

Equality Impact Assessment – University of Manchester

Name of the policy/practice being assessed:

Submission to the Research Excellence Framework 2014

Date: October 2011 – December 2013

This analysis is being undertaken because it is:

☐ outlined within the equality analysis priority table

☐ part of a project proposal submission

☐ a result of organisation change

☒ other: Analysing the impact of staff inclusion to the REF 2014 on protected groups (gender, ethnicity, nationality, disability and age) who conduct excellent research.

1. What are the main aims, purpose and outcomes of the policy/practice?

Aims:

To have a Code of Practice that sets out the positive steps the University will take to achieve equality, fairness and transparency in the selection of staff for inclusion within the University's REF2014 return. To select and submit excellent researchers to the REF2014 by Unit of Assessment (UoA).

Who will benefit:

The University will benefit from maintaining/ increasing its profile and reputation, as well as attracting research grant funding. Staff will be recognised for their excellent research.

2. Gathering the evidence

List below available data and research that has be used to determine impact on the different protected groups

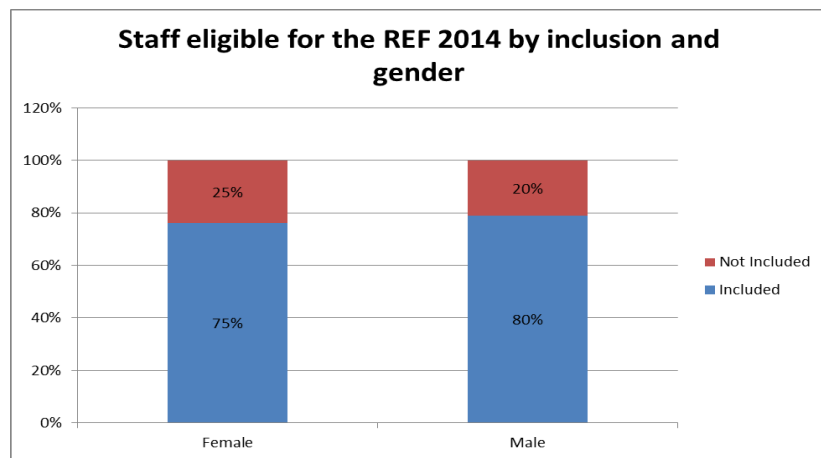
Data that was considered during the impact assessment, included:

- The analysis of equality data from the RAE 2008. The University had similar (proportionate) numbers of staff who were eligible and submitted based on their ethnicity, age and disability status. There was a slightly higher percentage (6%) of male staff who were submitted to the RAE compared to female eligible staff and although less pronounced, our findings mirrored the national findings. This data was considered with data from the initial REF pilot as well as subsequent mock exercises;
- An analysis of equality data from the Research Profiling Exercise (RPE) 2011 by gender and ethnicity to ascertain if there was a difference in the grades awarded to different protected groups and whether this information was statistically significant;
- For REF2014, 336 individual cases were submitted and reviewed. Of the 46 complex cases submitted, 11 were approved. The cases that were not approved were deemed ineligible by the committee, based on HEFCE's guidelines.
- There was only one formal appeal recorded during the REF exercise and this was not upheld.

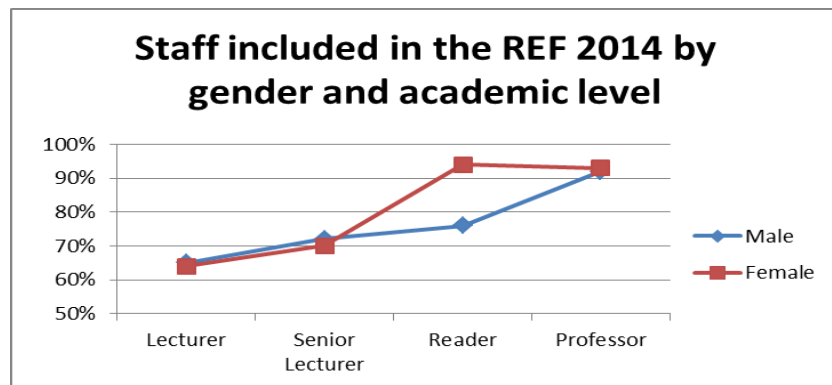
Analysis of final REF 2014 data

Gender

Similar to RAE 2008 there is a 5% difference in the number of women included compared to men.



Gender is not a statistically significant factor when academic level is controlled for. The differences that are shown are explained by the fact that there are fewer women professors and they are therefore less likely to be included. There is a difference in the high return rate of women Readers that needs to be explored further.

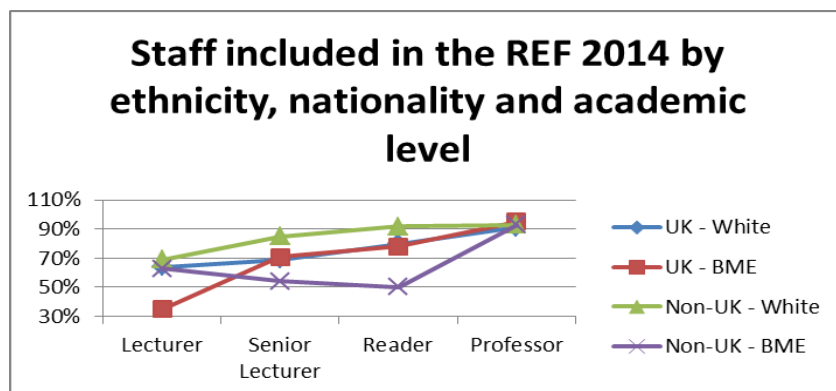
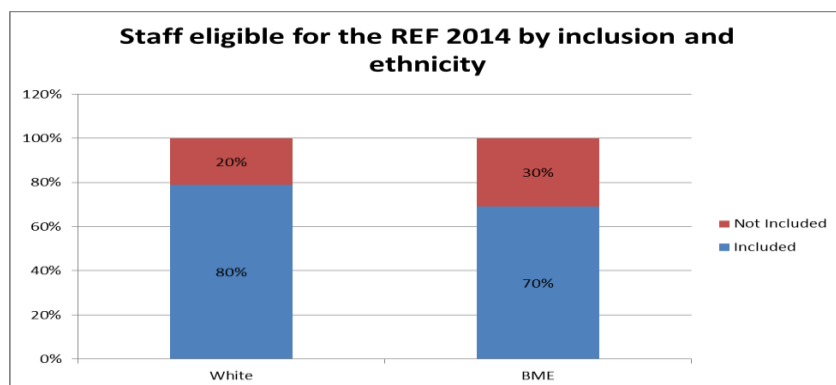


Ethnicity

White staff were more likely to be included in the REF than BME staff. When nationality is considered non-UK BME staff are (significantly) less likely to be included (15%) in the REF.

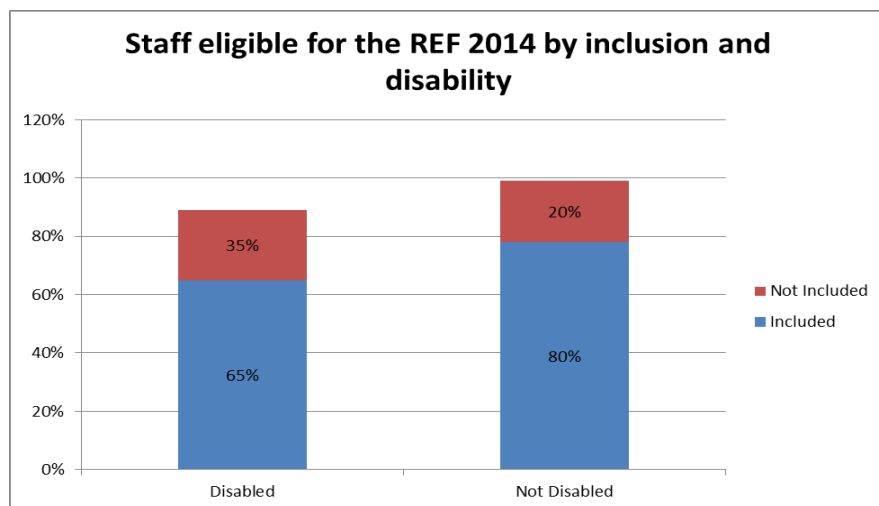
Similar to women, there is a 5% difference in UK BME staff inclusion compared to White staff.

There is an issue of small numbers but there is a difference in the inclusion of UK BME lecturers and Non-UK BME senior lecturers/readers compared to White staff.



Disabled staff

Only 65% of disabled staff were included in the REF compared to 80% for non-disabled staff. The small number of staff that disclosed they had a disability makes any meaningful conclusions difficult as the figures are not statistically significant.



Contract type

For all equality groups (except UK BME fixed term staff) there were no significant differences noted between staff on fixed term and open ended contracts and those on full-time and part-time contracts (see appendix 1).

Unit of Assessment (UOA)

Due to the small numbers of protected groups across UOAs it is very difficult to be certain whether particular issues exist. Following a logistical analysis of the data there does not appear to be a statistically significant differential between UOAs.

3. Evidence gaps

Do you require further information to gauge the probability and/or extent of impact?

There was a significantly higher rate of return for women readers compared to men. Further information is required on how long male and female readers are in post before gaining promotion to Professor. This will help to see if women are progressing at a proportionate rate to men.

There is a suggestion that Non-UK BME staff were the least likely group to be included. This requires further investigation, as does the lack of inclusion of UK BME staff on fixed term contracts.

Disabled staff were less likely to be included, but due to small numbers this was not statistically significant. There is still a difference (15%) in the inclusion rate of disabled staff so although it is not statistically significant it should still be investigated further.

4. Consultation

You are required to consult stakeholders during your assessment

Consultation on the Code of Practice took place with the following stakeholders:

- Campus trade unions; Staff equality network groups; Equality and Diversity Unit; REF Steering Group and the Equality and Diversity Forum.

5. Is there an opportunity with this policy/practice to advance equality of opportunity and foster good relations between people who share a protected characteristic and those who do not?

The Code of Practice has helped to advance equality of opportunity and foster good relations by providing a transparent, fair and equitable process in the selection of staff for inclusion in REF 2014.

REF specific equality training of all staff involved in decision making and the selection of staff has also helped to advance equality of opportunity.

As part of the University's process of staff selection, a senior group, including the Vice-President for Research had meetings with each individual Unit of Assessment and looked in detail at their staff selection decisions. As part of the papers for the meeting, they had details of the output grades for each staff member and their required output tariff (including allowance for individual circumstances). In the borderline area for inclusion, the meeting examined the individual staff inclusion decisions in the context of the available outputs and tariff requirements. From an Equality perspective, this allowed the University to be confident that output calculations had correctly included consideration of tariff reductions and provided a useful double-check that our Code of Practice was being implemented at a local level.

The individual circumstances committee made decisions that supported protected groups with fewer than four research outputs to be submitted to the REF 2014. In total, 336 cases were submitted, 11 of which were complex.

6. How can any detrimental impact on equality be mitigated?					
Issue Analysed <i>E.g. policy section or practice</i>	Group	Evidence <i>Refer to evidence gathered (section 2-4)</i>	Justification <i>Can the issue be justified for academic or business reasons? Please explain.</i>	Action <i>If the issue cannot be fully justified, identify the action(s) to be taken</i>	Person responsible for action(s)
Communication of code of practice	All	Concern during consultation that all staff are made aware of CoP, including those absent from work		The Code of Practice was made available and publicised to all academic staff via a wide range of communication channels such as email, staff newsletters and the University's intranet. All those absent from work were contacted and given all relevant information.	REF coordinator
Ensuring all eligible staff are aware of application for individual circumstances and that this is a confidential process	All	Network groups voiced concern that line managers may be made aware of information (disability) that staff members may not want them to know about.		There was active encouragement of staff who may have a valid individual circumstances case to submit for consideration. RPE and REFPE returns and other University records were used to identify potential cases and the University contacted those individuals directly with guidance. Full details of cases were	REF Coordinator

				held on a secure database to which only the University REF Coordinator and other key members of the Research Support and Strategy team had access. Only necessary details were revealed to HR for the purposes of verification. All cases were considered anonymously by the Individual Circumstances Committee.	
Confirmation of mitigating circumstances	All	REF steering group wanted to ensure that there was verifiable evidence of absence from work or reduced working		Where possible the information returned for individual circumstances was based on verifiable evidence. Where this was not already held by HR, staff were asked to attach / submit evidence to support their case.	REF Team
Training of all staff involved in REF2014 decision making	All	Equality and Diversity Unit voiced concern about ensuring all staff involved in decision making received REF specific equality training		REF specific equality training was mandatory for all staff involved in REF decision making. Staff attended a 90 minute workshop delivered by Equality and Diversity Unit or had a 1:1 briefing.	REF Team

Timely appeals process	All	Trade Union concerned about staff being able to appeal and still being submitted to the REF		All REF related appeals were concluded before REF submission deadline to allow for inclusion, if appropriate.	Director of Research Office
Data analysis indicated that men were more likely to be assessed at a higher grade and be included in the return when compared to women	Women	Data analysis of RPE 2011 and mock exercises	The analysis shows that when academic level and faculty are controlled for, gender is not statistically significant. The significant differences are explained by the fact that there are fewer women professors and they are therefore less likely to get higher grades and be included.	Continue to develop positive action initiatives to try to increase the number of women professors. Increase awareness in Schools of initiatives like Athena SWAN to promote the career advancement of women.	Equality and Diversity Unit

7. Monitoring and Review

What monitoring mechanisms do you have in place to assess the actual impact of your policy?

- After each pilot exercise, equality data was analysed and any issues identified were reported back to the REF Steering Group and monitored.
- The Equality and Diversity Office and the Disability Support Office were part of the individual circumstances committee. They advised the committee on issues that impacted on protected groups.
- There were regular meetings between the Head of Equality and Diversity and the REF Coordinator throughout the REF period, to discuss equality related issues that arose.
- Further investigative work will continue on the areas highlighted from the analysis of the final REF submission. Findings will be communicated to all stakeholders.

Appendix 1

REF 2014 Equality data

Table 1: Staff eligible for the REF 2014 by gender

	Included	Not Included
	%	%
Female	76%	24%
Male	79%	21%

Table 2: Staff eligible for the REF 2014 by ethnicity

	Included	Not Included
	%	%
White	79%	21%
BME	69%	31%

Table 3: Staff eligible for the REF 2014 by nationality

	Included	Not Included
	%	%
UK	78%	22%
Non-UK	77%	23%

Table 4: Staff eligible for the REF 2014 by nationality and ethnicity

	Included	Not Included
	%	%
UK - White	78%	22%
UK - BME	73%	27%
Non-UK - White	81%	19%
Non-UK - BME	65%	35%

Table 5: Staff eligible for the REF 2014 by disability

	Included	Not Included
	%	%
Disabled	65%	35%
Not Disabled	78%	22%

Table 6: Staff eligible for the REF 2014 by age group

	Included	Not Included
	%	%
26 to 35	81%	19%
36 to 45	77%	23%
46 to 55	76%	24%
56 to 65	77%	23%
66 and above	84%	16%

Table 7: Staff eligible for the REF 2014 by academic level

	Included	Not Included
	%	%
Lecturer	65%	35%
Senior Lecturer	71%	29%
Reader	81%	19%
Professor	92%	8%
Research Fellow	78%	22%
Senior Research Fellow	61%	39%

Table 8: Staff eligible for the REF 2014 by faculty

	Included	Not Included
	%	%
Engineering and Physical Sciences	80%	20%
Humanities	79%	21%
Life Sciences	73%	27%
Medical and Human Sciences	75%	25%

Table 9: Staff eligible for the REF 2014 by gender and academic level

		Included	Not Included
		%	%
Lecturer	Female	64%	36%
	Male	65%	35%
Senior Lecturer	Female	70%	30%
	Male	72%	28%
Reader	Female	94%	6%
	Male	76%	24%
Professor	Female	93%	7%
	Male	92%	8%
Research Fellow	Female	82%	18%
	Male	74%	26%
Senior Research Fellow	Female	63%	38%
	Male	60%	40%

Table 10: Staff eligible for the REF 2014 by ethnicity, nationality and academic level

		Included	Not Included
		%	%
Lecturer	UK - White	64%	36%
	UK - BME	35%	65%
	Non-UK - White	69%	31%
	Non-UK - BME	63%	37%
Senior Lecturer	UK - White	69%	31%
	UK - BME	71%	29%
	Non-UK - White	85%	15%
	Non-UK - BME	54%	46%
Reader	UK - White	80%	20%
	UK - BME	78%	22%
	Non-UK - White	92%	8%
	Non-UK - BME	50%	50%
Professor	UK - White	91%	9%
	UK - BME	95%	5%
	Non-UK - White	93%	7%
	Non-UK - BME	93%	7%
Research Fellow	UK - White	74%	26%
	UK - BME	100%	0%
	Non-UK - White	85%	15%
	Non-UK - BME	100%	0%
Senior Research Fellow	UK - White	65%	35%
	UK - BME	0%	0%
	Non-UK - White	50%	50%
	Non-UK - BME	50%	50%

Table 11: Staff eligible for the REF 2014 by contract type

	Included	Not Included
	%	%
Fixed term	75%	25%
Open ended	78%	22%

Table 12: Staff eligible for the REF 2014 by contract type and gender

		Included	Not Included
		%	%
Fixed term	Female	75%	25%
	Male	75%	25%
Open ended	Female	76%	24%
	Male	79%	21%

Table 13: Staff eligible for the REF 2014 by contract type, nationality and ethnicity

		Included	Not Included
		%	%
Fixed term	UK - White	76%	24%
	UK - BME	58%	42%
	Non-UK - White	78%	22%
	Non-UK - BME	64%	36%
Open ended	UK - White	78%	22%
	UK - BME	75%	25%
	Non-UK - White	81%	19%
	Non-UK - BME	65%	35%

Table 14: Staff eligible for the REF 2014 by part-time/full-time

	Included	Not Included
	%	%
Full-time	77%	23%
Part-time	81%	19%

Table 15: Staff eligible for the REF 2014 by part-time/full-time and gender

		Included	Not Included
		%	%
Full-time	Female	75%	25%
	Male	78%	22%
Part-time	Female	83%	17%
	Male	80%	20%

Table 16: Staff eligible for the REF 2014 by part-time/full-time, nationality and ethnicity

		Included	Not Included
		%	%
Full-time	UK - White	78%	22%
	UK - BME	73%	27%
	Non-UK - White	80%	20%
	Non-UK - BME	66%	34%
Part-time	UK - White	80%	20%
	UK - BME	75%	25%
	Non-UK - White	86%	14%
	Non-UK - BME	50%	50%