

Equality analysis for the processes for identifying staff with significant responsibility for research and determining research independence – Final submission (26 May 2021)

Equality Analysis template

Screening	Please provide explanatory comments
1. What activity is being analysed?	BU REF 2021 final submission – staff identified for submission as at 26 May 2021
2. Who is likely to be affected by the activity?	Academic staff with a HESA employment function of ‘teaching and research’ or ‘research only’.
3. Who led the analysis?	Julie Northam, Head of RDS
4. Who contributed to the analysis?	Shelly Anne Stringer, Research Outputs Adviser
5. What information has been used to inform the analysis?	Data on staff eligible to be submitted to the REF (census date for staff - 31 st January 2020, match to HESA Staff Return), alongside data from RED (for research grants and contracts), HR system (doctorates) and Research PAD (PGR supervisions).
Analysis	Please provide explanatory comments
How does the activity promote good relations/equality/inclusion in relation to:	
6.1 Age	Positive impact. The code of practice states that the quality or volume of research output are not taken into account as part of determining the ‘Category A submitted’ pool of staff. This promotes inclusion for early career researchers at the start of their career and may therefore support the inclusion of younger members of staff. In addition the REF Guidance specifically mentions being an early career researcher as an eligible reason for a reduction in outputs. All academic staff meeting the REF definition of ‘Category A eligible’ are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. Other than legal minimum age for work, there are no direct age related criteria used by the University. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.2 Disability	Positive impact. The code of practice states that it will be made available in other formats upon request. This is to facilitate access as a reasonable adjustment. All academic staff meeting the REF definition of ‘Category A eligible’ are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.3 Gender Reassignment	All academic staff meeting the REF definition of ‘Category A eligible’ are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the

	checking exercises to identify staff with significant responsibility for research or research independence.
6.4 Marriage and civil partnership ¹	All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.5 Pregnancy and maternity (including paternity)	Positive impact. This is specifically mentioned in the REF Guidance as an eligible reason for a reduction in outputs. All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.6 Race (colour, ethnic or national background)	Positive impact. The modelling predicts a higher submission rates for staff with a declared BAME background (than those with a declared white background or with no declared ethnicity. This is a similar pattern of submission to REF 2014. All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.7 Religion or belief (including non-belief)	All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.8 Sex (Female/Male)	Positive impact. The modelling predicts submission rates for men and women which are similar (5.66% variance between men and women). This is a significant improvement on submission rates to REF 2014 (15% variance between men and women). All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the checking exercises to identify staff with significant responsibility for research or research independence.
6.9 Sexual orientation	All academic staff meeting the REF definition of 'Category A eligible' are eligible to be identified for submission to REF 2021, regardless of this protected characteristic. No information regarding this protected characteristic is used as part of the

¹ Marriage and civil partnership are protected under the legislation but only for the need to eliminate unlawful discrimination in employment.

	checking exercises to identify staff with significant responsibility for research or research independence.
Does the activity have an actual or potential adverse impact in relation to?	
7.1 Age	Potential adverse impact. <i>The modelling predicts that those in the age categories 50-59 and 60+ are less likely to be submitted than those aged between 20-29, 30-39 and 40-49. Those in the 30-39 age category are most likely to be submitted.</i> This suggests that older staff are less likely to have significant responsibility for research, as defined for the purposes of the REF. However, in all age categories the majority of staff are deemed to have significant responsibility for research.
7.2 Disability	Potential adverse impact. <i>The modelling predicts a variance of 6.64% between staff submitted who have a declared disability and staff submitted who do not have a declared disability (the former being less likely to be submitted) [the variance was 7% in REF 2014].</i> This suggests that staff with a declared disability are less likely to engage actively in independent research; however, the gap has decreased noticeably since the last analysis.
7.3 Gender Reassignment	No perceived impact, however, this data is unavailable so it is not possible at this stage to see whether there are any patterns in terms of submission based on this protected characteristic.
7.4 Marriage and civil partnership ²	No perceived impact, however, this data is unavailable so it is not possible at this stage to see whether there are any patterns in terms of submission based on this protected characteristic.
7.5 Pregnancy and maternity (including paternity)	No perceived impact, however, this data is unavailable so it is not possible at this stage to see whether there are any patterns in terms of submission based on this protected characteristic.
7.6 Race (colour, ethnic or national background)	No perceived impact. The data indicates a positive impact in terms of submission rates for staff with a declared BAME background. The data was further disaggregated between ethnic subcategories. <i>The proportion of staff submitted in each ethnic subcategory was higher than the proportion of staff submitted in the 'white' subcategory, except for those in the subcategory 'other mixed background'.</i>
7.7 Religion or belief (including non-belief)	No perceived impact, however, this data is unavailable so it is not possible at this stage to see whether there are any patterns in terms of submission based on this protected characteristic.
7.8 Sex (Female/Male)	<i>Although the data indicates a positive impact in terms of submission rates being similar for men and women to REF 2021, there remains a slight gap (5.66%).</i>
6. Other	
Although not a protected characteristic, the data was also reviewed in terms of contracted hours (full- or part-time hours) and contractual status (established or fixed-term). This indicated that part-time staff were less likely to be submitted than full-time staff (17.16% variance) and that staff on fixed-term contracts were slightly more likely to be submitted than staff on established contracts (3.82% variance).	

² Please see footnote 1.

7. Comment on the good practice identified

Inclusivity and equality have been key drivers in all stages at all stages of the University’s REF preparations. Equality analysis was used to inform all stages of the modelling of processes and the testing of the models to identify to preferred options for BU’s REF Code of Practice. Some of the options for identifying staff with significant responsibility for research, for example, were predicted to have a negative impact on groups of staff with one or more protected characteristics and this resulted in these options being excluded. All equality analysis data was made openly available to staff as part of the feedback exercises.

BU’s equality and diversity work for the REF has been built into the University’s dignity, diversity and equality action plan and Athena SWAN action plan and is being considered as part of the work towards the Race Equality Charter.

All staff involved in advising and making decisions (in terms of identifying staff with significant responsibility for research, determining research independence, and selecting outputs) are receiving mandatory REF-focussed equality and diversity training and development.

The diversity of the membership of internal REF groups (such as the REF Steering Group, REF Committee, Staff Circumstances Board and REF Appeals Panel) is taken into consideration.

8. Comment on the actions to mitigate actual or potential adverse impact

This equality analysis identifies one action:

1. Women, staff with a declared disability and/or staff contracted to work part-time hours are less likely to engage in independent research (as defined in the context of the BU REF 2021 Code of Practice). However, in all cases the gaps have reduced with each subsequent equality analysis. These matters have been discussed by the University Research & Professional Practice Committee between January 2019 and January 2021. Each Faculty has a ‘gender and research action plan’. It is recommended this work continues at University, Faculty and Department level.

10. Decision/Feedback/Approval

10.1 What is the analysis outcome? (See Table 1 to assist here)	Please circle	Level 1	Level 2	Level 3	Level 4
10.2 Have you consulted with ESG?	Yes - the BU REF 2021 Code of Practice was shared with ESG and approved by email.				
10.3 When will the analysis be reported to ESG?	Spring 2021				
10.4 Which Committee will approve the analysis?	REF Steering Group				
10.5 Date of approval	July 2021				
10.6 When and how will the analysis be reviewed?	Further equality analysis work may be conducted after the final submission (in April 2021).				

Appendix 1 – analysis

Gender

Academic employment function	Option	Category A headcount	Gender			
			Headcount men	Headcount women	% men submitted	% women submitted
Teaching & Research	Eligible	719	373	346	100%	100%
	Submitted	549	295	254	79.09%	73.41%
Research-only	Eligible	2	1	1	100%	100%
	Submitted	2	1	1	100%	100%
Both categories	Eligible	721	374	347	100%	100%
	Submitted	551	296	255	79.14%	73.49%

Disability

Academic employment function	Option	Category A headcount	Disability			
			Headcount disclosed disability	Headcount no disclosed disability	% submitted with disclosed disability	% submitted with no disclosed disability
Teaching & Research	Eligible	719	47	672	100%	100%
	Submitted	549	33	516	70.21%	76.79%
Research-only	Eligible	2	0	2	100%	100%
	Submitted	2	0	2	-	100%
Both categories	Eligible	721	47	674	100%	100%
	Submitted	551	33	518	70.21%	76.85%

Ethnicity

Academic employment function	Option	Category A headcount	Ethnicity							
			Headcount White	Headcount Information refused /	Headcount BAME	Headcount mixed race	% submitted White	% submitted Information refused /	% submitted BAME	% submitted mixed race
Teaching & Research	Eligible	719	579	28	95	17	100%	100%	100%	100%
	Submitted	549	429	22	85	13	74.09%	79%	89.47%	76.47%
Research-only	Eligible	2	2	0	0	0	100%	-	-	-
	Submitted	2	2	0	0	0	100%	-	-	-
Both categories	Eligible	721	581	28	95	17	100%	100%	100%	100%
	Submitted	551	431	22	85	13	74.18%	79%	89.47%	76.47%

Contracted hours

Academic employment function	Option	Category A headcount	Contracted hours			
			Headcount full-time	Headcount part-time	% submitted full-time	% submitted part-time
Teaching & Research	Eligible	719	583	136	100%	100%
	Submitted	549	464	85	79.59%	62.5%
Research-only	Eligible	2	2	-	100%	100%
	Submitted	2	2	-	100%	-
Both categories	Eligible	721	585	136	100%	100%
	Submitted	551	466	85	79.66%	62.5%

Age

Academic employment function	Option	Category A headcount	Age									
			Headcount					% submitted				
			20-29 years	30-39 years	40-49 years	50-59 years	60+ years	20-29 years	30-39 years	40-49 years	50-59 years	60+ years
Teaching & Research	Eligible	719	9	145	227	227	111	77.78%	82.76%	78.85%	73.13%	69.37%
	Submitted	549	7	120	179	166	77	75.00%	82.67%	78.85%	73.13%	69.37%
Research-only	Eligible	2	0	1	0	1	0	-	100%	-	100%	-
	Submitted	2	0	1	0	1	0	-	100.00%	-	100.00%	-
Both categories	Eligible	721	9	146	227	228	111	100%	100%	100%	100%	100%
	Submitted	551	7	121	179	167	77	77.78%	82.88%	78.85%	73.25%	69.37%

Contractual status

Academic employment function	Option	Category A headcount	Contractual status			
			Headcount		% submitted	
			Established	Fixed-term	Established	Fixed-term
Teaching & Research	Eligible	719	676	43	100%	100%
	Submitted	549	515	34	76.18%	79.07%
Research-only	Eligible	2	-	2	-	100%
	Submitted	2	-	2	-	100%
Both categories	Eligible	721	676	45	100%	100%
	Submitted	551	515	36	76.18%	80%