

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 all 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	Considered	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%

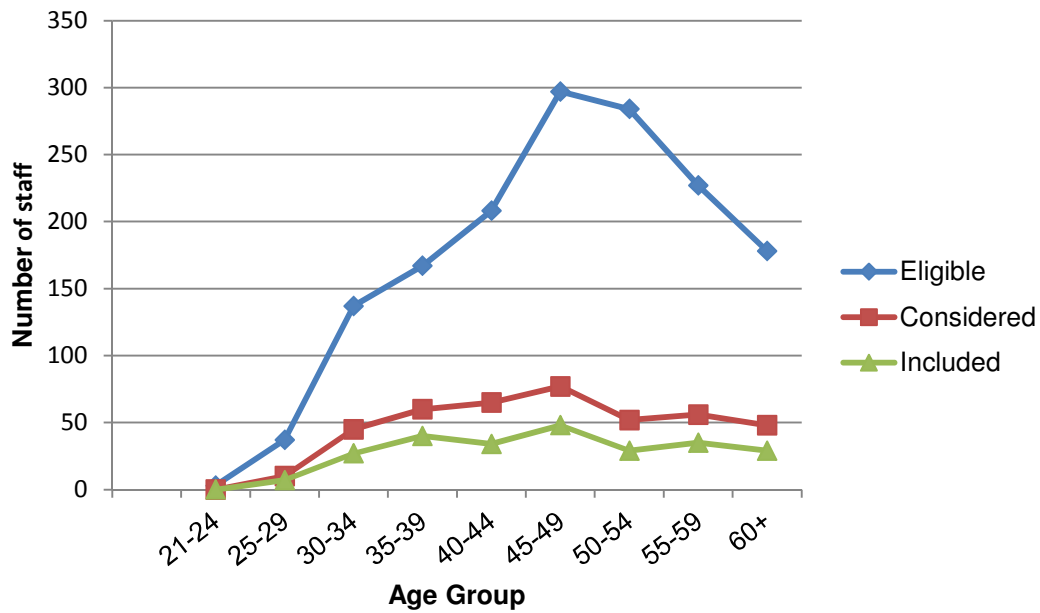


Figure 1. The number of eligible, considered and included staff in each age group for the final REF submission data.

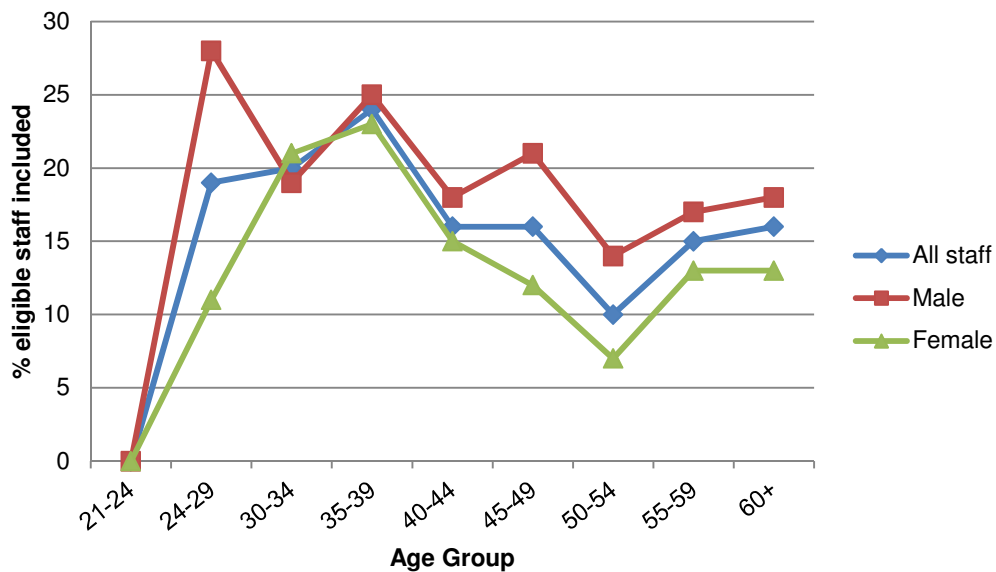


Figure 2. The proportion of male and female staff included in the submission compared with eligible females and males in each age group for the final REF submission data.

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	Considered	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	Considered	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	Considered	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.

Appendix 1a: Preliminary Equality Impact Assessment

SHEFFIELD HALLAM UNIVERSITY

This form will be available in alternative formats for accessibility

ASSESSMENT FORM

FOR CARRYING OUT A FULL EQUALITY IMPACT ASSESSMENT (EIA)

Section 1: Information about the policy or practice to be assessed

1) Name of the policy or practice

Sheffield Hallam University REF 2014 Code of Practice on Staff Selection

2) Directorate/Faculty owning the policy or practice

Enterprise Centre, on behalf of the REF Implementation Group

3) Main contact person for the policy or practice (job title)

Research Development Manager

4) Key University staff involved in implementing the policy or practice

REF Implementation Group, Unit of Assessment Coordinators, Vice-Chancellor

5) Date the policy or practice was implemented/last reviewed/or will be implemented

June 2012

6) A summary of the aims and objectives of the policy or practice

Each institution making a submission to REF 2014 is required to develop, document and apply a code of practice on selecting staff for inclusion in the return. Codes of Practice have to be submitted to HEFCE by 31 July 2012, for examination by the REF 2014 Equality and Diversity Panel. HEIs who do not develop Codes of Practice on staff selection will not be permitted to make a submission to REF 2014. The Code of Practice should assist the University in embedding the principles of equality and diversity and other relevant legislation in our decision making process on submissions, as well as ultimately ensuring that all REF processes are fair from the outset.

The Sheffield Hallam Code of Practice details the process for staff selection that will be adopted by the University. Information provided includes:

- i) Who, within the University, makes the decisions about staff selection
- i) How information and decisions will be communicated to staff
- iii) The quality threshold that an individual's research outputs must achieve in order to be included in the REF 2014 return
- iv) Circumstances under which a member of staff may submit fewer outputs than the four that are usually required
- v) Details of the relevant equality and diversity legislation

The Code of Practice will be applied uniformly throughout the University and will inform all decisions made regarding staff selection.

7) Details of the main beneficiaries/stakeholders of the policy or practice

(Guidance - consider: Who is affected by the policy or practice? Who is intended to benefit from the policy or practice? Who is excluded from the policy or practice? Why? For example staff, students, visitors, trade unions etc)

Staff involved in implementing this Code of Practice are:

- i) REF Implementation Group (RIG)
- ii) UOA Coordinators
- iii) The Equality and Diversity Team (Secretariat)
- iv) Human Resources
- v) University Executive Group
- vi) Research and Knowledge Transfer Committee

Staff directly affected by the Code of Practice are those staff on research or research and teaching contracts who fulfil the published REF 2014 definition of Category A staff. Other individuals who are not employed by Sheffield Hallam but, as a result of undertaking research work that is clearly and demonstrably focussed in the University, and who fulfil the published definition of Category C staff, may also be affected by this policy. Only staff who, in accordance with the published definitions, qualify as Category A and C staff may be included in the REF return, and therefore, this Code does not directly apply to those categories of staff who are ineligible for inclusion (in accordance with the published REF 2014 Assessment Framework and Guidance on Submission) as a result of their contract type (i.e. AP&C, Manual, Technical) or contracted FTE (less than 0.2 FTE).

The Code of Practice is intended to inform the procedures for selecting staff for inclusion in the REF 2014 return made by the University. It should benefit academic staff on a research or research and teaching contract as it should signpost them to information about REF, how they may participate in the University's return and what they should expect if they engage with the process. The Code is also of benefit to those involved in selecting staff for inclusion, as it makes clear the process for decision making and the responsibilities that these staff have towards individuals who have engaged with the process by submitting research outputs for review.

Section 2: Collection of evidence relating to the policy or practice

1) List the details of all existing evidence available to inform the assessment of the policy or practice (internal & external information/data).

(Guidance - gather background information which is relevant and valid to the policy or practice you are assessing. What do you need to know about the policy or practice?)

Existing quantitative data/information
(Guidance - eg University management data, surveys, sector or national population data, complaints and grievances)

(Please attach collected data as an appendix)

An equality impact assessment was conducted to identify the impact of the Code of Practice on staff selection implemented by the University as part of the preparations for the RAE 2008 submission (Appendix i).

To meet the Public Sector Equality Duty, the government requires all Universities to make equality information available publicly. Data on the protected characteristics of age, gender, disability and ethnicity for 2011-12 for those staff on academic contracts has been analysed to give an initial indication of the diversity of those staff within the likely eligible pool of Category A staff.

Data gathered on the protected characteristics of age, gender, disability and ethnicity on the academic staff pool as part of the RAE 2008 EIA and in 2011, as part of the University's Equality Monitoring Report, were compared, to assess whether there had been any significant changes to the diversity of the baseline population (the baseline population being those staff who met the RAE 2008 or REF 2014 criteria for Category A staff). This analysis revealed that any change shown between sub categories within the four protected characteristics analysed shows a change of 4% or less and is not considered a significant change (Appendix ii).

As such, the overall pool of staff eligible to be returned in REF 2014 is similar in composition to that staff pool at the time of the University's RAE 2008 submission.

Existing qualitative data/information
(Guidance - eg consultations with equality groups/feedback)

The REF 2014 Code of Practice has been developed by the REF Implementation Group (RIG) in full collaboration with the Equality and Diversity Team at the University. Feedback and consultation on the Code of Practice has been sought from a number of University groups/bodies.

(Please attach collected data as

Consultation has been sought at the Research and

<p>an appendix)</p>	<p>Knowledge Transfer Committee; this is the body that the (RIG) reports to within the University's formal governance structure, and also from the Academic Board, the supreme academic body in the University. The Academic Board is responsible to the Governors for all matters concerning academic activities of the University and for ensuring that all committees and boards of the University adhere to the principles of the University's equal opportunities policies.</p> <p>The REF 2014 Code of Practice has also been consulted on and accepted by the University's Equality and Diversity Board, and by the Information and Consulting Committee (ICC). Following the introduction of the Information and Consultation of Employees Regulations in April 2005, the University developed a voluntary agreement with the recognised trade union representatives. This agreement outlined how the University would inform and consult staff and also established the formation of the ICC.</p> <p>Consultation at various Committees and Boards within the University has ensured that the REF 2014 Code of Practice has reached a wide range of staff groups, who have had the opportunity to comment and input into the document, and whose views should, therefore, be represented in the policy relating to staff selection.</p> <p>The University is undertaking a full 'First Draft' of the REF 2014 submission between June and September 2012. This will provide a good base line of staff likely to be submitted in REF 2014; an analysis will be performed to determine whether the selection policy applied (as detailed in the Code of Practice) has the effect of unfairly disadvantaging any specific groups of eligible Category A staff. Such analysis will be referred to the various University bodies for consideration, and if necessary, steps will be taken to review and refine staff communications, training and selection guidance before the University prepares its final draft of the submission. Any such changes will be communicated to all staff in line with the procedures outlined in the Code of Practice.</p> <p>During the consultation process, trade union representatives requested that an analysis should also be carried out to determine whether the selection policy in the Code of Practice had the effect of unfairly disadvantaging those staff on part-time rather than full-time contracts and those on fixed-term rather than permanent contracts. Where the data permits, the analysis of the University's First Draft, will endeavour to include these two characteristics, as well as those of age, gender, disability and ethnicity.</p>
<p>Additional data (Guidance -indicate any gaps in the data and appropriate and proportionate measures taken to fill the gaps eg one-off studies or surveys, or holding informal consultation exercises to supplement the available statistical and qualitative data)</p>	<p>The base line for our EIA preparations was:</p> <ul style="list-style-type: none"> i) to revisit the RAE 2008 EIA and the key findings with regard to the potential impact of the policy on those groups with protected characteristics ii) to compare the base-line of eligible staff between RAE 2008 and REF 2014 iii) secure data on the potential volume of each of our UOA submissions. iv) to strengthen processes around the selection of staff (see section 3) in our code of practice.

	<p>Even though there was no overt discrimination of staff in RAE 2008 there was an imbalance in staff submitted to RAE2008 compared with the eligible pool for those with protected characteristics. The staff demographic shows a similar distribution between RAE 2008 and REF 2104; as such the University wishes to ensure that its policy and processes for the selection of staff in REF 2014 minimises any potential imbalance and a number of steps have been taken (see section 3).</p> <p>EIAs will be carried out at three stages during REF 2014 preparations. In the first instance, additional data which will be required to inform any further refinement of staff communications, guidance or training in relation to the Code of Practice on staff selection will include:</p> <ul style="list-style-type: none"> i) Data relating to age, gender, disability and ethnicity for total academic staff pool on 30th September 2012 (the deadline for completion of the First Draft is 30th September 2012) ii) Data relating to age, gender, disability and ethnicity for all staff who had been considered for inclusion (i.e. had contacted a UOA Coordinator and supplied research outputs in line with provisions of the Code of Practice) in the First Draft iii) Data relating to age, gender, disability and ethnicity for all staff included in the First Draft <p>The majority of academic staff at Sheffield Hallam (i.e. those on teaching and research contracts) are not research active. These staff do engage in scholarly activity and may be active in undertaking research that contributes to knowledge transfer or CPD, but do not routinely generate outputs that would fit the REF 2014 definition of research. For this reason, the University's Code of Practice and associated communication strategy asks staff to engage in the REF 2014 process, and to provide copies of their research outputs to relevant individuals, as the University does not have a totally comprehensive data base from which to establish who is, or is not, research active.</p> <p>In addition, as requested by the ICC, the additional category of part-time and fixed term contracts will be added to the analysis, where data permits.</p> <p>Following the analysis of the First Draft, we will further investigate data at the Unit of Assessment level. However, our analysis to date reveals that the number of staff being considered by and selected in each Unit of Assessment will be too small for any robust statistical consideration. However, if there are any strong trends in the University level data indicating that a specific group is being unfairly disadvantaged this may warrant further consideration at subject level to ensure that the Code is not discriminating against staff in a specific discipline.</p> <p>The University plans to undertake a formal 'Second Draft' in Spring 2013, and data gathered as part of that exercise will be analysed as for the First Draft. Analysis of the Second Draft will be of particular importance to ensure that any necessary refinement of staff communications, training and guidance accompanying the Code of Practice has had the desired outcome.</p>
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	At the time of the final submission of the REF 2014 return, a final analysis will be undertaken against the protected characteristics. This will highlight any areas where due to wider University policy (for example work planning or recruitment and retention of staff), a specific group of academic staff may be being disadvantaged. The final EIA will inform wider University policy and practice to ensure that any identified inequalities can be addressed, where possible, long term.
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2) What data are required in the future to ensure effective monitoring?

Details of further data/information to be collected	Mechanism/s to be used to collect the data/information	Details of those responsible for implementation of this (name and job title)
<p>Data relating to age, gender, disability and ethnicity for total academic staff pool on 30th September 2012 (the deadline for completion of the First Draft is 30th September 2012)</p> <p>Data relating to age, gender, disability and ethnicity for all staff who had been considered for inclusion (i.e. had contacted a UOA Coordinator and supplied research outputs in line with provisions of the Code of Practice*) in the First Draft</p> <p>Data relating to age, gender, disability and ethnicity for all staff included in the First Draft</p>	<p>UOA Coordinators will enter names of staff selected for inclusion in the First Draft in an Excel sheet. This data will be collated centrally by the Research Development Manager. UOA Coordinators will also be asked to provide a list of staff who they have considered for inclusion in the First draft, again this will be collated centrally.</p> <p>The Research Development Manager will liaise with the Head of People Planning and Processes and his team in the Human Resources Directorate and commission a report detailing the age, gender, ethnicity and disability status of all academic staff eligible to be included as Category A staff in the REF 2014 return. The additional category of part-time or full-time will be added, data permitting.</p> <p>The data will then be analysed by the Research Development Manager with support and advice from the Equality and Diversity Team in Secretariat. There are obviously data protection considerations surrounding data reports that identify the protected characteristics of specific individuals within the University and as such all necessary controls will be applied to accessing.</p>	<p>Research Development Manager, Enterprise Centre (Anita Gurney, Beth Taylor)</p> <p>Equality and Diversity Officer, Secretary and Registrars' Department (Aloma Onyemah, Trish Elwis)</p> <p>Head of People Planning and Processes, Human Resources Directorate (John Somers)</p>
As above for the second draft of submissions	As above for the second draft of submissions	As above for the second draft of submissions
As above for the final REF	As above for the final REF	As above for the final REF

2014 submission	2014 submission	2014 submission
<p>Section 3: Preliminary Qualitative Assessment of the impact of the policy or practice The policy owner/reviewer should not be constrained by these questions but guided by them.</p>		
<p>1) Does the evidence collected suggest that the policy or practice has a disproportionate adverse impact?</p>		
<p>(Guidance - is there any indication of a higher or lower participation/uptake rate by particular equality group/s? Does the policy or practice impact less favourably on a certain group or groups in comparison with others?)</p>		
Age	<p>The EIA for the RAE 2008 demonstrated that there was an imbalance in terms of gender, disability, ethnicity and age between Category A staff included in the University RAE 2008 return relative to the total eligible pool of staff and those who were considered for inclusion in the return. Results of the RAE 2008 EIA are presented in Appendix i.</p> <p>Even though there was no direct evidence of less favourable treatment of particular groups within each UOA during the selection process, results have informed policy and practice for REF 2014 in order to encourage greater participation and uptake by particular groups. The University has implemented the following notable robust procedures:</p> <ul style="list-style-type: none"> i) awareness raising of staff circumstances to the wider research community ii) specialist equality and diversity training tailored for REF 2014 for <u>all</u> those involved in the staff selection process. It is mandatory for all staff in the University to complete an equality and diversity e-learning module to ensure that there is a shared understanding of responsibilities. In addition, a REF-specific training session has been developed to assist UOA Coordinators, members of RIG and others involved in making decisions on staff selection to gain further knowledge of the relevant legislation, the Code of Practice, individual staff circumstances and how to communicate the policies around REF to their staff constituencies. The training has been developed by the Equality and Diversity Team in the Secretary and Registrars Department, in line with the guidance provided by ECU. iii) adaptation of the ECU staff circumstances form for the University. iv) a centralised, confidential process outside of the UOAs to encourage greater disclosure of staff circumstances v) the requirement for <u>all</u> staff being considered for inclusion to complete a staff circumstances form vi) the requirement for the University to undertake a formal EIA by the end of 2012 on the first draft of submissions and the second draft submission to inform practice. This is in addition to the EIA on the final submission vii) in addition to the protected characteristics, the University will expand the EIA to include part-time working. This was specifically requested by UCU Trade Union following consultation on the University Code of Practice with our Information and Consultation Committee (ICC) - see section 2 for details of this committee. It is perceived that more women work part-time and the impact of such working practice on the production of research outputs is unknown, an issue which the University wishes to explore further. For the final EIA the University will also include an analysis of the impact of the equality training on actual practice for those involved in the selection process. 	
Disability		
Gender Reassignment		
Marriage & Civil Partnership		
Pregnancy & Maternity		
Race		
Religion & Belief		
Sex		
Sexual Orientation		

2) Do criteria or requirements in relation to the policy or practice disadvantage certain groups either explicitly or inadvertently?

	Details of any disproportionate adverse impact found	Likely factors for adverse impact (internal/external)
Age	<p>There are two key issues that have been identified that may impact on groups:</p> <p>i) that researchers are aware of and feel confident to disclose individual staff circumstances (where they wish to do so).</p> <p>ii) that researchers understand the REF quality ratings for research outputs and have the opportunity to produce outputs of the required quality</p>	<p>UOA Coordinators are raising awareness of the staff circumstances process with their researchers and encouraging staff to disclose staff circumstances via the established process in complete confidence.</p> <p>The Code of Practice requires staff to meet a minimum threshold criteria for research outputs of 2.5*. Review of outputs is accompanied by appropriate feedback processes to ensure all researchers being considered for submission understand the quality rating and have the opportunity (in consultation with line managers) to respond.</p>
Disability		
Gender Reassignment		
Marriage & Civil Partnership		
Pregnancy & Maternity		
Race		
Religion & Belief		
Sex		
Sexual Orientation		

3) Do particular groups face increased difficulty or indignity as a result of the policy or practice?

Age	<p>Following the consultation process, no groups have so far been identified that face increased difficulty or indignity as a direct result of the policy. However, in RAE 2008 a total of 72 individual staff circumstances were submitted (out of a total 313 staff included) and of these only 5 would have been considered complex. Disclosure of individual circumstances of a personal or sensitive nature may have been a barrier and so processes and procedures have been implemented for REF 2014 that ensure:</p> <p>i) awareness of staff circumstances to be taken into account (e.g. via publicity, Code of Practice, specialist training)</p> <p>ii) the requirement for all staff being considered for submission to complete a staff circumstances form</p> <p>iii) a confidential centralised procedure that ensures no circumstances of a personal or sensitive nature will be revealed to colleagues in their subject area</p>
Disability	
Gender Reassignment	
Marriage & Civil Partnership	
Pregnancy & Maternity	
Race	
Religion & Belief	
Sex	
Sexual Orientation	

4) Are there higher complaint rates or lower satisfaction rates for particular equality groups in connection with the policy or practice in comparison with other groups?

Age	<p>To date there have been no complaints from particular equality groups in connection with the policy or practice. Indeed, our early communications policy with staff regarding REF 2014 has identified a number of researchers in new and emerging areas (for the University), where we may wish to consider making a submission and where we did not submit previously in the RAE 2008. In addition, staff have been identified who currently do not undertake research within their teaching or consultancy roles but who wish to become research active. As such the University has been able to signpost those staff to support within Research Centres or the wider Faculty. This is viewed by the REF Implementation Group as a positive and significant response to the policy to date.</p>
Disability	
Gender Reassignment	
Marriage & Civil Partnership	
Pregnancy & Maternity	
Race	
Religion & Belief	
Sex	
Sexual Orientation	

	In RAE 2008, there was only one formal appeal, which is testament to the open and transparent way in which staff were selected, and highlights the successful way in which UOA Coordinators communicated decisions to staff.
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5) Is there evidence that the policy or practice fails to respond to the needs of a particular group in comparison with other groups?

Age	<p>Following consultation, no direct evidence has been provided that the policy or practice fails to respond to the needs of a particular group. However, it should be reiterated that the EIA for the RAE 2008 demonstrated that there was an imbalance in terms of gender, disability, ethnicity and age between Category A staff included in the University RAE 2008 return relative to the total eligible pool of staff and those who were considered for inclusion in the return. Of these characteristics the inclusion of females was the area that the University recommended warranted particular attention.</p> <p>The following points should be noted:</p> <p>i) the of disclosure of staff circumstances has been raised and addressed in Section 3 points 2 and 3.</p> <p>ii) the RAE 2008 EIA identified that the proportion of females decreased at each stage of the RAE selection process. As discussed in Section 3 Point 1, it is perceived that more women work part-time and the impact of such working practice on the production of research outputs is unknown and the University wishes to explore this further. As such the EIA for REF 2014 will be expanded to include part-time working over and above the protected characteristics.</p> <p>iii) HEFCE guidance (Assessment Framework and Guidance on Submissions part 4) regarding individual staff circumstances has provided an effective and transparent framework within which institutions can make confident assessments regarding staff circumstances.</p>
Disability	
Gender Reassignment	
Marriage & Civil Partnership	
Pregnancy & Maternity	
Race	
Religion & Belief	
Sex	
Sexual Orientation	

6) If any disproportionate adverse impact has been found is there any justification for this being the impact of the policy or practice?

(Guidance - for example is access to services and benefits reduced or denied for some groups in comparison to other groups? Can this be justified?)	
Indicate areas where a disproportionate adverse impact has been found	Justification of disproportionate adverse impact found if applicable
Age	There is no justification that any disproportionate impact on particular groups as a direct result of policy. See Section 3 point 5.
Disability	
Gender Reassignment	
Marriage & Civil Partnership	
Pregnancy & Maternity	
Race	
Religion & Belief	
Sex	
Sexual Orientation	

7) Is there any potential **positive** impact from the policy or practice that has been missed and could be implemented?

NOTE - EIAs are not simply about removing potentially negative impacts, they are also an opportunity to identify ways to promote equality of opportunity and ensure greater access.	
	Details of any positive impact that could be implemented and who will action this (name and job title)
Age	The female:male ratio for staff included in RAE 2008 was biased towards males. The University acknowledges the
Disability	

Gender Reassignment	difficulty that some staff may encounter in progressing their careers. In July 2010 the University achieved the Bronze award for the Athena SWAN Charter 'Women in Science, Engineering and Technology'; an accompanying action plan to which outlines key actions in relation to addressing the equality and diversity principle of the Concordat. Selected individual Departments and Research Centres are now working towards a silver award. Ongoing review of the Athena SWAN Charter and implementation of actions and recommendations is monitored by the Equality and Diversity Team at the University.
Marriage & Civil Partnership	
Pregnancy & Maternity	
Race	
Religion & Belief	
Sex	
Sexual Orientation	

8) Who has been and/or will be consulted about the policy or practice? (stakeholders/local experts etc)

	Groups to be consulted on potential positive changes
Age	The REF Implementation Group has consulted widely on the Code of Practice and supporting guidance documents. Consultation, approved and endorsement of the codes has been given by:
Disability	
Gender Reassignment	
Marriage & Civil Partnership	
Pregnancy & Maternity	
Race	
Religion & Belief	
Sex	i) Research and Knowledge Transfer Committee (ref: RKTC/1/12/5ii) ii) Equality and Diversity Board (ref: EBD/2/12/7) iii) Academic Board (ref: AB/3/12/10) iv) Information and Consultation Committee (27 June 2012)
Sexual Orientation	

Section 4: Outcome

After due consideration of the potential or actual impacts an informed judgement on what should be achieved

1) Is there any change to the policy or practice? **YES/NO**

(Guidance - If no major change to the policy or practice the EIA must demonstrate that the policy or practice is robust and that the evidence shows no potential for discrimination and that all opportunities to promote equality have been taken. Remember, no data is not sufficient reason to conclude no impact)

Due consideration has been given to the potential impacts of the policy following extensive consultation within the University governance structure (see Section 2.1). One notable change to the policy was to extend the preliminary and final EIA to include fixed-term and part-time working as requested by the ICC (specifically the UCU Trade Union representatives).

This Section 4 (1 - 5) will be revisited following the first draft submission (Sept 2012), second draft submission (March 2013) and final REF 2014 submission to HEFCE (November 2013).

2) What adjustments may need to be made to remove barriers or better promote equality?

(Guidance - if an unjustifiable disproportionate adverse impact has been found, is it possible to remove or change the aspect of the policy or practice that creates the unwanted impact? Can any measures be introduced to mitigate the potential impact?)

	Details of adjustments to be made to the policy or practice
Age	No change - there should be a positive impact of the policy especially for ECRs due to the clear guidance associated with the minimum number of outputs to be submitted
Disability	No change - there should be a positive impact of the policy due to the process relating to mitigating staff circumstances
Gender Reassignment	No change - there should be a positive impact of the policy due to the process relating to mitigating staff circumstances
Marriage & Civil Partnership	Unclear whether the policy will have any impact beyond circumstances covered by individual staff circumstances
Pregnancy & Maternity	No change - there should be a positive impact of the policy due to the process relating to mitigating staff circumstances
Race	Unclear whether the policy will have any impact beyond circumstances covered by individual staff circumstances
Religion & Belief	Unclear whether the policy will have any impact beyond circumstances covered by individual staff circumstances
Sex	There should be a positive impact of the policy due to the process relating to mitigating staff circumstances. EIA will be extended to include part-time working as it is perceived that more women undertake part-time working and the impact of part-time working is unknown.
Sexual Orientation	Unclear whether the policy will have any impact beyond circumstances covered by individual staff circumstances

3) Continue the policy despite potential for adverse impact or missed opportunities to promote equality? YES/NO

(Guidance - Clear justifications for doing this must be demonstrated and must be in line with the duty to have due regard. Contact the E& D Team for guidance if this is the outcome of the EIA)

The policy has been approved by the University's Academic Board and will be submitted to HEFCE for scrutiny. Following the preliminary EIAs there may be a need to revisit the Code of Practice at two additional stages prior to the REF 2014 submission as described in the Code of Practice (Section 10) and this initial EIA (Section 4.1)

4) Is it necessary to stop and remove the policy or practice? YES/NO

(Guidance - if the policy or practice shows actual or potential unlawful discrimination it must be stopped and removed)

The code of practice was developed to ensure compliance with all relevant legislation. Policy and practice will be reassessed as a result of the preliminary EIAs that will be carried out prior to the final submission to REF 2014. Any necessary changes will be made to policy and / or practice as a result of the EIA if an imbalance in staff selection for protected characteristics is shown.

5) Who is to be consulted about the policy or practice?

(Guidance - stakeholders' views on the most effective methods of addressing unwanted impacts should be considered)

The policy has been consulted on widely across the University (see Section 8 and 10 of the Code of Practice and Section 3.8 of this initial EIA.

Section 5: Summarising the results of the EIA

1) When will the next Equality Impact Assessment be undertaken?

Following the RAE 2008 EIA and the data gathered on the protected characteristics of age, gender, disability and ethnicity (extended to include part-time and fixed-term working, where data permits)

on the academic staff pool in 2011, as part of the University's Equality Monitoring Report, a preliminary EIA will be undertaken following:

- i) the first draft submission (Sept 2012)
- ii) the second draft submission (March 2013)

A final EIA will be undertaken following:

- iii) the final REF 2014 submission to HEFCE (November 2013).

2) Please list any issues for consideration at a faculty/directorate level as a result of the EIA

(Guidance - Are there any actions necessary to ensure that the anticipated impact/ actual impact are implemented? Are there any further implications or knock on effects to other policies or practices?)

The preliminary and final EIA will be conducted at a University level as our initial EIA has determined that the pool of staff within each UOA is likely to be sufficiently low to permit robust statistical analysis. However, the data will be examined at the level of the UOA, where data permits, and trends analysed that can be discussed at a Faculty or Research Centre level.

Name of person completing EIA Research Development Manager (Dr Anita Gurney; Dr Beth Taylor)

Date 03 July 2012

Name of senior manager sign off University REF Lead and Chair of REF Implementation Group (Prof Paul Lawless)

Date 03 July 2012

APPENDIX 1B: RAE 2008 EQUALITY PROFILE FOR SHEFFIELD HALLAM UNIVERSITY

BACKGROUND

1. Under the Race Relations (Amendment) Act (RRAA), the higher education funding bodies in England, Wales and Scotland have a statutory duty to monitor the Higher Education Sector for any adverse and differential impact of a funding body sponsored policy or service on a minority ethnic community. As part of their responsibility under the RRAA, they also need to monitor, by racial group, the staff submitted to the RAE.
2. Each HEI must provide an equality profile, in terms of disability, gender and ethnicity, of staff who are eligible for submission and indicate those who are submitted and those who are not. If any prima facie imbalance is found relative to the total potential pool, then the HEI may be required to account for it. HEIs may consider undertaking impact assessments at lower levels, for example if they perceive imbalance in particular Units of Assessment (UOA).
3. HEIs likewise have a general duty and specific duties under the RRAA. As well as having a duty to monitor submissions to the RAE by racial group, institutions' internal selection processes will have to be assessed for their impact on different racial groups.

HEFCE Guidance on submissions RAE 03/2005

PURPOSE

4. To identify whether there is an imbalance in terms of **gender, disability, ethnicity and age** (the latter is in addition to HEFCE requirements) between Category A staff included in the University RAE 2008 return relative to the total potential pool of staff who could be submitted and those who were considered for inclusion in the return. The definition of staff is as follows:
 - **Category A:** Academic staff in post and on the payroll of the submitting institution on the census date (31/10/07).
 - **Eligible:** staff who meet the minimum requirements to be included in the RAE 2008 submission; defined in the Guidance on Submissions of having an FTE of 0.2 or above on the staff census date and being employed to carry out teaching and/or research.
 - **Considered:** eligible staff who contacted a UOA Coordinator with a view to being included in the RAE 2008 return and submitted their research outputs for review.
 - **Included:** eligible staff who were notified that they would be included in the RAE 2008 return on 31 July 2007.

This survey is correct as of 31 July 2007 and does not account for the small number of staff recruited to the University since this date and subsequently included in the submission (n = 14).

KEY RESULTS

5. **Overall:** The RAE 2008 is returning 290 staff representing 21% of total eligible staff. 64% of staff considered for inclusion are being returned. There is an imbalance in terms of **gender, disability, ethnicity and age** between Category A staff included in the University RAE 2008 return relative to the total eligible pool of staff and those who were considered for inclusion in the return. However, this imbalance is not considered substantial to warrant serious concern.

6. **Gender:** The proportion of females decreases at each stage of the RAE selection process with 17% of eligible females included compared with 25% eligible males.
7. **Disability:** The proportion of staff with a disability remains constant at 2% in all staff categories; however, a greater proportion of eligible disabled staff have been excluded from the RAE return (84%) compared with non-disabled eligible staff (79%).
8. **Age:** The profile of eligible staff is skewed towards older staff; 44% of eligible staff are 50 years of age or over, and this age group represents 46% of staff included in the submission.
9. **Ethnicity:** The proportion of white British staff remains constant (approx. 68%) at each stage of the RAE selection process; however, the proportion of staff belonging to a specific minority group increases at each stage of the process such that 21% of included staff are from a minority group compared with 13% eligible staff.

DATA ANALYSIS

10. Gender

- The female:male ratio is biased towards males in all three categories (Eligible = 1:1.1, Considered = 1:1.3, Included = 1:1.6). The proportion of males increases at each stage of the RAE selection process.
- The number of male and female staff considered for return and who have subsequently been excluded are approximately equal (female n = 86, male n = 80).

Table 1. Number of eligible, considered and included staff by gender. Data in parentheses show female and male staff as a proportion of the total numbers.

Gender	Eligible	Considered	Included	Included (% considered)	Included (% eligible)
Female	638 (47%)	196 (43%)	110 (38%)	56%	17%
Male	728 (53%)	260 (57%)	180 (62%)	69%	25%
Total	1366	456	290	64%	21%

11. Disability

- The percentage of staff with a disability remains constant at 2% in all staff categories.
- A greater proportion of eligible disabled staff have been excluded from the RAE return (84%) compared with non-disabled eligible staff (79%).

Table 2. Number of eligible, considered and included staff by disability. Data in parentheses show female and male staff as a proportion of total numbers

Disability	Eligible	Considered	Included	Included (% considered)	Included (% eligible)
No	1335 (98%)	447 (98%)	285 (98%)	64%	21%
Yes	31 (2%)	9 (2%)	5 (2%)	55%	16%
Total	1366	456	290	64%	21%

12. Ethnicity

- 69% of eligible staff are white British and 13% are of a specific minority ethnic group (18% staff have unknown ethnicity).
- 67% of considered staff are white British and 15% of considered staff belong to a specific minority ethnic group (18% staff have unknown ethnicity).
- 68% of included staff are white British and 21% belong to a specific minority ethnic group (11% have unknown ethnicity).

Table 3. Number of eligible, considered and included staff by ethnicity

Ethnicity	Eligible	Considered	Considered staff included	Considered staff excluded
White British	948	307	197	110
White Irish	18	6	1	5
White - Other White Background	63	25	20	5
Asian or Asian British - Bangladeshi	2	1	0	1
Asian or Asian British - Indian	13	3	2	1
Asian or Asian British - Pakistani	3	3	1	2
Other Asian Background	18	5	3	2
Black or Black British - African	8	3	2	1
Black or Black British Caribbean	7	1	0	1
Chinese	13	6	3	3
Other Ethnic Background	20	11	10	1
Mixed - White and Asian	3	1	0	1
Mixed - White and Black African	1	0	0	0
Not Known	249	84	51	33
Grand total	1366	456	290	166

13. **Age**

- The profile of eligible staff is skewed towards older staff; 44% of eligible staff are 50 years of age or over, and this age group represents 46% of staff included in the submission.
- Greatest numbers of staff in the 50-54 age band can be found in eligible, considered and included staff categories; whereas only 5% of the staff in the eligible pool are under 30 years of age, and this age group represents 3% of the staff who are included in the submission.

Table 4. Number of eligible, considered and included staff by age

Age Band	Eligible	Considered	Included	Included (% considered)	Included (% eligible)
21-24	7	0	0	0%	0%
25-29	58	11	10	91%	17%
30-34	94	35	19	54%	20%
35-39	149	66	41	62%	27%
40-44	211	83	45	54%	21%
45-49	241	70	43	61%	18%
50-54	270	86	61	71%	22%
55-59	217	74	49	68%	22%
60+	119	31	22	71%	18%
Total	1366	456	290	63%	21%

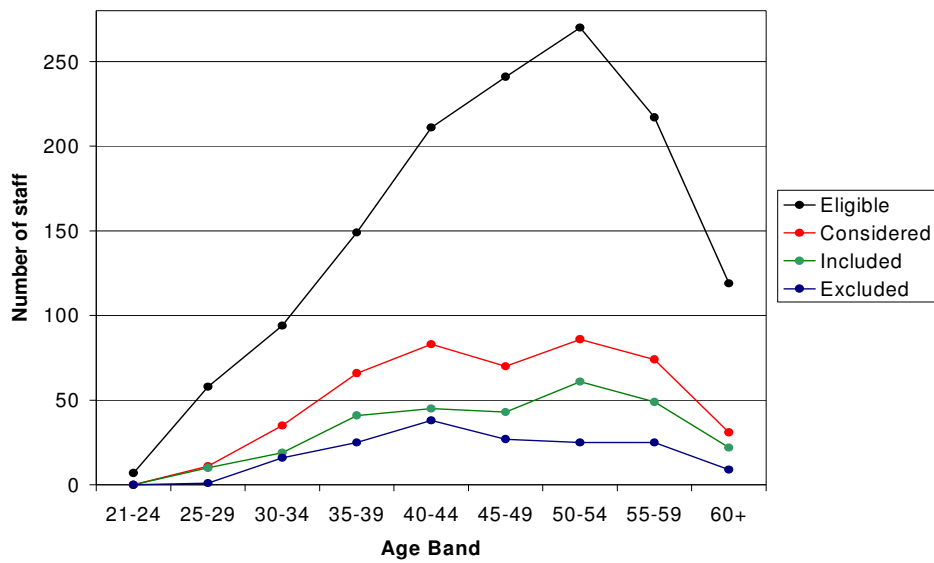


Figure 1. Number of staff, in each age band, who are eligible for and have been considered, included in and excluded from the RAE 2008 submission.

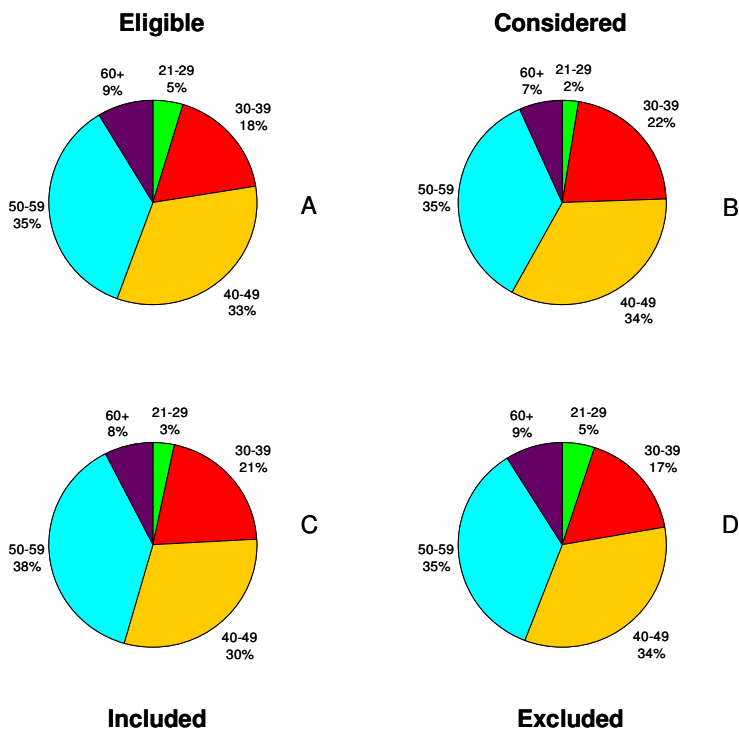


Figure 2. The distribution of staff within 5 age bands and within each category of staff (A eligible, B considered, C included and D excluded).

14. CONCLUDING REMARKS

The imbalance observed in terms of **gender, disability, ethnicity and age** between Category A staff included in the RAE 2008 return relative to the total pool of eligible staff and those who were considered for inclusion is not considered substantial to warrant serious concern although there may be merit in looking at the gender imbalance for individual Units of Assessment.

Appendix 1c: Comparison of staff baseline data between RAE 2008 and REF 2014

Comparison of diversity within the University's academic staff pool in 2011 (i.e. containing those staff likely to satisfy the REF 2014 criteria for Category A staff) and the pool of eligible staff at the time of RAE 2008 (i.e. containing those staff likely to satisfy the RAE 2008 criteria for Category A staff). Data has been sourced from 1) the Sheffield Hallam University Equality Monitoring Report, November 2011 and 2) the Equality Impact Analysis performed as part of the University's RAE 2008 submission.

Gender

	RAE 2008	November 2011	change
Female	47%	49%	+2%
Male	53%	51%	-2%

Age

	RAE 2008	November 2011	change
16-20	0%	0%	0%
21-24	0%	1%	+1%
25-29	4%	6%	+2%
30-34	7%	11%	+4%
35-39	11%	10%	-1%
40-44	15%	15%	0%
45-49	18%	16%	-2%
50-54	20%	16%	-4%
55-59	16%	14%	-2%
60+	9%	11%	+2%

Ethnicity

	RAE 2008	November 2011	change
Other	2%	1%	-1%
Chinese	1%	1%	0%
Black	1%	1%	0%
Asian	3%	4%	+1%
White	92%	92%	0%

Disability

	RAE 2008	November 2011	change
Disability	2%	3%	+1%
No disability	98%	97%	-1%

APPENDIX 2: EIA ON FIRST DRAFT OF SUBMISSION

KEY RESULTS

1. **Overall:** Of a total pool of 1,555 eligible staff, 299 requested to be considered for inclusion and submitted their research outputs for review. At this stage of the selection process, there were imbalances that warranted attention in **gender, age and working pattern** between staff eligible for the REF submission and those being considered.
2. **Gender:** The gender profile of staff was imbalanced with only 15% of eligible females considered for inclusion compared with 23% of eligible males.
3. **Disability:** The disability profile of staff was constant with approximately 3% of disabled staff in both the eligible and considered categories; 19% of non-disabled staff and 19% disabled staff were considered from the respective eligible pool.
4. **Age:** The age profile of staff in the eligible and the considered categories was broadly similar. The greatest disparity between the eligible and considered pools was found in the 35-39 year age band where 26% of the eligible pool were considered, well above the average of 19%.
5. **Ethnicity:** The ethnicity profile of staff was broadly constant between the eligible and the considered staff pools. Further interrogation of data was limited due to the small sample sizes.
6. **Working pattern:** The working pattern profile of staff was imbalanced at this stage of the REF selection process with 20% of full-time staff considered for inclusion compared with 15% of part-time staff. A greater number of females worked part-time relative to males and 14% of part-time females were considered compared with 17% of part-time males. This difference was more marked for females who held a full-time contract with only 16% of full-time females considered compared with 24% of full-time males.
7. **Occupancy:** A greater proportion of staff in the eligible pool (96%) held permanent contracts compared with fixed-term contracts (4%); there was a large difference in occupancy in the considered pool with only 13% of staff on fixed-term contracts being considered compared with 20% on permanent contracts.

DATA ANALYSIS

8. **Gender:** The percentage of female and male staff was equal (50%) in the eligible category; however, only 15% of eligible females were considered for inclusion compared with 23% of eligible males.

Table 1. Number of eligible and considered staff by gender. Data in parentheses show female and male staff as a percentage of the pool total.

Gender	Eligible	Considered	Considered (% eligible)
Female	778 (50%)	119 (40%)	15%
Male	777 (50%)	180 (60%)	23%
Total	1555	299	19%

24. **Disability:** The ratio of non-disabled to disabled staff was greater in both the eligible and the considered category and the two staff pools show the same distribution.

Furthermore, 19% of non-disabled staff and 19% disabled staff were considered from the respective eligible pool.

Table 2. Number of eligible and considered staff by disability. Data in parentheses show disabled and non-disabled staff as a percentage of the pool total.

Disability	Eligible	Considered	Considered (% eligible)
No	1512 (97%)	291 (97%)	19%
Yes	43 (3%)	8 (3%)	19%
Total	1555	299	19%

25. **Age:** The age profile of staff in the eligible and the considered categories was broadly similar with a bias toward the mid- and older-age bands. The greatest disparity between the eligible and considered categories was for the 35-39 year age band where 26% of the eligible pool were considered, well above the average of 19%.

Table 3. Number of eligible and considered staff by age band. Data in parentheses show each staff age band as a percentage of the pool total.

Age Band (yrs)	Eligible	Considered	Considered (% eligible)
21-24	3 (0.2%)	0 (0%)	0%
25-29	53 (3.4%)	11 (3.7%)	21%
30-34	142 (9.1%)	34 (11.4%)	24%
35-39	169 (10.8%)	44 (14.7%)	26%
40-44	235 (15.1%)	42 (14.1%)	18%
45-49	283 (18.2%)	55 (18.4%)	19%
50-54	285 (18.3%)	50 (16.7%)	18%
55-59	229 (14.7%)	34 (11.4%)	15%
60+	156 (10.0%)	29 (9.7%)	19%
Total	1555	299	19%

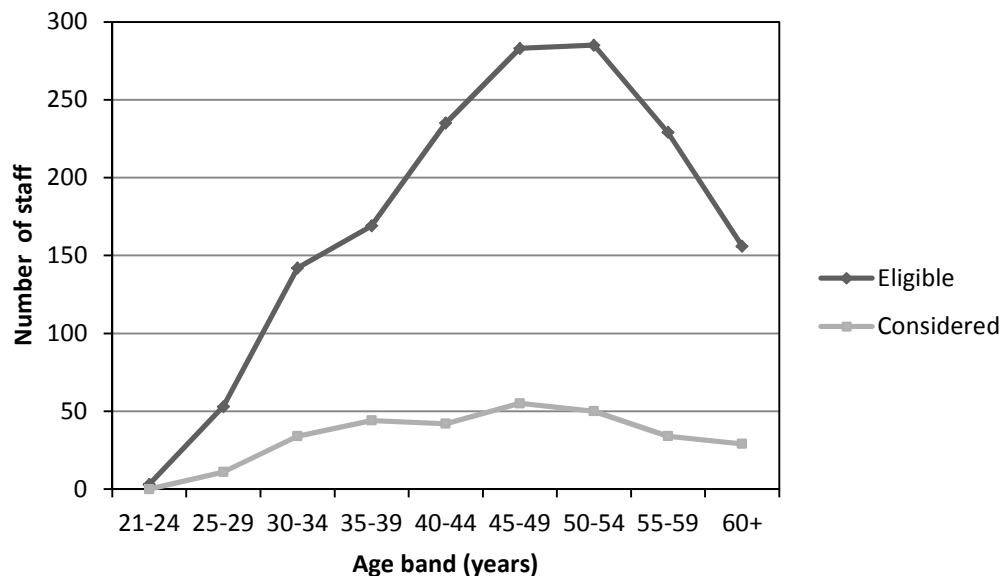


Figure 1. The number of staff of each age band in the eligible and considered categories at this selection stage of the REF 2014 submission.

26. **Ethnicity:** The majority of staff in the eligible pool declared themselves to be of white British ethnicity and this was observed for both staff pools. 19% of white staff were considered for inclusion from the eligible pool. Due to the small sample sizes across all other ethnic groups little data analysis could be undertaken; however, across the two pools a broadly similar profile for ethnicity was observed.

Table 4. Number of eligible and considered staff by ethnicity. Data in parentheses show each staff ethnicity as a percentage of the relevant pool total.

Ethnicity	Eligible	Considered	Considered (% eligible)
Asian or Asian British - Bangladeshi	2 (0.1%)	0 (0%)	0%
Asian or Asian British - Indian	19 (1.2%)	5 (1.7%)	26%
Asian or Asian British - Pakistani	6 (0.4%)	1 (0.3%)	17%
Black or Black British - African	10 (0.6%)	1 (0.3%)	10%
Black or Black British Caribbean	6 (0.4%)	0 (0%)	0%
Chinese	25 (1.6%)	3 (1%)	12%
Mixed - White and Asian	7 (0.5%)	2 (0.7%)	29%
Mixed - White and Black African	3 (0.2%)	0 (0%)	0%
Mixed - White and Black Caribbean	3 (0.2%)	0 (0%)	0%
Other Asian Background	33 (2.1%)	12 (4.0%)	36%
Other Ethnic Background	7 (0.5%)	1 (0.3%)	14%
Other mixed background	4 (0.3%)	1 (0.3%)	25%
White British	1214 (78%)	227 (75%)	19%
White - Other White Background	100 (6.4%)	29 (9.7%)	29%
Not Known	116 (7.5%)	17 (5.7%)	15%
Total	1555	299	19%

27. **Working pattern:** A greater proportion of staff in the eligible pool worked full time (78%) compared with part-time staff (22%); this was more marked in the considered pool due to 20% of full-time staff being considered for inclusion compared with 15% of part-time staff. As predicted there was a greater number of females working part-time relative to males; 14% of part-time females were considered compared with 17% of part-time males relative to the eligible pool. This difference was more marked for females who held a full-time contract with only 16% of full-time females considered compared with 24% of full-time males.

Table 5. Number of eligible and considered staff by working pattern and gender. Data in parentheses show both working pattern and gender as a percentage of the relevant column total.

Working Pattern	Eligible	Considered	Considered (% eligible)
Full-time	1217 (78%)	247 (83%)	20%
Female	549 (45%)	86 (35%)	16%
Male	668 (55%)	161 (65%)	24%
Part-time	338 (22%)	52 (17%)	15%
Female	229 (68%)	33 (63%)	14%
Male	109 (32%)	19 (37%)	17%
Total	1555	299	19%

28. **Occupancy:** A greater proportion of staff in the eligible pool (96%) held permanent contracts compared with fixed-term contracts (4%); there was a large difference in occupancy in the considered pool with only 13% of staff on fixed-term contracts being considered compared with 20% on permanent contracts.

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

Occupancy	Eligible	Considered	Considered (% eligible)
Permanent	1491 (96%)	291 (97%)	20%
Fixed-term	64 (4%)	8 (3%)	13%
Total	1555	299	19%

APPENDIX 3: EIA ON SECOND DRAFT OF SUBMISSION

KEY RESULTS

1. **Overall:** Of a total pool of 1,518 eligible staff, 416 requested to be considered for inclusion (27%) and 244 staff were included in the submission (16%). At this stage of the selection process, there were imbalances that warranted attention in **gender, age and working pattern** between staff eligible for the REF submission and those being considered and subsequently included.
2. **Gender:** The gender profile of staff was imbalanced with only 13% of eligible females included in the submission compared with 19% of eligible males. This pattern emerged at the considered stage where 23% of eligible females and 32% of eligible males were considered. Once considered there was only a small bias towards selecting males (60%) over females (57%).
3. **Disability:** The profile of disabled and non-disabled staff was similar at each stage of the selection process compared with the eligible pool. 16% of non-disabled staff and 16% disabled staff were considered from each respective eligible pool.
4. **Age:** The age profile of staff in all three staff pools was broadly similar with a bias toward the mid- and older-age bands. The greatest disparity between the eligible, considered and included categories was observed for the 35-39 year age band where 27% of eligible staff were included compared with the 16% average across all age bands. Conversely, a decrease at each stage of the selection process was observed for the 50-54 age band such only 11% of eligible staff in this age band were included compared with the 16% average across all age bands.
5. **Ethnicity:** Due to the small sample sizes across the majority of ethnic groups no robust data analysis could be undertaken. However, across the three pools a broadly similar profile for ethnicity was observed.
6. **Working pattern:** 16% of full-time eligible staff were considered for inclusion compared with 15% of eligible part-time staff. However, when data were examined by gender a greater number of females were observed to work part-time relative to males; furthermore only 13% of part-time eligible females were included compared with 18% of eligible part-time males. This difference arose at the considered stage where 23% of eligible females were considered compared with 33% of eligible males. Once considered there was no bias in the selection process between females and males. A similar pattern emerged for full-time working patterns.
7. **Occupancy:** the proportion of permanent to fixed-term staff was very similar at each stage of the selection process compared with the eligible pool such that 93% of included staff were permanent compared with 95% in the eligible pool and 7% were fixed-term compared with the eligible pool of 5%.

DATA ANALYSIS

8. **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 pattern emerges at the considered stage where 23% of eligible females and 32% of eligible males were considered. Once considered there was only a small bias towards selecting males (60%) over females (57%).

Table 1. Number of eligible, considered and included staff by gender. Data in parentheses show female and male staff as a percentage of the relevant column total.

Gender	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Female	749 (49%)	171 (41%)	97 (40%)	23%	57%	13%
Male	769 (51%)	245 (59%)	147 (60%)	32%	60%	19%
Total	1518	416	244	27%	59%	16%

9. **Disability:** In the eligible staff pool 97% of staff were non-disabled and 3% declared themselves disabled, this ratio was similar across all three staff pools. Furthermore, 16% of non-disabled staff and 16% disabled staff were considered from the respective eligible pool.

Table 2. Number of eligible, considered and included staff by disability. Data in parentheses show disabled and non-disabled staff as a percentage of the relevant column total.

Disability	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
No	1473 (97%)	408 (98%)	237 (97%)	28%	88%	16%
Yes	45 (3%)	8 (2%)	7 (3%)	32%	58%	16%
Total	1518	416	244	27%	58%	16%

10. **Age:** The age profile in all three staff pools was broadly similar with a bias toward the mid- and 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 27% of eligible staff in this age band were included compared with the 16% average across all age bands. Conversely, a decrease at each stage of the selection process was observed for the 50-54 age band such only 11% of eligible staff in this age band were included compared with the 16% average across all age bands. It should be noted that the greatest decrease is observed between the eligible and the considered pool.

Table 3. Number of eligible, considered and included staff by age band. Data in parentheses show each staff age band as a percentage of the relevant pool total.

Age Band	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
21-24	1 (0.1%)	0 (0%)	0 (0%)	0%	-	-
25-29	28 (1.8%)	12 (2.9%)	6 (2.5%)	43%	50%	21%
30-34	127 (8.4%)	44 (10.6%)	26 (10.7%)	35%	59%	20%
35-39	158 (10.4%)	62 (14.9%)	43 (17.6%)	39%	69%	27%
40-44	211 (13.9%)	64 (15.4%)	31 (12.7%)	30%	48%	15%
45-49	294 (19.4%)	77 (18.5%)	46 (18.9%)	26%	60%	16%
50-54	280 (18.4%)	58 (13.9%)	31 (12.7%)	21%	53%	11%
55-59	226 (14.9%)	49 (11.8%)	32 (13.1%)	18%	65%	14%
60+	193 (12.7%)	50 (12.0%)	29 (11.9%)	26%	58%	15%
Total	1518	416	244	27%	59%	16%

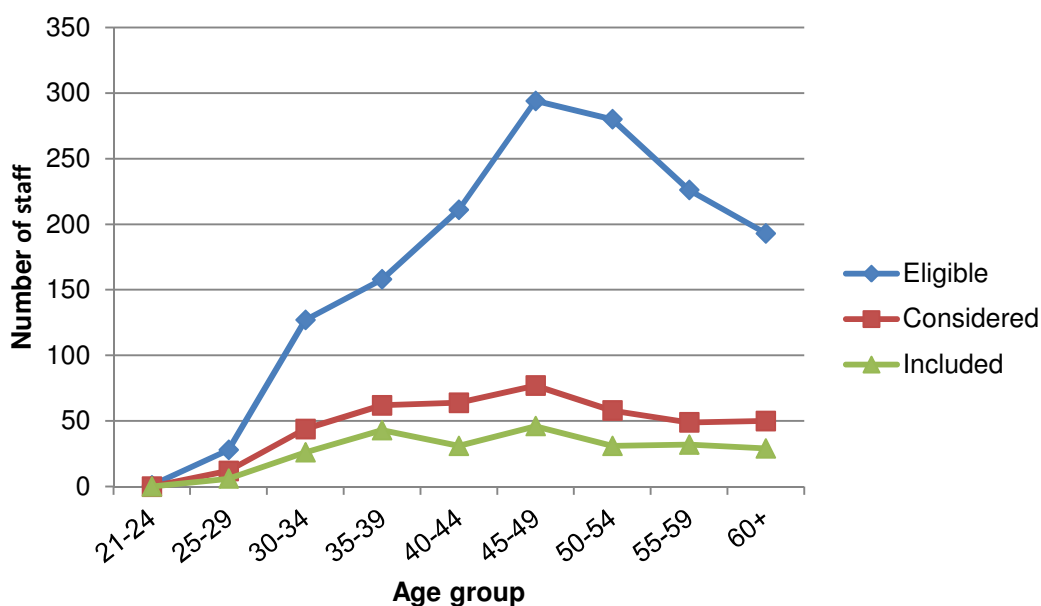


Figure 1. The number of eligible, considered and included staff in each age grouping

11. **Ethnicity:** The majority of staff in the eligible pool declared themselves to be of white British ethnicity and this was observed for both staff pools. 15% of white staff were considered for inclusion from the eligible pool. Due to the small sample sizes across all other ethnic groups little data analysis could be undertaken; however, across the two pools a broadly similar profile for ethnicity was observed and this was particularly the case for the considered pool compared with the included pool indicating that once individuals come forward there was no bias in the selection process.

Table 4. Number of eligible, considered and included staff by ethnicity. Data in parentheses show each staff ethnicity as a percentage of the relevant pool total.

Ethnicity	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Asian/Asian British-Bangladeshi	3 (0.2%)	0 (0%)	0 (0%)	0%	-	-
Asian/Asian British-Indian	20 (1.3%)	9 (2.2%)	7 (2.9%)	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	6 (0.4%)	0 (0%)	0 (0%)	0%	0%	0%
Chinese	26 (1.7%)	6 (1.4%)	4 (1.6%)	23%	67%	15%
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%)	1 (0.4%)	25%	100%	25%
Mixed-White & Black Caribbean	3 (0.2%)	0 (0%)	0 (0%)	0%	-	-
Other Asian Background	32 (2.1%)	13 (3.1%)	6 (2.5%)	41%	46%	19%
Other Ethnic Background	5 (0.3%)	1 (0.2%)	0 (0%)	20%	0%	0%
Other mixed background	4 (0.3%)	3 (0.7%)	1 (0.4%)	75%	33%	25%
Other White Background	92 (6.1%)	43 (10.3%)	26 (10.7%)	47%	61%	28%
White British	1228 (81%)	310 (75%)	181 (74%)	25%	58%	15%
Not Known	71 (4.6%)	21 (5.0%)	15 (6.1%)	30%	71%	21%
Grand total	1518	416	244	27%	59%	16%

12. **Working pattern:** A greater proportion of staff in the eligible pool worked full time (80%) compared with part-time staff (20%); this was broadly similar across all staff pools and 16% of full-time eligible staff were considered for inclusion compared with 15% of eligible part-time staff. A greater number of females worked part-time relative to males; although only 13% of part-time eligible females were included compared with 18% of eligible part-time males. This difference arose at the considered stage where 23% of eligible females were considered

compared with 33% of eligible males. Once considered there was no bias in the selection process between females and males. A similar pattern emerged for full-time working patterns.

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

Working Pattern	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Full-time	1216 (80%)	337 (81%)	200 (82%)	28%	59%	16%
Female	550 (45%)	126 (37%)	72 (36%)	23%	57%	13%
Male	666 (55%)	211 (63%)	128 (64%)	32%	61%	19%
Part-time	302 (20%)	79 (19%)	44 (18%)	26%	56%	15%
Female	199 (66%)	45 (57%)	25 (57%)	23%	56%	13%
Male	103 (34%)	34 (43%)	19 (43%)	33%	56%	18%
Total	1518	416	244	27%	59%	16%

13. **Occupancy:** A greater number of staff (95%) held permanent contracts compared with fixed-term contracts (5%) in the eligible staff pool; this proportion was similar for both considered and included staff pools. 16% of permanent staff from the eligible pool were included compared with 22% of fixed-term staff; these data suggest that fixed-term staff are more likely to be included in the REF submission compared with fixed-term colleagues although the small sample size is likely to have distorted this result.

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

Occupancy	Eligible	Considered	Included	Considered (% eligible)	Included (% considered)	Included (% eligible)
Permanent	1444 (95%)	394 (95%)	228 (93%)	27%	58%	16%
Fixed-term	74 (5%)	22 (5%)	16 (7%)	30%	73%	22%
Total	1518	416	244	27%	59%	16%