60%)
Male	20 (65%)	111 (59%)	75 (52%)	37 (53%)	21 (40%)
Total	31	187	145	70	52

14.   When the ratings awarded to outputs were viewed by gender, it was shown that male staff were receiving a greater proportion of 3* and 4*, while females were receiving a greater proportion of unclassified ratings.

Mini-REF 2017 - Performance

Table 1e. Quality ratings of outputs by gender for the 2017 Mini-REF. Data in parentheses show the quality rating for female and male staff as a proportion of the total for each quality pool. For the purpose of this exercise, those awarded borderline .5 ratings have been rounded down.

Gender	4*	3*	2*	1*	U
Female	20 (43%)	82 (41%)	74 (43%)	29 (48%)	29 (48%)
Male	26 (54%)	120 (59%)	97 (57%)	31 (52%)	32 (52%)
Total	46	202	171	60	61

15.   When the ratings awarded to outputs are viewed by gender, it can be seen that male staff are receiving a greater proportion of 3* and 4*. The direction of travel from 2015 is that these gaps are reducing.

Mini-REF 2017 - Case Study Authors

Table 1f. Number of eligible and considered staff by gender for the 2017 Mini-REF for lead authors of impact case studies. Data in parentheses show female and male staff as a proportion of the total for each pool. This is the first time this element of REF has been considered from an equality perspective.

Gender	Eligible	Considered		Considered (% eligible)
Female	789 (49%)	31 (36%)		3.9%
Male	806 (51%)	54 (64%)		6.7%
Total	1595	85		5.3%

16.   There is a notably smaller proportion of female case study authors. This is unlikely to change during this REF-cycle, as case studies are long term initiatives, but should continue to be monitored, especially when the next 'long list' is compiled for the following REF cycle (2021-26).

Disability

<u>REF 2014</u>

Table 2a. Number of eligible, considered and included staff by disability for the final REF submission. Data in parentheses show female and male staff as a proportion of the total for each pool.

Disability	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
No	1493 (97%)	404 (98%)	242 (97%)	28%	60%	16%
Yes	45 (3%)	9 (2%)	7 (3%)	20%	78%	15%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

17.   The gaps between disabled and non-disabled staff were marked, but the sample size was too small to indicate there was any bias.

<u>Mini-REF 2015</u>

Table 2b. Number of eligible and considered staff by disability for the 2015 Mini-REF. Data in parentheses show female and male staff as a proportion of the total for each pool.

Disability	Eligible	Consider-ed		Considered (% eligible)
No	1388 (90%)	432 (89%)		31%
Yes	55 (4%)	20 (4%)		36%
Unknown	106 (7%)	33 (7%)		31%
Total	**1549**	**485**		**31%**

18.   The gap reversed, with there being a higher percentage of eligible disabled staff considered than non-disabled. However the small sample size again means such fluctuations should be treated with caution. A slightly different methodology was used, where unknowns were separated from not disabled, but that did not alter the results.

<u>Mini-REF 2017</u>

Table 2c. Number of eligible and considered staff by disability for the 2017 Mini-REF. Data in parentheses show female and male staff as a proportion of the total for each pool.

Disability	Eligible	Consider-ed		Considered (% eligible)
No	1345 (84%)	452 (84%)		34%
Yes	61 (4%)	22 (4%)		36%
Unknown	189 (12%)	66 (12%)		35%
Total	**1595**	**540**		**34%**

19.   There is virtually no difference between disabled and non-disabled staff.

Age

Table 3a. Number of eligible, considered and included staff by age band for the final REF submission. Data in parentheses show each age band as a proportion of the total for each pool.

Age	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
21-24	3 (0.2%)	0 (0%)	0 (0%)	0%	-	-
25-29	37 (2.4%)	10 (2.4%)	7 (2.8%)	27%	70%	19%
30-34	137 (8.9%)	45 (11%)	27 (11%)	33%	60%	20%
35-39	167 (11%)	60 (15%)	40 (16%)	36%	67%	24%
40-44	208 (14%)	65 (16%)	34 (14%)	31%	52%	16%
45-49	297 (19%)	77 (19%)	48 (19%)	26%	62%	16%
50-54	284 (19%)	52 (13%)	29 (12%)	==18%==	56%	==10%==
55-59	227 (15%)	56 (14%)	35 (14%)	25%	63%	15%
60+	178 (12%)	48 (12%)	29 (12%)	27%	60%	16%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

20.   The 50-54 age band was particularly low. Historic recruitment practices and involvement in managerial roles were possible causes of this.

Table 3b. Number of eligible and considered staff by age band for the 2015 Mini-REF. Data in parentheses show each age band as a proportion of the total for each pool.

Age	Eligible	Considered		Considered (% eligible)
21-24	1 (0.6%)	0 (0%)		0%
25-29	42 (2.9%)	14 (2.9%)		33%
30-34	128 (8.3%)	57 (12%)		45%
35-39	188 (12%)	75 (15%)		40%
40-44	202 (13%)	79 (16%)		39%
45-49	290 (19%)	86 (18%)		30%
50-54	296 (19%)	80 (16%)		27%
55-59	242 (16%)	57 (12%)		==24%==
60+	160 (10%)	37 (7.6%)		==23%==
Total	**1549**	**485**		**31%**

21.   The 50-54 band reverted much closer to mean, while the 55-59 and 60+ bands both dropped more than 5% below average. This could just be natural through flow of staff who began their careers prior to 1992 when research expectations expanded significantly across the sector.

Table 3c. Number of eligible and considered staff by age band for the 2017 Mini-REF. Data in parentheses show each age band as a proportion of the total for each pool.

Age	Eligible	Considered		Considered (% eligible)
21-24	2 (0.1%)	1 (0.2%)		50%
25-29	52 (3.3%)	21 (3.9%)		40%
30-34	138 (8.7%)	64 (12%)		46%
35-39	230 (14%)	105 (19%)		46%
40-44	211 (13%)	80 (15%)		38%
45-49	280 (18%)	84 (16%)		30%
50-54	301 (19%)	81 (15%)		27%
55-59	226 (14%)	56 (10%)		25%
60+	155 (9.7%)	48 (8.9%)		31%
Total	1595	540		34%

22. The 50-54 and 55-59 bands remain a concern. The 60+ band however increased significantly.

Mini-REF 2015 - Performance

Table 3d. Quality ratings of outputs by age band for the 2015 Mini-REF. Data in parentheses show each age band as a proportion of the total for each pool. For the purpose of this table, those awarded borderline .5 ratings have been rounded down

Age	4*	3*	2*	1*	U
21-24	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Female	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Male	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
25-29	1 (2.3%)	6 (3.2%)	4 (2.8%)	3 (4.3%)	0 (0%)
Female	1 (100%)	4 (67%)	1 (25%)	1 (33%)	0 (0%)
Male	0 (0%)	2 (33%)	3 (75%)	2 (67%)	0 (0%)
30-34	3 (9.7%)	21 (11%)	20 (14%)	5 (7.1%)	8 (15%)
Female	1 (33%)	11 (52%)	9 (45%)	2 (40%)	4 (50%)
Male	2 (67%)	10 (48%)	11 (55%)	3 (60%)	4 (50%)
35-39	4 (13%)	34 (18%)	24 (17%)	7 (10%)	6 (12%)
Female	1 (25%)	17 (50%)	14 (58%)	2 (29%)	4 (67%)
Male	3 (75%)	17 (50%)	10 (42%)	5 (71%)	2 (33%)
40-44	6 (19%)	29 (16%)	26 (18%)	10 (14%)	8 (15%)
Female	1 (17%)	11 (38%)	12 (46%)	5 (50%)	5 (63%)
Male	5 (83%)	18 (62%)	14 (54%)	5 (50%)	3 (38%)
45-49	6 (19%)	30 (16%)	25 (17%)	14 (20%)	11 (21%)
Female	2 (33%)	11 (37%)	14 (56%)	10 (71%)	8 (73%)
Male	4 (67%)	19 (63%)	11 (44%)	4 (29%)	3 (27%)
50-54	5 (16%)	27 (14%)	24 (17%)	17 (24%)	7 (13%)
Female	2 (40%)	10 (37%)	10 (42%)	9 (53%)	6 (86%)
Male	3 (60%)	17 (63%)	14 (58%)	8 (47%)	1 (14%)
55-59	3 (9.7%)	22 (12%)	14 (9.7%)	9 (13%)	9 (17%)
Female	2 (33%)	6 (27%)	6 (43%)	2 (22%)	4 (44%)
Male	1 (67%)	16 (73%)	8 (57%)	7 (78%)	5 (56%)
60+	3 (9.7%)	18 (9.6%)	8 (5.5%)	5 (7.1%)	3 (5.8%)
Female	1 (33%)	6 (33%)	4 (50%)	2 (40%)	0 (0%)
Male	2 (67%)	12 (67%)	4 (50%)	3 (60%)	3 (100%)
Total	31	187	145	70	52

23.   When the ratings awarded to outputs were viewed by age as well as gender, it was seen that the gaps at 4*, 3* and unclassified primarily exist in the over 40s age groups.

Mini-REF 2017 - Performance

Table 3e. Quality ratings of outputs by age band for the 2017 Mini-REF. Data in parentheses show each age band as a proportion of the total for each pool. For the purpose of this table, those awarded borderline .5 ratings have been rounded down

Age	4*	3*	2*	1*	U
21-24	0 (0%)	0 (0%)	1 (0.6%)	0 (0%)	0 (0%)
Female	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Male	0 (0%)	0 (0%)	1 (100%)	0 (0%)	0 (0%)
25-29	0 (0%)	5 (2.5%)	13 (7.6%)	2 (3.3%)	1 (1.6%)
Female	0 (0%)	2 (40%)	8 (62%)	1 (50%)	0 (0%)
Male	0 (0%)	3 (60%)	5 (38%)	1 (50%)	1 (100%)
30-34	4 (8.7%)	27 (13%)	20 (12%)	5 (8.3%)	8 (13%)
Female	1 (25%)	10 (37%)	12 (60%)	3 (60%)	3 (38%)
Male	3 (75%)	17 (63%)	8 (40%)	2 (40%)	5 (63%)
35-39	9 (20%)	43 (21%)	35 (20%)	9 (15%)	9 (15%)
Female	3 (33%)	19 (44%)	14 (40%)	4 (44%)	5 (56%)
Male	6 (67%)	24 (56%)	21 (60%)	5 (56%)	4 (44%)
40-44	6 (13%)	27 (13%)	30 (18%)	11 (18%)	6 (9.8%)
Female	4 (67%)	15 (56%)	11 (37%)	6 (55%)	3 (50%)
Male	2 (33%)	12 (44%)	19 (63%)	5 (45%)	3 (50%)
45-49	11 (24%)	28 (14%)	20 (12%)	18 (30%)	7 (11%)
Female	3 (27%)	9 (32%)	13 (65%)	8 (44%)	3 (43%)
Male	8 (73%)	19 (68%)	7 (35%)	10 (56%)	4 (57%)
50-54	6 (13%)	34 (17%)	21 (12%)	6 (10%)	14 (23%)
Female	4 (67%)	14 (41%)	7 (33%)	2 (33%)	6 (43%)
Male	2 (33%	20 (59%)	14 (67%)	4 (67%)	8 (57%)
55-59	6 (13%)	20 (9.9%)	13 (7.6%)	5 (8.3%)	12 (20%)
Female	1 (17%)	8 (40%)	2 (15%)	4 (80%)	8 (67%)
Male	5 (83%)	12 (60%)	11 (85%)	1 (20%)	4 (33%)
60+	4 (8.7%)	18 (8.9%)	18 (11%)	4 (6.7%)	4 (6.6%)
Female	4 (100%)	5 (28%)	7 (39%)	1 (25%)	1 (25%)
Male	0 (0%)	13 (72%)	11 (61%)	3 (75%)	3 (75%)
Total	46	202	171	60	61

24.   When the ratings awarded to outputs are viewed by age as well as gender, it can be seen that the gaps at 4* and 3* still exist. The higher rate of female unclassified however has disappeared. The concentration of gaps in the over 40s age groups is not so strong. Sample sizes in some of the bands are quite small.

25.   There is a prospect that reviewer bias exists. Although this was shown to not exist in terms of the selection process for REF 2014, the reading groups are broader for the Mini-REFs so involve more individuals, and potentially a number who had still not undergone any diversity training such as unconscious bias (though this was requested).

Ethnicity

<u>REF 2014</u>

Table 4a. Number of eligible, considered and included staff by ethnicity for the final REF submission. Data in parentheses show both ethnicity as a percentage of the pool total.

Ethnicity	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Asian/Asian British-Bangladeshi	3 (0.2%)	0 (0%)	0 (0%)	0%	0%	0%
Asian/Asian British-Indian	20 (1.3%)	9 (2.2%)	7 (2.8%)	45%	78%	35%
Asian/Asian British-Pakistani	6 (0.4%)	3 (0.7%)	1 (0.4%)	50%	33%	17%
Black/Black British-African	11 (0.7%)	3 (0.7%)	0 (0%)	27%	0%	0%
Black/Black British Caribbean	7 (0.5%)	0 (0%)	0 (0%)	0%	0%	0%
Chinese	24 (1.6%)	5 (1.2%)	3 (1.2%)	21%	60%	12%
Mixed-White & Asian	7 (0.5%)	3 (0.7%)	2 (0.8%)	43%	67%	29%
Mixed-White & Black African	4 (0.3%)	1 (0.2%)	0 (0%)	25%	0%	0%
Mixed-White & Black Caribbean	3 (0.2%)	0 (0%)	0 (0%)	0%	0%	0%
Other Asian Background	31 (2%)	11 (2.7%)	6 (2.4%)	35%	55%	19%
Other Ethnic Background	5 (0.3%)	3 (0.7%)	0 (0%)	60%	0%	0%
Other Mixed background	4 (0.3%)	2 (0.5%)	1 (0.4%)	50%	50%	25%
Other White Background	92 (6%)	41 (9.9%)	25 (10%)	45%	61%	27%
White British	1248 (81%)	310 (75%)	188 (75%)	25%	61%	15%
Not Known	73 (4.7%)	22 (5.3%)	16 (6.4%)	30%	5%	22%
Grand total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

20.   Small samples sizes of most non-white staff prevented robust data analysis. The level of Chinese staff considered was potentially a concern, as that sample size was slightly larger.

<u>Mini-REF 2015</u>

Table 4b. Number of eligible and considered staff by ethnicity for the 2015 Mini-REF. Data in parentheses show both ethnicity as a percentage of the pool total.

Ethnicity	Eligible	Consider-ed		Considered (% eligible)
Asian/Asian British-Bangladeshi	4 (0.2%)	1 (0.2%)		25%
Asian/Asian British-Indian	22 (1.4%)	11 (2.3%)		50%
Asian/Asian British-Pakistani	7 (0.5%)	1 (0.2%)		14%
Black/Black British-African	11 (0.7%)	2 (0.4%)		18%
Black/Black British Caribbean	8 (0.5%)	2 (0.4%)		25%
Chinese	27 (1.7%)	7 (1.4%)		26%
Mixed-White & Asian	8 (0.5%)	4 (0.8%)		50%
Mixed-White & Black African	4 (0.3%)	1 (0.2%)		25%
Mixed-White & Black Caribbean	3 (0.2%)	0 (0%)		0%
Other Asian Background	32 (2.1%)	15 (3.1%)		47%
Other Ethnic Background	3 (0.2%)	2 (0.4%)		67%
Other Mixed background	3 (0.2%)	1 (0.2%)		33%
Other White Background	85 (5.5%)	39 (8.0%)		46%
White British	1236 (80%)	373 (77%)		30%
Not Known	96 (6.2%)	26 (5.4%)		27%
Grand total	**1549**	**485**		**31%**

21.   The Chinese staff considered level reverted closer to mean. Seven ethnic groups showed as 5% below average considered rate, however the entire population of these seven groups was only 64 individuals. Minority groups combined were considered at a slightly higher rate than the White British majority.

Mini-REF 2017

Table 4c. Number of eligible and considered staff by ethnicity for the 2017 Mini-REF. Data in parentheses show both ethnicity as a percentage of the pool total.

Ethnicity	Eligible	Considered		Considered (% eligible)
Arab	2 (0.1%)	0 (0%)		0%
Asian/Asian British-Bangladeshi	9 (0.6%)	3 (0.6%)		33%
Asian/Asian British-Indian	30 (1.9%)	12 (2.2%)		40%
Asian/Asian British-Pakistani	7 (0.4%)	4 (0.7%)		57%
Black/Black British-African	17 (1.1%)	5 (0.9%)		29%
Black/Black British Caribbean	10 (0.6%)	2 (0.4%)		20%
Chinese	29 (1.8%)	10 (1.9%)		34%
Mixed-White & Asian	9 (0.6%)	3 (0.6%)		33%
Mixed-White & Black African	3 (0.2%)	2 (0.4%)		67%
Mixed-White & Black Caribbean	3 (0.2%)	1 (0.2%)		33%
Other Asian Background	33 (2.1%)	10 (1.9%)		30%
Other Black Background	1 (0.1%)	0 (0%)		0%
Other Ethnic Background	3 (0.2%)	1 (0.2%)		33%
Other Mixed background	6 (0.4%)	3 (0.6%)		50%
Other White Background	91 (5.7%)	44 (8.1%)		48%
White British	1255 (79%)	411 (76%)		33%
Not Known	87 (5.5%)	29 (5.4%)		33%
Grand total	**1595**	**540**		**34%**

22.   There is no group with any sizable sample size that is of concern. Minority groups combined are considered at a slightly higher rate than the White British majority.

Working Pattern

Table 5a. Number of eligible, considered and included staff by working pattern and gender for the final REF submission. Data in parentheses show both working pattern and gender as a percentage of the pool total.

Working Pattern	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Full-time	**1212 (79%)**	**330 (80%)**	**198 (80%)**	**27%**	**60%**	**16%**
Female	546 (45%)	123 (37%)	73 (37%)	23%	59%	13%
Male	666 (55%)	207 (63%)	125 (63%)	31%	61%	19%
Part-time	**326 (21%)**	**83 (20%)**	**51 (20%)**	**25%**	**61%**	**16%**
Female	206 (63%)	46 (55%)	29 (57%)	22%	63%	14%
Male	120 (37%)	37 (45%)	22 (43%)	31%	60%	18%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

23.   The female considered rate was lower than average in both types of working pattern, while the working pattern itself showed little affect.

Mini-REF 2015

Table 5b. Number of eligible and considered staff by working pattern and gender for the 2015 Mini-REF. Data in parentheses show both working pattern and gender as a percentage of the pool total.

Working Pattern	Eligible	Consider-ed		Considered (% eligible)
Full-time	**1235 (80%)**	**406 (84%)**		**33%**
Female	567 (46%)	170 (42%)		30%
Male	668 (54%)	236 (58%)		35%
Part-time	**314 (20%)**	**79 (16%)**		**25%**
Female	212 (68%)	51 (65%)		24%
Male	102 (32%)	28 (35%)		27%
Total	**1549**	**485**		**31%**

24.   The female full-time considered rate reverted much closer to mean, but female part-time remained significantly low.

Mini-REF 2017

Table 5c. Number of eligible and considered staff by working pattern and gender for the 2017 Mini-REF. Data in parentheses show both working pattern and gender as a percentage of the pool total.

Working Pattern	Eligible	Consider-ed		Considered (% eligible)
Full-time	**1292 (81%)**	**457 (85%)**		**35%**
Female	583 (45%)	179 (39%)		31%
Male	709 (55%)	278 (61%)		39%
Part-time	**303 (19%)**	**83 (15%)**		**27%**
Female	206 (68%)	55 (66%)		27%
Male	97 (32%)	28 (34%)		29%
Total	**1595**	**540**		**34%**

25.   Female part-time remains significantly low, while male part time has also dropped to 5% below the mean. The 18 month cycle of Mini-REFs may have a general issue with part-time staff, who in many disciplines could reasonably be expected to produce just one output every three years and still be on track (under previous REF requirements).

Contract Type

<u>REF 2014</u>

Table 6a. Number of eligible, considered and included staff by occupancy for the final REF submission. Data in parentheses show permanent and fixed-term staff as a percentage of the relevant pool total.

Contract Type	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Permanent	1446 (94%)	387 (94%)	228 (92%)	27%	59%	16%
Female	719 (50%)	160 (41%)	95 (42%)	22%	59%	13%
Male	727 (50%)	227 (59%)	133 (58%)	31%	58%	18%
Fixed-term	92 (6%)	26 (6%)	21 (8%)	28%	81%	23%
Female	33 (36%)	9 (35%)	7 (33%)	27%	78%	21%
Male	59 (64%)	17 (65%)	14 (67%)	29%	82%	24%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

26.   Female permanent staff were 5% lower than average.

<u>Mini-REF 2015</u>

Table 6b. Number of eligible and considered staff by occupancy for the 2015 Mini-REF. Data in parentheses show permanent and fixed-term staff as a percentage of the relevant pool total.

Contract Type	Eligible	Consider-ed		Considered (% eligible)
Permanent	**1486 (96%)**	**466 (96%)**		**31%**
Female	749 (50%)	213 (46%)		28%
Male	737 (50%)	253 (54%)		34%
Fixed-term	**63 (4.1%)**	**19 (3.9%)**		**30%**
Female	30 (48%)	8 (42%)		27%
Male	33 (52%)	11 (58%)		33%
Total	**1549**	**485**		**31%**

27.   Female permanent staff had reverted closer to mean. No subgroup was more than 5% below average.

<u>Mini-REF 2017</u>

Table 6c. Number of eligible and considered staff by occupancy for the 2017 mini-REF. Data in parentheses show permanent and fixed-term staff as a percentage of the relevant pool total.

Contract Type	Eligible	Consider-ed		Considered (% eligible)
Permanent	**1498 (94%)**	**508 (94%)**		**34%**
Female	747 (50%)	222 (44%)		30%
Male	751 (50%)	286 (56%)		38%
Fixed-term	**97 (6.1%)**	**32 (5.9%)**		**33%**
Female	42 (43%)	12 (38%)		29%
Male	55 (57%)	20 (63%)		36%
Total	**1595**	**540**		**34%**

28.   No subgroup is more than 5% below average.

Conclusion

29. Progress has continued in the intervening 18 month period between Mini-REF 2015 and Mini-REF 2017.

30. Of particular note is that there are no gaps of potential significance relating to disability, ethnicity or contract type. In disability and ethnicity, the equality groups were slightly higher than the majority groups.

31. Gaps relating to gender (females), age (50-59s) and working pattern (part-time) remain. While not universally reducing, the direction of travel remains broadly positive.

32. In terms of performance, female staff received proportionally fewer high ratings, but this gap is also closing.

33. Other gaps of potential significance had too small sample sizes to be able to draw any assertions from.

Actions

30. Repeat this exercise for the draft REF submissions (starting autumn 2018), to ensure the direction of travel remains and that any significant gaps that exist between equality groups and non-equality groups continue to shrink. The rules of REF have now changed significantly, which will introduce different dimensions regarding equality groups. A new pool of staff will be created - those with 'significant responsibility for research' (SRfR), which is different from the previous eligible, considered and included pools. There will be a new focus on ranking outputs, rather than simply rating them; and each staff member with SRfR will have between 1-5 outputs contributing to the submission, based on those rankings. Therefore future EIAs will diverge and lose continuity with the 2014, 2015 and 2017 ones. However, efforts will be made to draw comparisons where possible.

31. Codify the University's approach to ensuring equality and diversity under the new REF rules in the institutional Code of Practice, to be published in spring 2019.

32. In this EIA only equality data for lead case study authors was reviewed. List of supporting contributors were not consistently provided and, where they were, were difficult to separate out - as many projects listed entire research groups, including doctoral researchers and administrative staff. Future EIAs will endeavour to capture the full picture of REF-eligible staff developing impact case studies.

33. Continue to ensure that all reading group members have undertaken HR's Unconscious Bias online module.

First Draft REF 2018 EIA

RESEARCHER CONCORDAT OPERATIONS GROUP

6 MAY 2020

EQUALITY IMPACT ASSESSMENT – REF FIRST DRAFT 2018

BACKGROUND

1. For REF the University is required to undertake a thorough equality impact assessment (EIA), where data on equality groups' representation through the process is collected and analysed.
2. The data and key findings for REF 2014, Mini-REF 2015 and Mini-REF 2017 have previously been presented.
3. This paper provides an update, incorporating additional data from the First Draft exercise that took place in 2018 (with a census date of 31 August).

PURPOSE

4. To highlight any significant equality and diversity issues in the new data collected for the First Draft exercise 2018.
5. To check that any areas of concern from REF 2014, Mini-REF 2015 and Mini-REF 2017 are improving, with existing gaps between equality groups and other staff continuing to shrink.
6. To make new recommendation with a view to further improving staff participation in future assessment exercises, with explicit reference to underrepresented groups.
7. As Mini-REF and REF drafting exercises are internal exercises, the data is available to compare performance levels, as well as participation rates.

TERMS OF REFERENCE TO WHICH THE ITEM RELATES

8. Researcher Concordat Action Plan v.4.0 (January 2019) - Action 6.1.2
9. Athena SWAN Action Plan (November 2017) - Action A18

ACTION

TO DISCUSS

TO BE INTRODUCED BY

Arnett Powell and Keith Fildes
Policy, Impact & Performance Team
Research and Innovation Service

Introduction

10. The purpose of REF-related equality impact assessments is to identify whether there are imbalances in terms of gender, disability, ethnicity, age, working pattern and contract type between Category A staff included in the University's submissions, relative to the total eligible pool of staff who could be submitted, and those who were considered for inclusion.

11. This review focuses primarily on the level of staff considered for First Draft exercise 2018 as a proportion of the eligible population, rather than the staff selected for inclusion, which was not part of these internal exercises. There had been no concerns about bias in selection forthcoming from the REF 2014 equality impact assessment; however, raising the considered rate of a few specific equality groups had been identified as the priority.

12. For the purposes of REF, the definitions of staff are as follows:
- **Category A**: Academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on the census date, and whose primary employment function is to undertake either 'research only' or 'teaching and research', and who are returned in the HESA staff return as 'academic professional'
- **Eligible**: Academic staff who meet the Research England definition of Category A staff
- **Considered**: Eligible staff who submitted their research outputs for review
- **Included**: For REF, but not this First Draft exercise - eligible staff who have Significant Responsibility for Research according to the University's Code of Practice

13. Performance data (i.e. scores) for these First Draft figures are averages of all the outputs scored against each individual. Previous Mini-REFs had only considered one output per person.

Contents

Key

Blue background = new First Draft 2018 data

Yellow highlight = significant gap (generally 5% below the average and with a valuable sample size; not a statistical significance measure)

Gender

REF 2014 - Participation and Selection

Table 1a. Number of eligible, considered and included staff by gender for the final REF submission. Data in parentheses show female and male staff as a proportion of the total for each pool.

Gender	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Female	752 (49%)	169 (41%)	102 (41%)	23%	60%	13%
Male	786 (51%)	244 (59%)	147 (59%)	31%	60%	19%
Total	1538	413	249	27%	60%	19%

14. In REF 2014 it was noted that while there was no overt discrimination in the REF staff selection processes, notably fewer women were putting themselves forward for consideration.

Mini-REF 2015 - Participation

Table 1b. Number of eligible and considered staff by gender for the 2015 Mini-REF. Data in parentheses show female and male staff as a proportion of the total for each pool.

Gender	Eligible	Considered		Considered (% eligible)
Female	779 (50%)	221 (46%)		28%
Male	770 (50%)	264 (54%)		34%
Total	1549	485		31%

15. In Mini-REF 2015 those putting themselves forward from both genders increased - the female percentage increased by 5% and the male 3%. This closed the gap.

Mini-REF 2017 - Participation

Table 1c. Number of eligible and considered staff by gender for the 2017 Mini-REF. Data in parentheses show female and male staff as a proportion of the total for each pool.

Gender	Eligible	Considered		Considered (% eligible)
Female	789 (49%)	234 (43%)		30%
Male	806 (51%)	306 (57%)		38%
Total	1595	540		34%

16. In Mini-REF 2017 those putting themselves forward from both genders has increased, the female percentage increased by 2% and the male 4%. This has increased the gap, though the female rate remains within 5% of the average.

First Draft 2018 – Participation

Table 1d. Number of eligible and considered staff by gender for the 2018 First Draft exercise. Data in parentheses show female and male staff as a proportion of the total for each pool.

Gender	Eligible	Considered		Considered (% eligible total pop.)
Female	798 (51%)	255 (45%)		32%
Male	782 (49%)	317 (55%)		41%
Total	1580	572		36%

17. In the First Draft 2018 exercise, those putting themselves forward from both genders has increased. However, there is a gap of 9% between male and female staff being considered. This has increased slightly from 8% in previous exercises.

Mini-REF 2015 - Performance

Table 1e. Quality ratings of outputs by gender for the 2015 Mini-REF. Data in parentheses show the quality rating for female and male staff as a proportion of the total for each quality pool. For the purpose of this exercise, those awarded borderline .5 ratings have been rounded down.

Gender	4*	3*	2*	1*	U
Female	11 (35%)	76 (41%)	70 (48%)	33 (47%)	31 (60%)
Male	20 (65%)	111 (59%)	75 (52%)	37 (53%)	21 (40%)
Total	31	187	145	70	52

18. When the ratings awarded to outputs were viewed by gender, it was shown that male staff were receiving a greater proportion of 3* and 4*, while females were receiving a greater proportion of unclassified ratings.

Mini-REF 2017 - Performance

Table 1f. Quality ratings of outputs by gender for the 2017 Mini-REF. Data in parentheses show the quality rating for female and male staff as a proportion of the total for each quality pool. For the purpose of this exercise, those awarded borderline .5 ratings have been rounded down.

Gender	4*	3*	2*	1*	U
Female	20 (43%)	82 (41%)	74 (43%)	29 (48%)	29 (48%)
Male	26 (54%)	120 (59%)	97 (57%)	31 (52%)	32 (52%)
Total	46	202	171	60	61

19. When the ratings awarded to outputs are viewed by gender, it can be seen that male staff are receiving a greater proportion of 3* and 4*. The direction of travel from 2015 is that these gaps are reducing.

First Draft 2018 – Performance

Table 1g. Quality ratings of outputs by gender for the First Draft exercise 2018. Data in parentheses show the quality rating for female and male staff as a proportion of the total for each quality pool. For the purpose of this exercise, those awarded borderline .5 ratings have been rounded down. Some outputs were marked as "not for review" or score data was not available; these are shown in the table as "NfR" and "NSD" respectively.

Gender	4*	3*	2*	1*	U	NfR	NSD
Female	19 (63%)	79 (40%)	111 (45%)	26 (49%)	9 (45%)	4 (50%)	7 (7%)
Male	11 (37%)	118 (60%)	133 (55%)	27 (51%)	11 (55%)	4 (50%)	12 (12%)
Total	30	197	244	53	20	8	19

20. When the ratings awarded to outputs are viewed by gender, it can be seen that male staff continue to receive a greater proportion of combined 3* and 4* ratings, which has been the trend since the Mini-REF exercise undertaken in 2015. However, in this exercise a higher proportion of female staff were awarded a 4* rating compared to male staff.

Mini-REF 2017 - Case Study Authors

Table 1h. Number of eligible and considered staff by gender for the 2017 Mini-REF for lead authors of impact case studies. Data in parentheses show female and male staff as a proportion of the total for each pool. This is the first time this element of REF has been considered from an equality perspective.

Gender	Eligible	Considered		Considered (% eligible)
Female	789 (49%)	31 (36%)		3.9%
Male	806 (51%)	54 (64%)		6.7%
Total	1595	85		5.3%

21. There is a notably smaller proportion of female case study authors. This is unlikely to change during this REF-cycle, as case studies are long term initiatives, but should continue to be monitored, especially when the next 'long list' is compiled for the following REF cycle (2021-26).

First Draft 2018 – Case Study Authors

Table 1i. Number of eligible and considered staff by gender for the 2018 First Draft exercise for lead authors of impact case studies. Data in parentheses show female and male staff as a proportion of the total for each pool.

Gender	Eligible	Considered		Considered (% eligible)
Female	798 (51%)	20 (29%)		2.5%
Male	782 (49%)	49 (71%)		6.3%
Total	1580	69		4.4%

22. The gap between female and male case study authors has increased as the field of potential ICSs has narrowed, with only 2.5% of females considered compared to 6.3% of males. This gap should continue to be monitored and reviewed following the REF 2021 to identify actions that can be made in preparation for the next REF cycle.

Disability

Table 2a. Number of eligible, considered and included staff by disability for the final REF submission. Data in parentheses show female and male staff as a proportion of the total for each pool.

Disability	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
No	1493 (97%)	404 (98%)	242 (97%)	28%	60%	16%
Yes	45 (3%)	9 (2%)	7 (3%)	20%	78%	15%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

23. The gaps between disabled and non-disabled staff were marked, but the sample size was too small to indicate there was any bias.

Mini-REF 2015

Table 2b. Number of eligible and considered staff by disability for the 2015 Mini-REF. Data in parentheses show female and male staff as a proportion of the total for each pool.

Disability	Eligible	Considered		Considered (% eligible)
No	1388 (90%)	432 (89%)		31%
Yes	55 (4%)	20 (4%)		36%
Unknown	106 (7%)	33 (7%)		31%
Total	**1549**	**485**		**31%**

24. The gap reversed, with there being a higher percentage of eligible disabled staff considered than non-disabled. However, the small sample size again means such fluctuations should be treated with caution. A slightly different methodology was used, where unknowns were separated from not disabled, but that did not alter the results.

Mini-REF 2017

Table 2c. Number of eligible and considered staff by disability for the 2017 Mini-REF. Data in parentheses show female and male staff as a proportion of the total for each pool.

Disability	Eligible	Considered		Considered (% eligible)
No	1345 (84%)	452 (84%)		34%
Yes	61 (4%)	22 (4%)		36%
Unknown	189 (12%)	66 (12%)		35%
Total	**1595**	**540**		**34%**

25. There is virtually no difference between disabled and non-disabled staff.

First Draft 2018 – Disability

Table 2d. Number of eligible and considered staff by disability for the 2018 First Draft exercise. Data in parentheses show female and male staff as a proportion of the total for each pool.

Disability	Eligible	Considered		Considered (% eligible)
No	1374 (87%)	505 (88%)		37%
Yes	90 (6%)	27 (5%)		30%
Unknown	116 (7%)	39 (7%)		34%

Total	1580	571		36%

26. A higher percentage of eligible non-disabled staff were considered than disabled staff, with a gap of 7%. Due to the small sample size, it is difficult to identify a trend when comparisons are made to the 2015 & 2017 Mini-REF exercises, where a greater proportion of disabled staff were considered than non-disabled. However, this gap should continue to be monitored for any further gap increases.

Age

Table 3a. Number of eligible, considered and included staff by age band for the final REF submission. Data in parentheses show each age band as a proportion of the total for each pool.

Age	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
21-24	3 (0.2%)	0 (0%)	0 (0%)	0%	-	-
25-29	37 (2.4%)	10 (2.4%)	7 (2.8%)	27%	70%	19%
30-34	137 (8.9%)	45 (11%)	27 (11%)	33%	60%	20%
35-39	167 (11%)	60 (15%)	40 (16%)	36%	67%	24%
40-44	208 (14%)	65 (16%)	34 (14%)	31%	52%	16%
45-49	297 (19%)	77 (19%)	48 (19%)	26%	62%	16%
50-54	284 (19%)	52 (13%)	29 (12%)	18%	56%	10%
55-59	227 (15%)	56 (14%)	35 (14%)	25%	63%	15%
60+	178 (12%)	48 (12%)	29 (12%)	27%	60%	16%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

27. The 50-54 age band was particularly low. Historic recruitment practices and involvement in managerial roles were possible causes of this.

Table 3b. Number of eligible and considered staff by age band for the 2015 Mini-REF. Data in parentheses show each age band as a proportion of the total for each pool.

Age	Eligible	Considered		Considered (% eligible)
21-24	1 (0.6%)	0 (0%)		0%
25-29	42 (2.9%)	14 (2.9%)		33%
30-34	128 (8.3%)	57 (12%)		45%
35-39	188 (12%)	75 (15%)		40%
40-44	202 (13%)	79 (16%)		39%
45-49	290 (19%)	86 (18%)		30%
50-54	296 (19%)	80 (16%)		27%
55-59	242 (16%)	57 (12%)		24%
60+	160 (10%)	37 (7.6%)		23%
Total	**1549**	**485**		**31%**

28. The 50-54 band reverted much closer to mean, while the 55-59 and 60+ bands both dropped more than 5% below average. This could just be natural through flow of staff who began their careers prior to 1992 when research expectations expanded significantly across the sector.

Table 3c. Number of eligible and considered staff by age band for the 2017 Mini-REF. Data in parentheses show each age band as a proportion of the total for each pool.

Age	Eligible	Considered		Considered (% eligible)
21-24	2 (0.1%)	1 (0.2%)		50%
25-29	52 (3.3%)	21 (3.9%)		40%
30-34	138 (8.7%)	64 (12%)		46%
35-39	230 (14%)	105 (19%)		46%
40-44	211 (13%)	80 (15%)		38%

Age	Eligible	Considered		Considered (% eligible)
45-49	280 (18%)	84 (16%)		30%
50-54	301 (19%)	81 (15%)		27%
55-59	226 (14%)	56 (10%)		25%
60+	155 (9.7%)	48 (8.9%)		31%
Total	1595	540		34%

29. The 50-54 and 55-59 bands remain a concern. The 60+ band however increased significantly.

<u>First Draft 2018</u>

Table 3d. Number of eligible and considered staff by age band for the 2018 First Draft exercise. Data in parentheses show each age band as a proportion of the total for each pool.

Age	Eligible	Considered		Considered (% eligible)
21-24	2 (0.1%)	0 (0%)		0%
25-29	33 (2.1%)	13 (2.3%)		39%
30-34	140 (8.9%)	64 (11%)		46%
35-39	231 (15%)	106 (19%)		46%
40-44	203 (13%)	90 (16%)		44%
45-49	254 (16%)	90 (16%)		35%
50-54	305 (19%)	90 (16%)		30%
55-59	247 (16%)	59 (10%)		24%
60+	165 (10%)	59 (10%)		36%
Total	1580	571		36%

30. Most age groups have remained the same or increased slightly in the number of staff considered. The most significant increases were in the 40-44 and 60+ age bands which have increased by 6% and 7% respectively. The 50-54 and 55-59 groups remain more than 5% below the mean.

<u>Mini-REF 2015 - Performance</u>

Table 3e. Quality ratings of outputs by age band for the 2015 Mini-REF. Data in parentheses show each age band as a proportion of the total for each pool. For the purpose of this table, those awarded borderline .5 ratings have been rounded down

Age	4*	3*	2*	1*	U
21-24	**0 (0%)**	**0 (0%)**	**0 (0%)**	**0 (0%)**	**0 (0%)**
Female	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Male	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
25-29	**1 (2.3%)**	**6 (3.2%)**	**4 (2.8%)**	**3 (4.3%)**	**0 (0%)**
Female	1 (100%)	4 (67%)	1 (25%)	1 (33%)	0 (0%)
Male	0 (0%)	2 (33%)	3 (75%)	2 (67%)	0 (0%)
30-34	**3 (9.7%)**	**21 (11%)**	**20 (14%)**	**5 (7.1%)**	**8 (15%)**
Female	1 (33%)	11 (52%)	9 (45%)	2 (40%)	4 (50%)
Male	2 (67%)	10 (48%)	11 (55%)	3 (60%)	4 (50%)
35-39	**4 (13%)**	**34 (18%)**	**24 (17%)**	**7 (10%)**	**6 (12%)**
Female	1 (25%)	17 (50%)	14 (58%)	2 (29%)	4 (67%)
Male	3 (75%)	17 (50%)	10 (42%)	5 (71%)	2 (33%)
40-44	**6 (19%)**	**29 (16%)**	**26 (18%)**	**10 (14%)**	**8 (15%)**
Female	1 (17%)	11 (38%)	12 (46%)	5 (50%)	5 (63%)
Male	5 (83%)	18 (62%)	14 (54%)	5 (50%)	3 (38%)
45-49	**6 (19%)**	**30 (16%)**	**25 (17%)**	**14 (20%)**	**11 (21%)**

	4*	3*	2*	1*	U
Female	2 (33%)	11 (37%)	14 (56%)	10 (71%)	8 (73%)
Male	4 (67%)	19 (63%)	11 (44%)	4 (29%)	3 (27%)
50-54	**5 (16%)**	**27 (14%)**	**24 (17%)**	**17 (24%)**	**7 (13%)**
Female	2 (40%)	10 (37%)	10 (42%)	9 (53%)	6 (86%)
Male	3 (60%)	17 (63%)	14 (58%)	8 (47%)	1 (14%)
55-59	**3 (9.7%)**	**22 (12%)**	**14 (9.7%)**	**9 (13%)**	**9 (17%)**
Female	2 (33%)	6 (27%)	6 (43%)	2 (22%)	4 (44%)
Male	1 (67%)	16 (73%)	8 (57%)	7 (78%)	5 (56%)
60+	**3 (9.7%)**	**18 (9.6%)**	**8 (5.5%)**	**5 (7.1%)**	**3 (5.8%)**
Female	1 (33%)	6 (33%)	4 (50%)	2 (40%)	0 (0%)
Male	2 (67%)	12 (67%)	4 (50%)	3 (60%)	3 (100%)
Total	**31**	**187**	**145**	**70**	**52**

31. When the ratings awarded to outputs were viewed by age as well as gender, it was seen that the gaps at 4*, 3* and unclassified primarily exist in the over 40s age groups.

Mini-REF 2017 - Performance

Table 3f. Quality ratings of outputs by age band for the 2017 Mini-REF. Data in parentheses show each age band as a proportion of the total for each pool. For the purpose of this table, those awarded borderline .5 ratings have been rounded down.

Age	4*	3*	2*	1*	U
21-24	**0 (0%)**	**0 (0%)**	**1 (0.6%)**	**0 (0%)**	**0 (0%)**
Female	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Male	0 (0%)	0 (0%)	1 (100%)	0 (0%)	0 (0%)
25-29	**0 (0%)**	**5 (2.5%)**	**13 (7.6%)**	**2 (3.3%)**	**1 (1.6%)**
Female	0 (0%)	2 (40%)	8 (62%)	1 (50%)	0 (0%)
Male	0 (0%)	3 (60%)	5 (38%)	1 (50%)	1 (100%)
30-34	**4 (8.7%)**	**27 (13%)**	**20 (12%)**	**5 (8.3%)**	**8 (13%)**
Female	1 (25%)	10 (37%)	12 (60%)	3 (60%)	3 (38%)
Male	3 (75%)	17 (63%)	8 (40%)	2 (40%)	5 (63%)
35-39	**9 (20%)**	**43 (21%)**	**35 (20%)**	**9 (15%)**	**9 (15%)**
Female	3 (33%)	19 (44%)	14 (40%)	4 (44%)	5 (56%)
Male	6 (67%)	24 (56%)	21 (60%)	5 (56%)	4 (44%)
40-44	**6 (13%)**	**27 (13%)**	**30 (18%)**	**11 (18%)**	**6 (9.8%)**
Female	4 (67%)	15 (56%)	11 (37%)	6 (55%)	3 (50%)
Male	2 (33%)	12 (44%)	19 (63%)	5 (45%)	3 (50%)
45-49	**11 (24%)**	**28 (14%)**	**20 (12%)**	**18 (30%)**	**7 (11%)**
Female	3 (27%)	9 (32%)	13 (65%)	8 (44%)	3 (43%)
Male	8 (73%)	19 (68%)	7 (35%)	10 (56%)	4 (57%)
50-54	**6 (13%)**	**34 (17%)**	**21 (12%)**	**6 (10%)**	**14 (23%)**
Female	4 (67%)	14 (41%)	7 (33%)	2 (33%)	6 (43%)
Male	2 (33%	20 (59%)	14 (67%)	4 (67%)	8 (57%)
55-59	**6 (13%)**	**20 (9.9%)**	**13 (7.6%)**	**5 (8.3%)**	**12 (20%)**
Female	1 (17%)	8 (40%)	2 (15%)	4 (80%)	8 (67%)
Male	5 (83%)	12 (60%)	11 (85%)	1 (20%)	4 (33%)
60+	**4 (8.7%)**	**18 (8.9%)**	**18 (11%)**	**4 (6.7%)**	**4 (6.6%)**
Female	4 (100%)	5 (28%)	7 (39%)	1 (25%)	1 (25%)
Male	0 (0%)	13 (72%)	11 (61%)	3 (75%)	3 (75%)

10

Total	**46**	**202**	**171**	**60**	**61**		

32. When the ratings awarded to outputs are viewed by age as well as gender, it can be seen that the gaps at 4* and 3* still exist. The higher rate of female unclassified however has disappeared. The concentration of gaps in the over 40s age groups is not so strong. Sample sizes in some of the bands are quite small.

First Draft 2018 – Performance by age group

Table 3g. Quality ratings of outputs by age band for the 2018 First Draft exercise. Data in parentheses show each age band as a proportion of the total for each pool. For the purpose of this table, those awarded borderline .5 ratings have been rounded down. Some outputs were marked as "not for review" or score data was not available; these are shown in the table as "NfR" and "NSD" respectively.

Age	4*	3*	2*	1*	U	NfR	NSD
21-24	**0 (0%)**	**0 (0%)**	**0 (0%)**	**0 (0%)**	**0 (0%)**	**0 (0%)**	**0 (0%)**
Female	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
Male	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)
25-29	**0 (0%)**	**3 (1.5%)**	**8 (3%)**	**0 (0%)**	**0 (0%)**	**1 (13%)**	**1 (5%)**
Female	0 (0%)	1 (33%)	4 (50%)	0 (0%)	0 (0%)	1 (100%)	0 (0%)
Male	0 (0%)	2 (67%)	4 (50%)	0 (0%)	0 (0%)	0 (0%)	1 (100%)
30-34	**9 (30%)**	**19 (10%)**	**29 (12%)**	**4 (8%)**	**0 (0%)**	**2 (25%)**	**1 (5%)**
Female	5 (56%)	10 (53%)	11 (38%)	2 (50%)	0 (0%)	1 (50%)	0 (0%)
Male	4 (44%)	9 (47%)	18 (62%)	2 (50%)	0 (0%)	1 (50%)	1 (100%)
35-39	**3 (10%)**	**38 (19%)**	**53 (22%)**	**5 (9%)**	**0 (0%)**	**2 (25%)**	**5 (26%)**
Female	2 (67%)	14 (37%)	26 (49%)	2 (40%)	0 (0%)	1 (50%)	2 (40%)
Male	1 (33%)	24 (63%)	27 (51%)	3 (60%)	0 (0%)	1 (50%)	3 (60%)
40-44	**4 (13%)**	**32 (16%)**	**35 (14%)**	**11 (21%)**	**5 (25%)**	**0 (0%)**	**3 (16%)**
Female	2 (50%)	16 (50%)	15 (43%)	6 (55%)	2 (40%)	0 (0%)	1 (33%)
Male	2 (50%)	16 (50%)	20 (57%)	5 (45%)	3 (60%)	0 (0%)	2 (67%)
45-49	**3 (10%)**	**31 (16%)**	**39 (16%)**	**12 (23%)**	**4 (20%)**	**0 (0%)**	**1 (5%)**
Female	3 (100%)	9 (29%)	21 (54%)	7 (58%)	3 (75%)	0 (0%)	0 (0%)
Male	0 (0%)	22 (71%)	18 (46%)	5 (42%)	1 (25%)	0 (0%)	1 (100%)
50-54	**5 (17%)**	**38 (19%)**	**33 (14%)**	**8 (15%)**	**3 (15%)**	**1 (13%)**	**2 (11%)**
Female	3 (60%)	14 (37%)	16 (48%)	4 (50%)	2 (67%)	1 (100%)	1 (50%)
Male	2 (40%)	24 (63%)	17 (52%)	4 (50%)	1 (33%)	0 (0%)	1 (50%)
55-59	**3 (10%)**	**16 (8%)**	**29 (12%)**	**5 (9%)**	**4 (20%)**	**1 (13%)**	**1 (5%)**
Female	2 (67%)	7 (44%)	11 (38%)	2 (40%)	2 (50%)	0 (0%)	1 (100%)
Male	1 (33%)	9 (56%)	18 (62%)	3 (60%)	2 (50%)	1 (100%)	0 (0%)
60+	**3 (10%)**	**20 (10%)**	**18 (7%)**	**8 (15%)**	**4 (20%)**	**1 (13%)**	**5 (26%)**
Female	2 (67%)	8 (40%)	7 (39%)	3 (38%)	0 (0%)	0 (0%)	2 (40%)

Male	1 (33%)	12 (60%)	11 (61%)	5 (62%)	4 (100%)	1 (13%)	3 (60%)
Total	**30**	**197**	**244**	**53**	**20**	**8**	**19**

33. Gaps in terms of gender still exist at ratings 3* and 4*, particularly in the 35-39, 45-49 and 50-54 age groups. The gap in the 60+ age group has decreased. Sample sizes in some of the bands are quite small.

34. There is a prospect that reviewer bias exists. Although this was shown to not exist in terms of the selection process for REF 2014, the reading groups were broader for the Mini-REFs/First Draft so involved more individuals, and potentially a number who had still not undergone any diversity training such as unconscious bias (though this was requested). To mitigate against this, all reading group members have now undertaken the university unconscious bias training modules 1 & 2 and reading group members will also undertake an online REF specific equality & diversity course.

Ethnicity

Table 4a. Number of eligible, considered and included staff by ethnicity for the final REF submission. Data in parentheses show both ethnicity as a percentage of the pool total.

Ethnicity	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Asian/Asian British-Bangladeshi	3 (0.2%)	0 (0%)	0 (0%)	0%	0%	0%
Asian/Asian British-Indian	20 (1.3%)	9 (2.2%)	7 (2.8%)	45%	78%	35%
Asian/Asian British-Pakistani	6 (0.4%)	3 (0.7%)	1 (0.4%)	50%	33%	17%
Black/Black British-African	11 (0.7%)	3 (0.7%)	0 (0%)	27%	0%	0%
Black/Black British Caribbean	7 (0.5%)	0 (0%)	0 (0%)	0%	0%	0%
Chinese	24 (1.6%)	5 (1.2%)	3 (1.2%)	21%	60%	12%
Mixed-White & Asian	7 (0.5%)	3 (0.7%)	2 (0.8%)	43%	67%	29%
Mixed-White & Black African	4 (0.3%)	1 (0.2%)	0 (0%)	25%	0%	0%
Mixed-White & Black Caribbean	3 (0.2%)	0 (0%)	0 (0%)	0%	0%	0%
Other Asian Background	31 (2%)	11 (2.7%)	6 (2.4%)	35%	55%	19%
Other Ethnic Background	5 (0.3%)	3 (0.7%)	0 (0%)	60%	0%	0%
Other Mixed background	4 (0.3%)	2 (0.5%)	1 (0.4%)	50%	50%	25%
Other White Background	92 (6%)	41 (9.9%)	25 (10%)	45%	61%	27%
White British	1248 (81%)	310 (75%)	188 (75%)	25%	61%	15%
Not Known	73 (4.7%)	22 (5.3%)	16 (6.4%)	30%	5%	22%
Grand total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

35. Small samples sizes of most non-white staff prevented robust data analysis. The level of Chinese staff considered was potentially a concern, as that sample size was slightly larger.

Table 4b. Number of eligible and considered staff by ethnicity for the 2015 Mini-REF. Data in parentheses show both ethnicity as a percentage of the pool total.

Ethnicity	Eligible	Considered		Considered (% eligible)
Asian/Asian British-Bangladeshi	4 (0.2%)	1 (0.2%)		25%
Asian/Asian British-Indian	22 (1.4%)	11 (2.3%)		50%
Asian/Asian British-Pakistani	7 (0.5%)	1 (0.2%)		14%
Black/Black British-African	11 (0.7%)	2 (0.4%)		18%
Black/Black British Caribbean	8 (0.5%)	2 (0.4%)		25%
Chinese	27 (1.7%)	7 (1.4%)		26%
Mixed-White & Asian	8 (0.5%)	4 (0.8%)		50%
Mixed-White & Black African	4 (0.3%)	1 (0.2%)		25%
Mixed-White & Black Caribbean	3 (0.2%)	0 (0%)		0%
Other Asian Background	32 (2.1%)	15 (3.1%)		47%
Other Ethnic Background	3 (0.2%)	2 (0.4%)		67%
Other Mixed background	3 (0.2%)	1 (0.2%)		33%
Other White Background	85 (5.5%)	39 (8.0%)		46%
White British	1236 (80%)	373 (77%)		30%
Not Known	96 (6.2%)	26 (5.4%)		27%
Grand total	**1549**	**485**		**31%**

36. The Chinese staff considered level reverted closer to mean. Seven ethnic groups showed as 5% below average considered rate, however the entire population of these seven groups was only 64 individuals. Minority groups combined were considered at a slightly higher rate than the White British majority.

Mini-REF 2017

Table 4c. Number of eligible and considered staff by ethnicity for the 2017 Mini-REF. Data in parentheses show both ethnicity as a percentage of the pool total.

Ethnicity	Eligible	Considered		Considered (% eligible)
Arab	2 (0.1%)	0 (0%)		0%
Asian/Asian British-Bangladeshi	9 (0.6%)	3 (0.6%)		33%
Asian/Asian British-Indian	30 (1.9%)	12 (2.2%)		40%
Asian/Asian British-Pakistani	7 (0.4%)	4 (0.7%)		57%
Black/Black British-African	17 (1.1%)	5 (0.9%)		29%
Black/Black British Caribbean	10 (0.6%)	2 (0.4%)		20%
Chinese	29 (1.8%)	10 (1.9%)		34%
Mixed-White & Asian	9 (0.6%)	3 (0.6%)		33%
Mixed-White & Black African	3 (0.2%)	2 (0.4%)		67%
Mixed-White & Black Caribbean	3 (0.2%)	1 (0.2%)		33%
Other Asian Background	33 (2.1%)	10 (1.9%)		30%
Other Black Background	1 (0.1%)	0 (0%)		0%
Other Ethnic Background	3 (0.2%)	1 (0.2%)		33%
Other Mixed background	6 (0.4%)	3 (0.6%)		50%
Other White Background	91 (5.7%)	44 (8.1%)		48%
White British	1255 (79%)	411 (76%)		33%
Not Known	87 (5.5%)	29 (5.4%)		33%
Grand total	**1595**	**540**		**34%**

37. There is no group with any sizable sample size that is of concern. Minority groups combined are considered at a slightly higher rate than the White British majority.

First Draft 2018

Table 4d. Number of eligible and considered staff by ethnicity for the 2018 First Draft exercise. Data in parentheses show both ethnicity as a percentage of the pool total.

Ethnicity	Eligible	Considered		Considered (% eligible)
Arab	6 (0.4%)	1 (0%)		17%
Asian/Asian British - Bangladeshi	7 (0.4%)	0 (0%)		0%
Asian/Asian British - Indian	29 (1.8%)	15 (3%)		52%
Asian/Asian British - Pakistani	7 (0%)	4 (1%)		57%
Black/Black British - African	19 (1%)	7 (1%)		37%
Black/Black British - Caribbean	11 (1%)	1 (0%)		9%
Chinese	31 (2%)	12 (2%)		39%
Mixed - White And Asian	10 (1%)	3 (1%)		30%
Mixed - White And Black African	3 (0%)	1 (0%)		33%
Mixed - White And Black Caribbean	3 (0%)	0 (0%)		0%
Other Asian Background	33 (2%)	17 (3%)		52%
Other Black Background	1 (0%)	0 (0%)		0%
Other Ethnic Background	3 (0%)	1 (0%)		33%
Other Mixed Background	8 (1%)	5 (1%)		63%
Other White Background	92 (6%)	45 (8%)		49%
White British	1235 (78%)	429 (75%)		35%
Unknown	82 (5%)	30 (5%)		37%
Total	**1580**	**571**		**36%**

38. The only groups of concern are the Asian/Asian British Bangladeshi, the Black/Black British Caribbean and Mixed- White and Black Caribbean groups as, although the samples sizes are small, staff considered from these groups has fallen by a considerable number compared to the 2017 Mini-REF. Minority groups combined are considered at a higher rate (6% difference) than the White majority group.

Working Pattern

Table 5a. Number of eligible, considered and included staff by working pattern and gender for the final REF submission. Data in parentheses show both working pattern and gender as a percentage of the pool total.

Working Pattern	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Full-time	**1212 (79%)**	**330 (80%)**	**198 (80%)**	**27%**	**60%**	**16%**
Female	546 (45%)	123 (37%)	73 (37%)	23%	59%	13%
Male	666 (55%)	207 (63%)	125 (63%)	31%	61%	19%
Part-time	**326 (21%)**	**83 (20%)**	**51 (20%)**	**25%**	**61%**	**16%**
Female	206 (63%)	46 (55%)	29 (57%)	22%	63%	14%
Male	120 (37%)	37 (45%)	22 (43%)	31%	60%	18%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

39. The female considered rate was lower than average in both types of working pattern, while the working pattern itself showed little affect.

Mini-REF 2015

Table 5b. Number of eligible and considered staff by working pattern and gender for the 2015 Mini-REF. Data in parentheses show both working pattern and gender as a percentage of the pool total.

Working Pattern	Eligible	Consider-ed		Considered (% eligible)
Full-time	**1235 (80%)**	**406 (84%)**		**33%**
Female	567 (46%)	170 (42%)		30%
Male	668 (54%)	236 (58%)		35%
Part-time	**314 (20%)**	**79 (16%)**		**25%**
Female	212 (68%)	51 (65%)		24%
Male	102 (32%)	28 (35%)		27%
Total	**1549**	**485**		**31%**

40. The female full-time considered rate reverted much closer to mean, but female part-time remained significantly low.

Mini-REF 2017

Table 5c. Number of eligible and considered staff by working pattern and gender for the 2017 Mini-REF. Data in parentheses show both working pattern and gender as a percentage of the pool total.

Working Pattern	Eligible	Consider-ed		Considered (% eligible)
Full-time	**1292 (81%)**	**457 (85%)**		**35%**
Female	583 (45%)	179 (39%)		31%
Male	709 (55%)	278 (61%)		39%
Part-time	**303 (19%)**	**83 (15%)**		**27%**
Female	206 (68%)	55 (66%)		27%
Male	97 (32%)	28 (34%)		29%
Total	**1595**	**540**		**34%**

41. Female part-time remains significantly low, while male part time has also dropped to 5% below the mean. The 18-month cycle of Mini-REFs may have a general issue with part-time staff, who in many disciplines could reasonably be expected to produce just one output every three years and still be on track (under previous REF requirements).

First Draft 2018

Table 5d. Number of eligible and considered staff by working pattern and gender for the 2018 First Draft exercise. Data in parentheses show both working pattern and gender as a percentage of the pool total.

Working Pattern	Eligible	Considered		Considered (% eligible)
Full time	**1271 (80%)**	**470 (82%)**		**37%**
Female	585 (46%)	191 (41%)		33%
Male	686 (54%)	279 (59%)		41%
Part-time	**309 (20%)**	**101 (18%)**		**33%**
Female	213 (69%)	64 (63%)		30%
Male	96 (31%)	37 (37%)		39%
Total	**1580**	**571**		**36%**

42. Percentages for considered staff by working pattern have risen across the board. However, female part-time remains significantly below the mean.

Contract Type

<u>REF 2014</u>

Table 6a. Number of eligible, considered and included staff by occupancy for the final REF submission. Data in parentheses show permanent and fixed-term staff as a percentage of the relevant pool total.

Contract Type	Eligible	Consider-ed	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Permanent	1446 (94%)	387 (94%)	228 (92%)	27%	59%	16%
Female	719 (50%)	160 (41%)	95 (42%)	22%	59%	13%
Male	727 (50%)	227 (59%)	133 (58%)	31%	58%	18%
Fixed-term	92 (6%)	26 (6%)	21 (8%)	28%	81%	23%
Female	33 (36%)	9 (35%)	7 (33%)	27%	78%	21%
Male	59 (64%)	17 (65%)	14 (67%)	29%	82%	24%
Total	**1538**	**413**	**249**	**27%**	**60%**	**16%**

43. Female permanent staff were 5% lower than average.

<u>Mini-REF 2015</u>

Table 6b. Number of eligible and considered staff by occupancy for the 2015 Mini-REF. Data in parentheses show permanent and fixed-term staff as a percentage of the relevant pool total.

Contract Type	Eligible	Considered		Considered (% eligible)
Permanent	**1486 (96%)**	**466 (96%)**		**31%**
Female	749 (50%)	213 (46%)		28%
Male	737 (50%)	253 (54%)		34%
Fixed-term	**63 (4.1%)**	**19 (3.9%)**		**30%**
Female	30 (48%)	8 (42%)		27%
Male	33 (52%)	11 (58%)		33%
Total	**1549**	**485**		**31%**

44. Female permanent staff had reverted closer to mean. No subgroup was more than 5% below average.

<u>Mini-REF 2017</u>

Table 6c. Number of eligible and considered staff by occupancy for the 2017 mini-REF. Data in parentheses show permanent and fixed-term staff as a percentage of the relevant pool total.

Contract Type	Eligible	Considered		Considered (% eligible)
Permanent	**1498 (94%)**	**508 (94%)**		**34%**
Female	747 (50%)	222 (44%)		30%
Male	751 (50%)	286 (56%)		38%
Fixed-term	**97 (6.1%)**	**32 (5.9%)**		**33%**
Female	42 (43%)	12 (38%)		29%
Male	55 (57%)	20 (63%)		36%
Total	**1595**	**540**		**34%**

45. No subgroup is more than 5% below average.

<u>First Draft 2018</u>

Table 6d. Number of eligible and considered staff by occupancy for the 2018 First Draft exercise. Data in parentheses show permanent and fixed-term staff as a percentage of the relevant pool total.

Contract Type	Eligible	Considered		Considered (% eligible)
Permanent	**1496 (95%)**	**552 (97%)**		**37%**
Female	753 (50%)	248 (45%)		33%
Male	743 (50%)	304 (55%)		41%
Fixed-term	**84 (5%)**	**19 (3%)**		**23%**
Female	45 (54%)	7 (37%)		16%
Male	39 (46%)	12 (63%)		31%
Total	**1580**	**571**		**36%**

46. The number of fixed-term staff considered has fallen significantly below the mean, as has female fixed-term considered staff, which is of concern.

Conclusions

Participation - eligible staff considered for the First Draft Exercise 2018

47. Overall progress has continued in the intervening period between Mini-REF 2017 and the First Draft exercise undertaken in 2018. However, there are some areas of concern, as detailed below.

48. There have been slight gap increases in terms of gender (proportion of female staff considered); disability (proportion of disabled staff considered); and ethnicity (considered staff from Asian Bangladeshi, Black Caribbean and Mixed – White and Black Caribbean groups) compared to the Mini-REF 2017.

49. The number of staff considered in relation to age has seen fluctuations, with significant gaps existing for the 50-54 and 55-59 groups.

50. Percentages for considered staff by working pattern (part-time) have risen across the board. However, female part-time remains significantly below the mean.

51. The number of fixed-term staff considered has fallen significantly below the mean, as has female fixed-term considered staff, which is of concern.

Performance - output score comparisons by age and gender

52. Male staff are receiving a greater proportion of combined 3* and 4* ratings which has been the trend since the Mini-REF exercise undertaken in 2015. However, in this Draft exercise a higher proportion of female staff were awarded a 4* rating compared to male staff.

53. Gaps in terms of gender still exist at ratings 3* and 4*, particularly in the 35-39, 45-49 and 50-54 age groups.

54. Other gaps of potential significance had too small sample sizes to be able to draw any useful assertions from.

Actions

55. Repeat this exercise for subsequent REF junctures, to ensure the direction of travel remains and that any significant gaps that exist between equality groups and non-equality groups continue to shrink.

56. The rules of REF have now changed significantly, which will introduce different dimensions regarding equality groups. A new pool of staff has been created - those with 'significant responsibility for research' (SRfR), which is different from the previous eligible, considered and included pools. There is a new focus on ranking outputs, rather than simply rating them; and each staff member with SRfR will have between 1-5 outputs contributing to the submission, based on those rankings. Therefore, future EIAs will diverge and lose continuity with the 2014, 2015, 2017 and 2018 ones. However, efforts will be made to draw comparisons where possible.

57. Continue to monitor areas where there are significant gaps.

58. Continue to ensure that all reading group members have undertaken HR's Unconscious Bias online module. In addition, all reading group members will be required to undertake the REF specific equality and diversity training prior to reviewing further draft submissions, as outlined in the institution's REF Code of Practice.

SRfR Exercise 2019 EIA

RESEARCHER CONCORDAT OPERATIONS GROUP

6 MAY 2020

EQUALITY IMPACT ASSESSMENT – REF SIGNIFICANT RESPONSIBILITY FOR RESEARCH 2019 + OVERALL TRENDS 2014-19

BACKGROUND

1. For REF the University is required to undertake a thorough equality impact assessment (EIA), where data on equality groups' representation through the process is collected and analysed.
2. The data and key findings for REF 2014, Mini-REF 2015, Mini-REF 2017 and First Draft 2018 have previously been presented.
3. This paper provides an update, incorporating additional data from the Significant Responsibility for Research (SRfR) exercise that took place during spring/summer 2019 (with a census date of 31 July 2019)
4. It also provides an overall comparison of data collated between 2014 and 2019.

PURPOSE

5. To highlight any significant equality and diversity issues in the new data collected for the SRfR exercise 2019 and to provide an overall comparison of data collated between 2014 and 2019.
6. To check that any areas of concern from REF 2014, Mini-REF 2015, Mini-REF 2017 and First Draft 2018 are improving, with existing gaps between equality groups and other staff continuing to shrink.
7. To make new recommendations with a view to informing any changes to the SRfR process for 2020, with explicit reference to underrepresented groups.

TERMS OF REFERENCE TO WHICH THE ITEM RELATES

8. Researcher Concordat Action Plan v.4.0 (January 2019) - Action 6.1.2
9. Athena SWAN Action Plan (November 2017) - Action A18

ACTION

TO DISCUSS

TO BE INTRODUCED BY

Arnett Powell and Keith Fildes
Policy, Impact & Performance Team
Research and Innovation Service

<u>**Introduction**</u>

10. The purpose of REF-related equality impact assessments is to identify whether there are imbalances in terms of gender, disability, ethnicity, age, working pattern and contract type between Category A staff included in the University's submissions (those with SRfR), relative to the total eligible pool of staff who could be submitted.

11. This review focuses primarily on the level of staff with SRfR as a proportion of the eligible population. SRfR status is determined by criteria set out in the University's REF Code of Practice. For most academic staff it relates to having ≥ 20.8% of time for Research, according to Academic Work Planning (AWP) data on the census date.

12. For the purposes of REF, the definitions of staff are as follows:
    - **Category A**: Academic staff with a contract of employment of 0.2 FTE or greater and on the payroll of the submitting HEI on the census date, and whose primary employment function is to undertake either 'research only' or 'teaching and research', and who are returned in the HESA staff return as 'academic professional'
    - **Eligible**: Academic staff who meet the Research England definition of Category A staff
    - **Included**: The SRfR group are those who will be included in the REF (the final submission will use updated 2020 data, rather than this 2019 one).

Contents

Key

Yellow highlight = significant gap (generally 5% below the average and with a valuable sample size; not a statistical significance measure)

Significant Responsibility for Research 2019

SRfR 2019 – Gender

Inclusion

Table 1a. Number of academic staff and staff with significant responsibility for research (SRfR) by gender. Data in parentheses show female and male staff as a proportion of the total for each pool.

Gender	Eligible (Total Academic Staff)	Included (SRfR)	Included (% eligible total pop.)
Female	807 (51%)	229 (46%)	28%
Male	767 (49%)	271 (54%)	35%
Total	**1574**	**500**	**32%**

13. The number of staff included has decreased overall and for both genders compared to the First Draft 2018. This included group have been identified by the SRfR method, as opposed to staff nominating themselves for consideration. There is still a 7% gap between female and male staff.

Case Study Authors

Table 1b. Number of academic staff and staff with significant responsibility for research (SRfR) for lead authors of impact case studies. Data in parentheses show female and male staff as a proportion of the total for each pool. This is the second time this element of REF has been considered from an equality perspective.

Gender	Eligible (Total Academic Staff)	Included (SRfR)	Included (% eligible total pop.)
Female	807 (51%)	25 (40%)	3.1%
Male	767 (49%)	37 (60%)	4.8%
Total	**1574**	**62**	**3.9%**

14. The gap between female and male case study authors has closed slightly since the First Draft 2018 exercise.

SRfR 2019 – Disability

Table 1c. Number of academic staff and staff with significant responsibility for research (SRfR) by disability. Data in parentheses show female and male staff as a proportion of the total for each pool.

Disability	Eligible (Total Academic Staff)	Included (SRfR)	Included (% eligible total pop.)
No	1354 (86%)	441 (88%)	33%
Yes	89 (6%)	22 (4%)	25%
Unknown	131 (8%)	37 (7%)	28%
Total	**1574**	**500**	**32%**

15. The gap between non-disabled and disabled staff continued to grow since the First Draft 2018. The percentage of disabled staff is 7% below the mean, with a growth of 1% since the previous draft exercise.

SRfR 2019 – Age

Table 1d. Number of academic staff and staff with significant responsibility for research (SRfR) by age. Data in parentheses show female and male staff as a proportion of the total for each pool.

Age	Eligible (Total Academic Staff)	Included (SRfR)	Included (% eligible total pop.)
21-24	0 (0%)	0 (0%)	0.0%
25-29	20 (1.3%)	6 (1.2%)	30%
30-34	138 (8.8%)	52 (10%)	38%
35-39	225 (14%)	92 (18%)	41%
40-44	225 (14%)	84 (17%)	37%
45-49	242 (15%)	73 (15%)	30%
50-54	300 (19%)	83 (17%)	28%
55-59	241 (15%)	51 (10%)	<mark>21%</mark>
60+	183 (12%)	59 (12%)	32%
Total	**1574**	**500**	**32%**

16. Most age groups have remained within 5% of the mean. The 50-54 age group are within 5% of the mean for the first time since REF 2014. The percentage of staff in the 55-59 age group has seen a steady decrease since the Mini-REF 2015 and remains well below the mean, with a gap of 11%.

SRfR 2019 – Ethnicity

Table 1e. Number of academic staff and staff with significant responsibility for research (SRfR) by ethnicity. Data in parentheses show female and male staff as a proportion of the total for each pool.

Ethnicity	Eligible (Total Academic Staff)	Included (SRfR)	Included (% eligible total pop.)
Arab	9 (0.6%)	3 (0.6%)	33%
Asian Or Asian British - Bangladeshi	7 (0.4%)	2 (0.4%)	29%
Asian Or Asian British - Indian	28 (1.8%)	11 (2%)	39%
Asian Or Asian British - Pakistani	8 (0.5%)	3 (0.6%)	38%
Black Or Black British - African	22 (1.4%)	8 (1.6%)	36%
Black Or Black British - Caribbean	6 (0.4%)	1 (0.2%)	17%
Chinese	32 (2%)	15 (3%)	47%
Mixed - White And Asian	10 (0.6%)	2 (0.4%)	20%
Mixed - White And Black African	3 (0.2%)	0 (0%)	0%
Mixed - White And Black Caribbean	2 (0.1%)	0 (0%)	0%
Other Asian Background	34 (2%)	14 (3%)	41%
Other Black Background	1 (0.1%)	1 (0.2%)	100%
Other Ethnic Background	4 (0.1%)	2 (0.4%)	50%
Other Mixed Background	9 (0.6%)	5 (1%)	56%
Other White Background	91 (6%)	45 (9%)	49%
White British	1214 (77%)	361 (72%)	30%
Not Known	94 (6%)	27 (5%)	29%
Total	**1574**	**500**	**32%**

17. The percentage of Mixed – White and Asian staff has fallen dramatically since the First Draft 2018 exercise and by half since the 2014 REF. The sample size has not fluctuated significantly between exercises and this downward trend is of concern. Black or Black British Caribbean staff has increased to 17%, though is 15% below the mean. Minority groups combined were at a slightly higher rate than the White British majority.

SRfR 2019 – Working Pattern

Table 1f. Number of academic staff and staff with significant responsibility for research (SRfR) by working pattern. Data in parentheses show female and male staff as a proportion of the total for each pool.

Working pattern	Eligible (Total Academic Staff)	Included (SRfR)	Included (% eligible total pop.)
Full-time	**1253 (80%)**	**413 (83%)**	**33%**
Female	590 (47%)	174 (42%)	29%
Male	663 (53%)	239 (58%)	36%
Part-time	**321 (20%)**	**87 (17%)**	**27%**
Female	217 (68%)	55 (63%)	25%
Male	104 (32%)	32 (37%)	31%
Total	**1574**	**500**	**32%**

18. The percentage of female part-time staff continues to fall and is 7% below the mean. The number of male part-time staff has decreased since 2018, though remains close to the mean.

SRfR 2019 – Contract Type

Table 1g. Number of academic staff and staff with significant responsibility for research (SRfR) by contract type. Data in parentheses show female and male staff as a proportion of the total for each pool.

Contract Type	Eligible (Total Academic Staff)	Included (SRfR)	Included (% eligible total pop.)
Permanent	**1463 (93%)**	**475 (95%)**	**32%**
Female	746 (51%)	216 (45%)	29%
Male	717 (49%)	259 (55%)	36%
Fixed-term	**111 (7%)**	**25 (5%)**	**23%**
Female	61 (55%)	13 (52%)	21%
Male	50 (45%)	12 (48%)	24%
Total	**1574**	**500**	**32%**

19. The number of all fixed-term staff is still significantly below the mean. The number of fixed-term female staff has increased, though remains below the mean. The number of male fixed-term staff has fallen below the mean for the first time since the 2014 REF.

Conclusion

20. Progress has continued for many areas in the intervening period between the First Draft 2018 and the SRfR exercise in 2019. As a reminder, the methods of these two exercises were different – the First Draft was opt-in by having submitted outputs to a UoA (a considered measure), whereas SRfR involved meeting specific criteria, generally based on having viable future-facing research plans (an included measure). Areas of particular significance have been detailed below.

21. The number of staff included has decreased overall and for both genders, as a result of the different method of determining inclusion. There gap between female and male staff being included remains at 7%.

22. The percentage of disabled staff is 7% below the mean, an growth of 1% since the previous draft exercise.

23. The 50-54 age group are within 5% of the mean for the first time since REF 2014. The percentage of staff included in the 55-59 age group has seen a steady decrease since the Mini-REF 2015 and remains well below the mean, with a gap of 11%.

24. The percentage of Mixed – White and Asian included staff has fallen dramatically since the First Draft 2018 exercise and by half since the 2014 REF. The sample size has not fluctuated much between exercises and this downward trend is of concern. Black or Black British Caribbean included staff has increased to 17%, though is still 15% below the mean.

25. The percentage of female part-time staff being included continues to fall and is 7% below the mean.

26. The number of all fixed-term staff included is still significantly below the mean. The number of fixed-term female staff included has increased, though remains below the mean. The number of male fixed-term staff has fallen below the mean for the first time since the 2014 REF.

Actions

27. Circulate the raw, anonymised, data that informed this report to Units of Assessment, for them to incorporate relevant granular data and analysis into their environment statements.

28. Produce a final EIA for this REF period based on the SRfR 2020 exercise, which will determined the final submitted staff list.

29. Year-on-year (2014-17 data is at 18-month intervals) comparisons of eligible and considered staff by gender, age, disability, ethnicity, working pattern and contract type. Comparisons are made using percentages of eligible staff considered for each REF exercise.

30. For the purposes of this report, staff 'considered' in REF exercises that took place between 2014 and 2018 nominated themselves. Staff 'considered' in the SRfR 2019 exercise are actually those who are included.

Trends - Gender

Chart 2a. Percentage of eligible and considered staff by gender.

Participation by gender

	2014	2015	2017	2018	2019
Female	23%	28%	30%	32%	28%
Male	31%	34%	38%	41%	35%
Total	27%	31%	34%	36%	32%
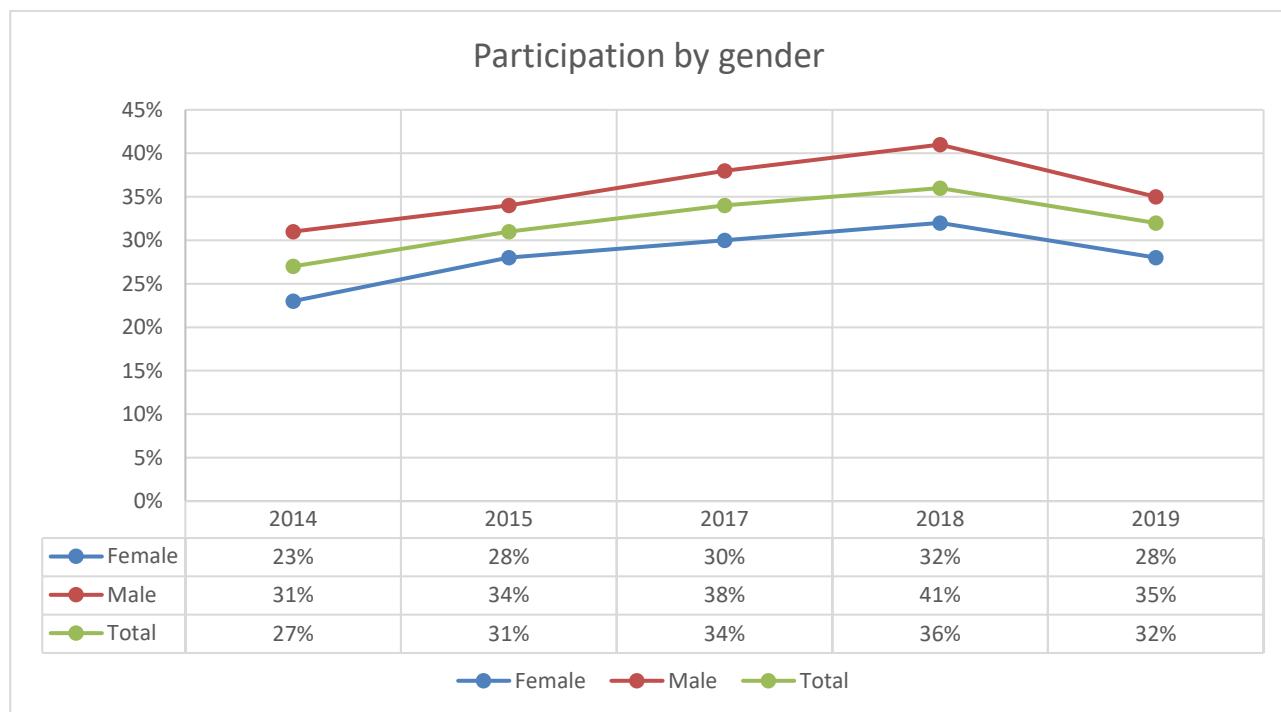
31. The percentage of both male and female staff being considered for the REF has increased since REF 2014, with little fluctuation over the five-year period. The gap between males and females reduced in 2019.

Trends - Disability

Chart 2b. Percentage of eligible and considered staff by disability.

Participation by disability

	2014	2015	2017	2018	2019
Disabled	20%	36%	36%	30%	25%
Not disabld	28%	31%	34%	37%	33%
Unknown	0%	31%	35%	34%	28%
Total	27%	31%	34%	36%	32%
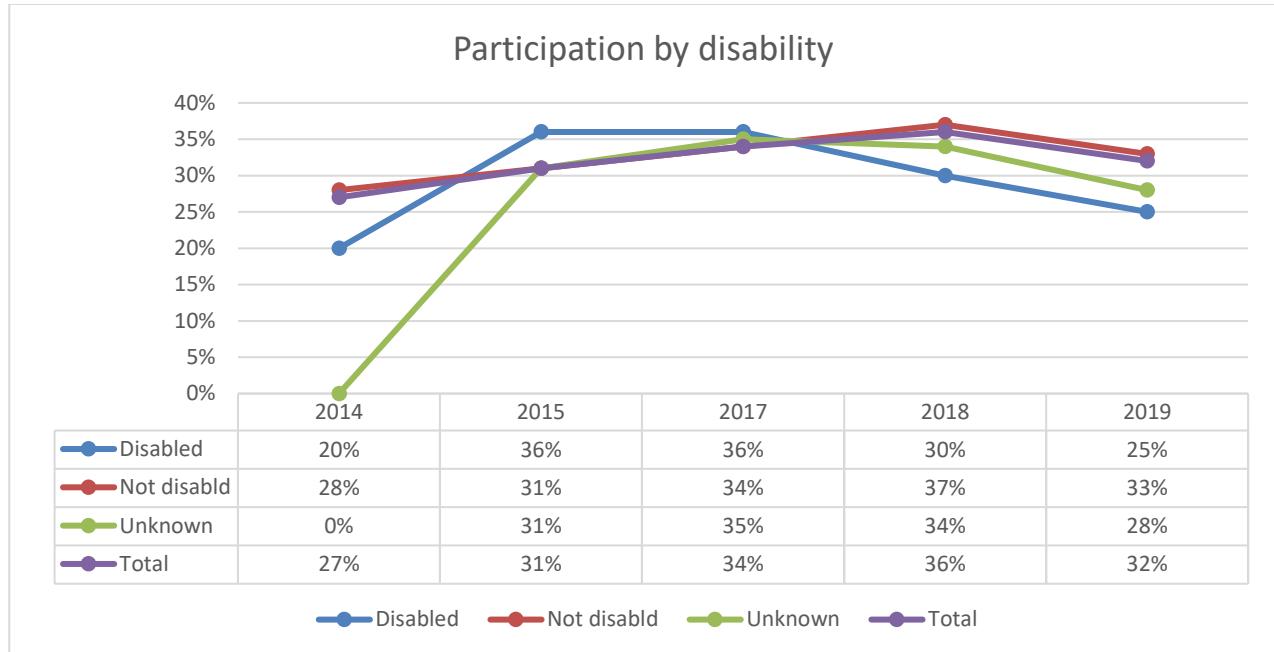
32. The percentage of disabled and non-disabled staff being considered has increased. However, despite increasing between 2015-2018, the percentage of disabled staff being considered has fallen below the mean by 7%, which is of concern.

Trends - Age

Chart 2c. Percentage of eligible and considered staff by age.

Participation by age

	21-24	25-29	30-34	35-39	40-44	45-49	50-54	55-59	60+	Total
2014	0%	27%	33%	36%	31%	26%	18%	25%	27%	27%
2015	0%	33%	45%	40%	39%	30%	27%	24%	23%	31%
2017	50%	40%	46%	46%	38%	30%	27%	25%	31%	34%
2018	0%	39%	46%	46%	44%	35%	30%	24%	36%	36%
2019	0%	30%	38%	41%	37%	30%	28%	21%	32%	32%
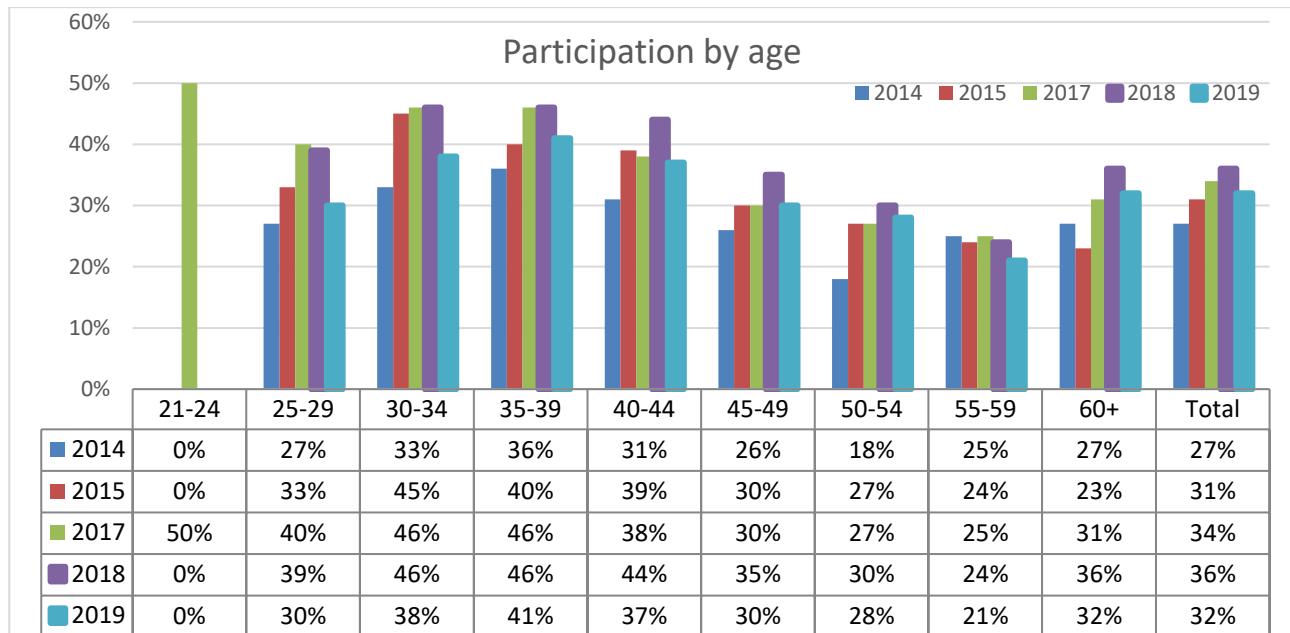
33. The percentage of staff being considered in most age groups has increased since REF 2014. The 55-59 age group has seen a decrease in the number of staff considered and remains well below the mean. The 21-24 age group did not have a sizeable sample in any year, so it was not possible to identify any trends or gaps for this age group.

Trends - Ethnicity

Chart 2d. Percentage of eligible and considered staff by ethnicity. Areas highlighted in red are well below the mean and areas highlighted in green either meet or are above the mean.

Ethnicity	2014	2015	2017	2018	2019
Arab	0%	0%	0%	17%	33%
Asian Or Asian British - Bangladeshi	0%	25%	33%	0%	29%
Asian Or Asian British - Indian	45%	50%	40%	52%	39%
Asian Or Asian British - Pakistani	50%	14%	57%	57%	38%
Black Or Black British - African	27%	18%	29%	37%	36%
Black Or Black British - Caribbean	0%	25%	20%	9%	17%
Chinese	21%	26%	34%	39%	47%
Mixed - White And Asian	43%	50%	33%	30%	20%
Mixed - White And Black African	25%	25%	67%	33%	0%
Mixed - White And Black Caribbean	0%	0%	33%	0%	0%
Other Asian Background	35%	47%	30%	52%	41%
Other Black Background	0%	0%	0%	0%	100%
Other Ethnic Background	60%	67%	33%	33%	50%
Other Mixed Background	50%	33%	50%	63%	56%
Other White Background	45%	46%	48%	49%	49%
White British	25%	30%	33%	35%	30%
Not Known	30%	27%	33%	37%	29%
Total	**27%**	**31%**	**34%**	**36%**	**32%**

34. Some groups did not have sizeable samples, making it difficult to identify gaps or trends. Black or Black British Caribbean and Mixed – White and Asian minority groups remain a concern, as the percentage of staff considered has fallen well below the mean and both groups had reasonably comparable sample sizes. The Mixed – White and Asian group percentage has decreased year on year. The percentage of considered staff for most other groups have either remained level or increased since REF 2014.

Trends – Working Pattern

Chart 2e. Percentage of eligible and considered staff by working pattern.

Working Pattern	2014	2015	2017	2018	2019
Full-time	27%	33%	35%	37%	33%
Part-time	25%	25%	27%	33%	27%
Total	27%	31%	34%	36%	32%
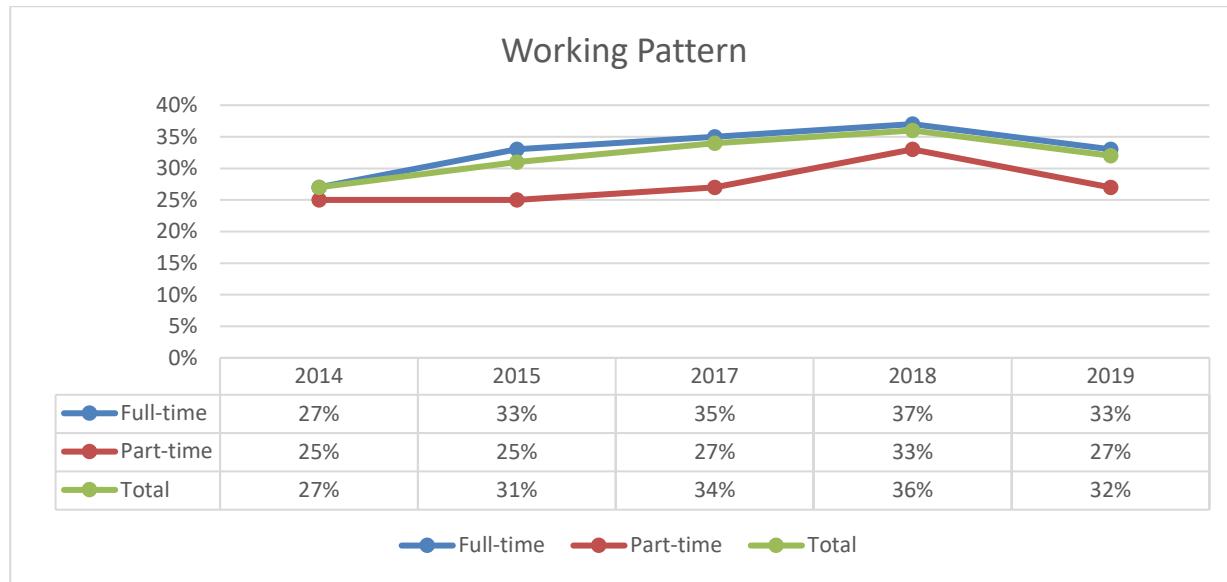
35. Both full-time and part-time staff considered has increased since REF 2014 and are within 5% of the mean.

Trends – Contract Type

Chart 2f. Percentage of eligible and considered staff by contract type.

Contract Type

	2014	2015	2017	2018	2019
Permanent	27%	31%	34%	37%	32%
Fixed-term	28%	30%	33%	23%	23%
Total	27%	31%	34%	36%	32%
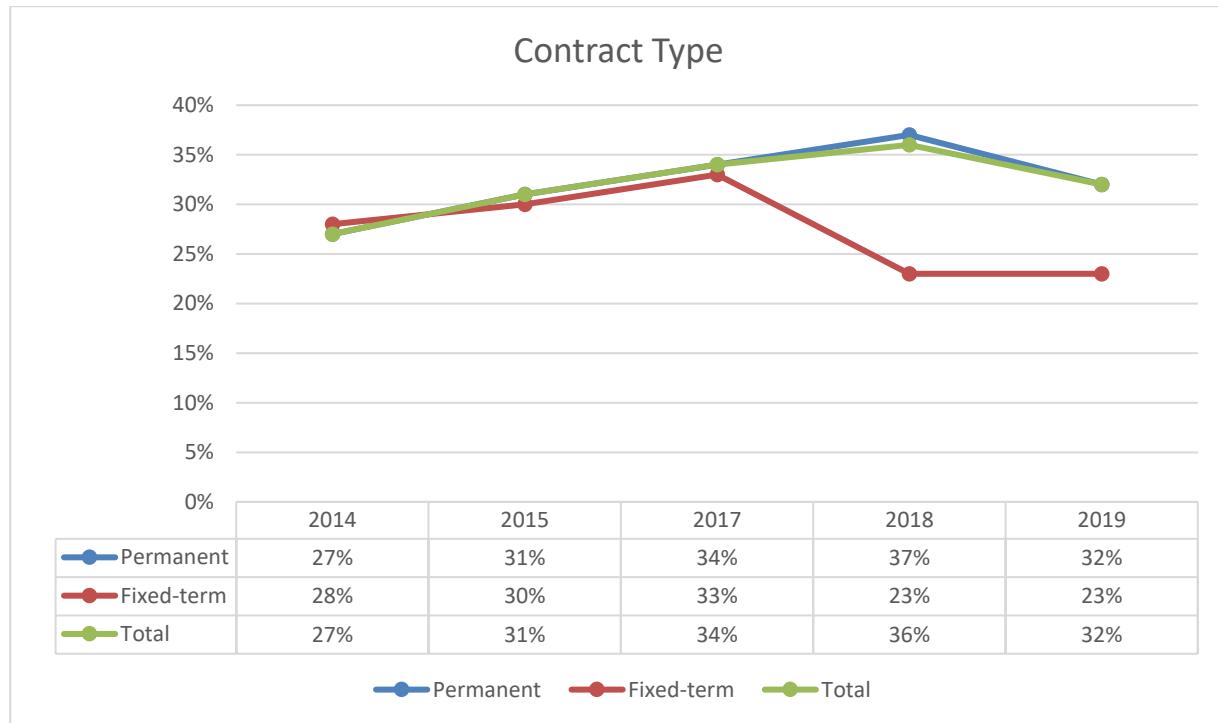
36. The percentage of permanent staff considered has increased in line with the mean since REF 2014. The percentage of fixed-term staff considered has decreased by 5% since REF 2014 and is well below the mean.

Conclusions

1. The percentage of staff considered in most categories has increased since REF 2014, apart from fixed-term staff which has decreased from 28% in 2014 to 23% in 2019. This shows an overall growth in research activity and engagement across the REF period

2. The highest percentage of considered staff were broadly seen in the final two opt-in exercises - Mini-REF 2017 and the First Draft 2018. The only instances where this was not a trend was in categories with small sample sizes or where percentages remained at the same level throughout the period.

3. The gap between male and female considered staff remained largely consistent at between 7-9%.

4. Despite increasing between 2015-2018, the percentage of disabled staff being considered has fallen below the mean by 7%, which is of concern.

5. The 55-59 age group has seen a decrease in the number of staff considered and remains well below the mean.

6. Black or Black British Caribbean and Mixed – White and Asian minority groups remain a concern, as the percentage of staff considered has fallen well below the mean and both groups had reasonably comparable sample sizes. There has been a downward trend of Mixed – White Asian staff being considered.

7. The percentage of fixed term staff considered has decreased by 5% since REF 2014 and is well below the mean.

8. A final EIA will be undertaken for the REF 2021 submission.