Research Excellence Framework (REF) 2021

Final Equality Impact Assessment (EIA)

Disclosing low numbers in this EIA would potentially lead to the identification of individuals, thus disclosing their personal data and breaching the principles in Article 5(1) of the General Data Protection Regulation and in section 34(1) of the Data Protection Act 2018. Consequently, where columns in the tables in Appendix 2 contained individual entries with low numbers (<5), or contained data that could potentially be used to back-calculate low numbers in other columns, the data in those columns has been redacted.

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University of Dundee

REF 2021: Final Equality Impact Assessment

Introduction

All Higher Education Institutions submitting to REF 2021 were required to produce and implement a Code of Practice on the fair and transparent identification of staff with significant responsibility for research (where not submitting 100% eligible staff); determining who is an independent researcher; and the selection of outputs. The University of Dundee's REF 2021 Code of Practice was submitted in June 2019 and, following assessment by the national REF Equality and Diversity Advisory Panel (EDAP) and the Scottish Funding Council, was approved in August 2019. An initial Equality Impact Assessment (EIA) on the Code of Practice (Appendix 1) was conducted in May 2019 and appended to the Code on submission. Minor revisions to the Code of Practice to reflect changes to internal and external timelines due to COVID-19 were made and approved in October/November 2020.

The University of Dundee, as a public sector employer, has demonstrated throughout the REF 2021 exercise its commitment to the promotion of equality, diversity and inclusion and a supportive environment for all of its staff and students and members of the wider community. The University, in carrying out its functions, was proactive in working towards fulfilling the requirements of the public sector equality duty of the Equality Act 2010 to:

• Eliminate discrimination, harassment and victimisation
• Advance equality of opportunity
• Foster good relations

In addition, the University of Dundee is required to carry out EIAs of its policies as part of the Scottish specific duties of the Act.

The University of Dundee has carried out its commitment to embedding equality, diversity and inclusion in its preparations for REF 2021 in accordance with its legal obligations under equality legislation. When developing our REF Code of Practice we evidenced how committees or groups had been formed including steps taken to consider and reflect on representativeness.

Following the initial EIA on the Code of Practice, the University carried out a series of interim EIAs at key stages to ascertain whether the University's procedures for determining research independence for staff employed on 'research-only' contracts and for the selection of outputs disproportionately affected staff with particular protected characteristics.

This final overarching EIA summarises those interim EIAs as well as the analysis of the final REF 2021 submission, based on staff data available at the census date. Its purpose is to highlight any significant changes that have taken place since the initial EIA and to consider whether there was any evidence of disproportionality in the final submission. It will consider what lessons from this REF 2021 exercise should be taken forward.

This assessment was prepared by the University's REF Equality, Diversity and Inclusion Group (REF EDI Group) on behalf of the REF Steering Group (a sub-committee of the University Research and Knowledge Exchange Committee). All completed EIAs will be published on the University's REF 2021 and Human Resources and Organisational Development web pages.

Background

The University of Dundee has embedded equality, diversity and inclusion considerations throughout the REF 2021 assessment cycle by ensuring that our policies and procedures were fair and equitable at all stages. Our REF 2021 Code of Practice details the steps that were taken throughout the planning and implementation stages.

The REF Equality, Diversity and Inclusion Group (REF EDI Group) was established and appointed by the REF Steering Group with membership reflecting a wide range of knowledge and experience of equality, diversity and inclusion with a responsibility to: oversee the development of the Code of Practice, which provided a framework for the University's decision-making processes for REF 2021 in the context of the principles of equality, diversity and inclusion, and relevant legislation; monitor compliance with the Code of Practice during development of the REF submission; and oversee and consider the outcomes of EIAs conducted during the development of the REF submission and any actions that should be taken as a result.

The University required members of all groups involved in preparation of the REF 2021 submission to undertake the University's mandatory online equality, diversity and inclusion training. This included modules on diversity in the workplace and disability. Members were also required to undertake REF-specific training in equality, diversity and inclusion, including unconscious bias training, implemented by the University to ensure that preparation for the REF 2021 submission was informed by and met the University's equality, diversity and inclusion obligations.

The University of Dundee, in line with the UK funding bodies, is committed to supporting and promoting equality, diversity and inclusion in research careers. To reflect this commitment, a set of supportive measures were put in place to enable staff to make voluntary declarations of their individual circumstances. To ensure staff could declare their circumstances confidentially, and that the process was applied consistently across the University, the procedure for declaring individual circumstances was managed centrally by the University's Head of Equality, Diversity and Inclusion and reviews were undertaken for all staff by a central REF Staff Circumstances and Independence Group (REF SCI Group). The balance of academic and professional services staff on the Group proved invaluable in making robust decisions based on the information provided in the disclosure form and, where appropriate, other sources. This was particularly true for the assessment of early career researchers. The opportunity to have a confidential discussion in person was offered to all staff.

The University's commitment to embedding equality, diversity and inclusion across the institution, including the career development of researchers, has been recognised by our **Vitae HR Excellence in Research Award**. The University is also a signatory to the Concordat to Support the Career Development of Researchers. As part of our wider inclusive activity we are engaged with various externally accredited programmes:

- We have held an institutional **Advance HE Athena SWAN** bronze award since 2012, and are striving towards achieving an institutional Silver award; within our current University structure five of our Schools have achieved a bronze award and one School a silver award.
- We are a member of the **Advance HE Race Equality Charter** and will be making our submission for the Bronze award in September 2021.
- We are a long-standing member of **Stonewall** and are a Stonewall Diversity Champion participating in their Workplace Equality Index annually.

Scope

The University carried out interim EIAs at key stages in the REF process on the procedures for identification of staff on 'research-only' contracts who met the REF definition of an independent researcher (Appendix 2) and on the selection of outputs (Appendix 3). These analyses have considered all protected characteristics for which sufficient data exists: age, disability, ethnicity and sex. Other protected characteristics (gender reassignment, marriage and civil partnership, pregnancy and maternity, religion or belief and sexual orientation) were excluded as there was insufficient data to conduct a meaningful analysis. The University did not conduct an EIA on procedures for identification of staff with significant responsibility for research as 100% of eligible staff were submitted (section 2, REF Code of Practice).

Methodology and Analysis

EIA on Research Independence

In accordance with the University's REF 2021 Code of Practice, an EIA was undertaken to compare and analyse the protected characteristics (where sufficient data was available) of 'research-only' staff who were determined to meet the REF criteria for independence compared to the population of all research-only staff. Two major exercises were undertaken, an initial review in late 2019 based on staff in post on 31 July 2019 and a final review based on staff in post on 31 July 2020 (aligned with the preparation of data for the Higher Education Statistics Agency (HESA) returns for 2018/19 and 2019/20 respectively). Staff classified as research assistants were not routinely included in the exercise since these roles generally lack research independence.

Overall, there was no evidence to suggest (in either the initial or final analysis) that the internal REF process to identify independent researchers had an adverse impact or bias on any of the protected groups. A detailed comparison of data for staff who were identified as 'independent' and 'not independent' for the purposes of submission to REF 2021 can be found in Appendix 2.

EIA on Selection of Outputs

An EIA was undertaken to identify whether any protected groups were disproportionately impacted by the output selection process by comparing the distribution of outputs across staff, in the context of the characteristics of the total pool of eligible staff. The analysis examined the attribution of outputs by protected characteristic using data extracted from HR records and information on the attribution of outputs to staff, obtained at four different time points (June 2020, November 2020, February 2021, March 2021).

Overall, there was no evidence to suggest that the internal REF process for the selection and attribution of outputs had a disproportionate impact or bias on any of the protected groups for which data were available. A detailed analysis, including data from the final submission and progression between time points, can be found in Appendix 3.

Conclusions

Our initial EIA found no evidence that the procedures outlined in the REF 2021 Code of Practice would have an adverse effect on staff of different protected characteristics (Appendix 1, section 8). The EIAs on researcher independence (Appendix 2) and selection of outputs (Appendix 3) confirmed this assessment: we found no significant changes over the period to suggest that our processes and procedures outlined in our Code of Practice resulted in bias towards any particular equality group. We therefore believe that the processes for determining research independence and the selection and attribution of outputs outlined in the Code of Practice were conducted in a fair, transparent, consistent, equitable and proportionate manner which did not inadvertently disadvantage any protected group.

Action Plan

To further advance equality, diversity and inclusion, this report will be shared widely in the University with the various committees, equality groups, Athena SWAN and the Race Equality Self-Assessment Teams as it will enhance their existing plans.

As highlighted in the report, the disclosure rates for some protected characteristics were insufficient to conduct meaningful analysis. We will therefore run campaigns to encourage voluntary disclosure of all protected characteristics and ensure we have robust systems in place to capture and analyse these data for future exercises.

Persons involved in the EIA: Pamela Milne, Director, Human Resources and Organisational Development and Convener of REF Equality, Diversity and Inclusion Group and REF Staff Circumstances and Independence Group
Professor Alan Fairlamb, School of Life Sciences
Professor Pamela Ferguson, School of Social Sciences
Professor Faisel Khan, School of Medicine
Dr Clive Randall, Research Policy Manager
Linda Ronaldson, HR Manager (Strategic Projects)
Ajit Trivedi, Head of Equality, Diversity and Inclusion

Signed off by: Professor John Rowan

Position: Vice-Principal (Research, Knowledge Exchange and Wider Impact)

Date of EIA Completion: 29 July 2021

University of Dundee

REF 2021 Code of Practice - Equality Impact Assessment on the Code of Practice

1. Introduction

The Research Excellence Framework (REF) is the system for assessing research in UK Higher Education Institutions and is undertaken on behalf of the UK's HE Funding Bodies. It is a process of expert review, carried out at national level, by expert panels for each of the 34 subject-based Units of Assessment (UOAs), under the guidance of four main panels.

All Higher Education Institutions (HEIs) submitting to REF2021 must produce and implement a Code of Practice on the fair and transparent identification of staff with significant responsibility for research (where not submitting 100% eligible staff); determining who is an independent researcher; and the selection of outputs. Codes must be agreed by the HEI and submitted for examination by the national REF Equality and Diversity Advisory Panel (EDAP). The University of Dundee's Code of Practice will be submitted for approval to EDAP by 7 June 2019. EDAP aims to review and approve all codes of practice for publication by December 2019.

The University of Dundee, as a public sector employer, is committed to the promotion of equality, diversity and a supportive environment for all its staff and students and members of the wider community. The University, in carrying out its functions, is actively working towards fulfilling the requirements of the public sector equality duty of the Equality Act 2010 to:

- Eliminate discrimination, harassment and victimisation

- Advance equality of opportunity

- Foster good relations

In addition, the University of Dundee is required to carry out Equality Impact Assessments (EIAs) of its policies as part of the Scottish specific duties of the Act.

The Guidance on codes of practice for REF 2021 defines an EIA as follows:

- *'An EIA should be a thorough and systematic analysis to determine whether the institution's processes for identifying staff, determining research independence and output selection for the REF may have a differential impact on particular groups by reference to one or more protected characteristic(s).'*

The University of Dundee is committed to embedding equality, diversity and inclusion in its preparations for REF 2021 in accordance with its legal obligations under equality legislation. When developing our REF Code of Practice we will need to evidence how committees or groups have been formed including steps taken to consider and reflect on representativeness.

The University is committed to conducting three EIAs during the REF 2021 process:

- EIA 1: when identifying independent researchers;

- EIA 2: when selecting outputs for submission; and

- EIA 3: post-final submission.

EIAs will be reviewed by the University's REF Equality, Diversity and Inclusion Group on behalf of the University's REF Steering Group. All completed EIAs will be published on the University's REF 2021 and Human Resources and Organisational Development web pages.

2. What is the policy?

The policy is a Code of Practice which frames the University's decision-making processes in relation to REF 2021 in the context of the principles of equality, diversity and inclusion and all relevant legislation.

3. What is the purpose of the policy?

The University has developed and will implement a Code of Practice for the submission as required for the REF 2021 process.

The purpose of this policy is to:

- Apply the Code of Practice to all members of staff involved in the REF processes as well as any REF external advisers engaged by the University.

- Demonstrate that the University is operating in a fair, equitable, transparent, consistent, accountable and inclusive manner, and within the confines of the relevant equalities and employment legislation.

- Demonstrate inclusiveness through submission of 100% eligible staff to the REF.

- Promote an inclusive environment where processes established enable the University to identify all eligible staff and outputs for submission to REF 2021.

- Provide transparent information about the committees/groups and individuals involved in the preparation of the REF submission including their terms of reference, membership, roles and record-keeping procedures.

- Ensure that the processes for identification of 'research-only' staff who meet the REF definition of an independent researcher; selection of outputs; supporting staff with individual circumstances; and appeals, are consistent across all Units of Assessment.

- Ensure that all eligible staff are fully aware of the decision making processes for determining research independence, selecting outputs and individual circumstances.

- Inform staff about the processes and mechanisms available for making appeals.

- Provide clear information and guidance that is accessible to all eligible staff who wish to disclose their individual circumstances for the REF submission.

- Detail how confidentiality and sensitive issues will be processed and dealt with.

- Ensure that all stakeholders are aware of the University's communication plan regarding the REF process.

- Provide clear guidance on what training needs to be provided and which staff will need to participate to fulfil the requirements of the REF process.

4. **Who is affected by or benefits from the policy? Who are the stakeholders (e.g. staff, students, trade unions)?**

The policy will directly affect individual staff members categorised as 'research-only' or 'teaching and research' as defined by the REF 2021 Guidance on Submissions, which sets out the full eligibility criteria for inclusion of staff in the REF submission.

In terms of benefit, it will be beneficial to the wider University community, especially for people not directly involved in the REF decision making process but who have a responsibility for managing people in the institution. The policy will help staff to better understand, and enhance their awareness of, other equality, diversity and inclusion related ongoing activities which the University is pursuing, and the REF process in itself will have a positive impact on promoting an inclusive culture.

Throughout the process, staff have the opportunity to declare, voluntarily, any circumstances which may have affected their ability to work productively during the assessment period and have this taken into account.

5. **Who implements the policy?**

Responsibility for the University's Code of Practice and overall direction of the REF process sits with Professor John Rowan, Vice-Principal for Research, Knowledge Exchange and Wider Impact.

Supporting the Vice-Principal for Research, Knowledge Exchange and Wider Impact, there are various groups, committees, panels and individuals, such as the REF Steering Group, Main Panel Coordinating Groups, Unit of Assessment Planning Groups/Coordinators, Deans of Schools, Appeal Panels, REF Equality, Diversity and Inclusion Group and REF Staff Circumstances and Independence Group, which will be responsible for implementing the Code of Practice.

Human Resources will deliver equality, diversity and inclusion training to all staff who have an involvement in the implementation of this Code of Practice.

A variety of training methods will be used, such as briefing sessions and including online training modules.

The Code of Practice will be disseminated widely and published on the University's REF 2021 and Human Resources web pages to raise awareness of the internal REF process.

6. **What information is available to facilitate the equality analysis of the policy?**

To conduct an analysis on this Code of Practice prior to the initial identification of eligible staff, a University-wide consultation was carried out. The response and feedback received from a range of stakeholders was constructive and helped to inform the development of the Code of Practice.

Currently, of the nine protected characteristics as defined by the Equality Act 2010, the University collects data on age, disability, gender and race. The University recognises that there is a gap in availability of data in relation to other equality groups. It is the intention of the University to exhibit comparative data where available when it fulfils its commitment to undertake further EIAs as stated in the Code of Practice.

7. Has consultation taken place with any of the protected characteristic groups or other relevant bodies in the development or revision of the policy? Please provide details of engagement.

This Code of Practice was developed by the University's REF Equality, Diversity and Inclusion Group on behalf of the REF Steering Group (a sub-committee of the University Research and Knowledge Exchange Committee). The Code of Practice was revised and modified several times following an on-going extensive consultation with the University community. This involved many meetings of the REF Equality, Diversity and Inclusion Group, open meetings and drop-in sessions for academic and Professional Services staff of the University, as well as the distribution of the draft document to all staff and various equality groups in the University for feedback.

Feedback received from various stakeholders in the University was considered by the REF Equality, Diversity and Inclusion Group and informed the final drafting of the Code of Practice.

Further groups consulted on the Code of Practice were:

- Dundee University College Union (DUCU); the DUCU was engaged in the preparation of the Code of Practice, through having a member on the REF Equality, Diversity and Inclusion Group and through the University/Unions Local Joint Committee.

- Equality, Diversity and Inclusion Committee of the University (including members of the Dundee University Student Association (DUSA), equality staff networks and the senior management team), which has an overall responsibility for progressing the equality, diversity and inclusion agenda in the University.

- University Research and Knowledge Exchange Committee, University Executive Group, People and Organisational Development Committee (PODCO) and Senate.

8. Is there any evidence of varying levels of participation by any of the following protected characteristic groups? (Protected Characteristics groups to be listed separately)

Protected Characteristic[1]	Positive Impact[2]	Negative Impact[3]	Unclear	Comments
Age	Yes			As part of the individual staff circumstances, Early Career Researchers (ECRs) are permitted a reduction in outputs. ECRs can be of any age.
Disability	Yes			As part of the individual staff circumstances, eligible staff with disabilities have the opportunity to declare, voluntarily, any circumstances which may have disrupted or affected their ability to work productively during the assessment period and are permitted a reduction in outputs.
Gender Reassignment	Yes			As part of the individual staff circumstances, eligible staff with disabilities have the opportunity to declare, voluntarily, any circumstances which may have disrupted or affected their ability to work productively during the assessment period and are permitted a reduction in outputs.
Marriage and Civil partnership		No		All academic staff are eligible regardless of their marital or civil partnership status.
Pregnancy and Maternity	Yes			Under REF Guidance eligible staff can seek a reduction in outputs due to maternity, paternity, or adoption leave and due to constraints related to pregnancy, maternity, paternity, adoption or childcare.
Race		No		All academic staff are eligible regardless of race.
Religion or Belief, or none		No		All academic staff are eligible regardless of religion or belief or none.
Sex		No		All academic staff are eligible regardless of sex.
Sexual orientation		No		All academic staff are eligible regardless of their sexual orientation.

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[1]As defined in the Equality Act (2010), includes: age, disability (including carers of disabled people), gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, or none, sex (includes breastfeeding and childcare) and sexual orientation.
[2]Good practice to comply with the Public Sector Equality Duty (2011) to: eliminate discrimination, advance equality of opportunity, and foster good relations.
[3]Adverse effect on people of different 'protected characteristics' as defined in the Equality Act (2010).

9. **Are there any concerns or is there evidence that any of the protected groups have different issues, experiences or needs in relation to the policy? Please give details.**

The following areas were highlighted during the development of the Code of Practice and the consultation process:

Concern around confidentiality issues in relation to disclosing individual staff circumstances was raised at open sessions and during development of the Code by the REF Equality, Diversity and Inclusion Group, in particular giving people the confidence to declare circumstances, options for seeking confidential advice and who would have access to the sensitive information. These concerns were considered and addressed in the development of the final Code of Practice. The process of reviewing individual staff circumstances will be managed centrally by the REF Staff Circumstances and Independence Group. As part of the REF process, all staff will be invited to declare, voluntarily, any individual circumstances that may have affected their ability to work productively during the assessment period, and will be informed of the outcome of any declaration. Options for seeking confidential advice have been included in the Code.

In order to ensure that the Code of Practice was accessible and available in alternative formats if required, Disability Services were consulted and confirmed that the document broadly fulfilled accessibility requirements and that requests to meet individual disability-related needs could be made to the University's alternative formats service.

The University's Head of Information Governance & Joint Assistant Director, Culture and Information is being consulted on an ongoing basis to ensure that data protection and privacy issues are in accordance with data protection legislation.

Issues of gender balance and potential under-representation of protected groups in general were raised when considering the representativeness of internal REF Groups. The University considered this issue and actioned changes where under-representation was disproportionate to ensure inclusiveness.

10. **Are there any gaps in your information that you need to fill to get a full picture of how well the policy works or will work for different protected groups?**

The University for monitoring purposes currently has robust data on age, disability, gender and race and also has information on staff who have taken maternity, long-term absences and adoption leave, and on staff who work part-time and fixed-term. Processes will be monitored throughout the REF submission to ensure potential discrimination issues are identified and addressed. Any significant changes to our Code of Practice will also be communicated to all staff.

11. **What conclusions can you draw from analysis of the evidence base?**

The University of Dundee's Code of Practice supports the promotion of equality, diversity and inclusion. The University is confident that it is demonstrating with its Code of Practice that it is not disadvantaging or discriminating against any of the protected groups as defined by the Equality Act 2010. The Code of Practice has clearly laid out procedures on how it intends to deliver on the identification of eligible staff, selection of outputs and measures to support staff with individual circumstances by being open, transparent, consistent, accountable and inclusive.

12. **In view of this analysis, are there further actions or adjustments required to ensure the policy promotes and reflects equality of opportunity for all?**

This Code of Practice will be monitored for its effectiveness throughout the REF process and updated with any changes if it is found to have a negative impact on any of the protected groups. Continued communication of the Code to staff and training for REF Groups will be important.

Persons involved in the EIA:	Professor John Rowan, Vice-Principal (Research, Knowledge Exchange and Wider Impact)
	Pamela Milne, Director, Human Resources and Organisational Development and Convenor of REF Equality, Diversity and Inclusion Group
	Dr Clive Randall, Research Policy Manager
	Ajit Trivedi, Head of Equality, Diversity and Inclusion
Signed off by:	Professor John Rowan
Position:	Vice-Principal (Research, Knowledge Exchange and Wider Impact)
Date of EIA Completion:	31 May 2019

University of Dundee

REF 2021 Code of Practice - Equality Impact Assessment on the Determination of Independence for Staff on 'Research-only' Contracts

1. **Introduction**

The University of Dundee is committed to the promotion of equality, diversity and an inclusive environment for all staff and students, and in our interactions with members of the wider community. In carrying out our functions, we are actively working towards fulfilling the requirements of the Equality Act 2010 to:

- Eliminate discrimination, harassment and victimisation

- Advance equality of opportunity

- Foster good relations

We are committed to embedding equality, diversity and inclusion in our preparations for REF 2021 in accordance with our legal obligations

under equality legislation.

In addition, we are required to carry out Equality Impact Assessments (EIAs) of our policies as part of the Scottish specific duties of the Equality Act.

The University is committed to conducting two EIAs during the REF 2021 process:

- **EIA 1: when identifying independent researchers**; and

- EIA 2: when selecting outputs for submission.

EIAs will be reviewed by the University's REF Equality, Diversity and Inclusion Group on behalf of the University's REF Steering Group. All completed EIAs will be published on the University's REF 2021 and Human Resources and Organisational Development web pages.

As part of the University of Dundee's EIAs on the conduct of the 2021 Research Excellence Framework (REF2021), an EIA was conducted on the process for determining the independence of 'research-only' staff as described in Part 3 of the University's REF 2021 Code of Practice.

2. What is the policy/procedure?

The policy is a Code of Practice which frames the University's decision-making processes in relation to determining the independence of 'research-only' staff for REF 2021 in the context of the principles of equality, diversity and inclusion and all relevant legislation.

3. What is the purpose of the policy/procedure?

Its aim is to identify independent 'research-only' staff on an accurate and consistent basis across the University. This EIA is carried out to ensure that our REF 2021 policies, practices and decisions are fair, meet the needs of our staff, and are not inadvertently discriminating against any protected group.

In accordance with the University's REF 2021 Code of Practice, an EIA was undertaken to compare and analyse the protected characteristics (where sufficient data was available) of 'research-only' staff who were determined to meet the REF criteria for independence compared to the population of all research-only staff (including research assistants).

4. Determining Research Independence

4.1: Process

The process for determining research independence for staff employed on 'research-only' contracts is described in detail in Part 3 of the University's REF 2021 Code of Practice. The process was led by the REF Staff Circumstances and Independence Group (REF SCI Group) which made recommendations to the REF Steering Group regarding which members of 'research-only' staff met the REF criteria for independence. In determining independence, the REF SCI Group considered the possible indicators of independence appropriate to the REF Main Panels (A, B, C and D) listed in section 3.1.2 of the REF 2021 Code of Practice, in combination with Human Resources data on grade, position title, contract and role.

Two major exercises were undertaken, an initial review in late 2019 based on staff in post on 31 July 2019 and a final review based on staff in post on 31 July 2020 (aligned with the preparation of data for the Higher Education Statistics Agency (HESA) returns for 2018/19 and 2019/20 respectively). Staff classified as research assistants were not routinely included in the exercise since these roles generally lack research independence. However, they were informed that they could discuss their eligibility with their School Associate Dean for Research or UOA Planning Group Coordinator who could refer them to the REF SCI Group for consideration if they believed they may meet the independence criteria. Some staff were omitted from the final exercise because they had left the University or had changed to a contract type which was not 'research-only' before 31 July 2020.

4.2: Training

The University provides mandatory equality and diversity training for all staff. In order to ensure understanding of REF 2021 requirements, including determining researcher independence, an additional REF-specific online equality, diversity and inclusion training course was provided which included

unconscious bias training. This was supplemented by face-to-face sessions delivered to members of the REF SCI Group, REF Steering Group and Formal Appeals Panel before any reviews or decisions were taken. The training was delivered by the Research Policy Manager, HR Manager (Strategic Projects) and the Head of Equality, Diversity and Inclusion.

5. Cohort Assessed for Identifying Research Independence

The cohort for assessing independence comprised all 'research-only' staff on a 0.2 FTE or greater contract who did not meet the REF definition of a research assistant based on data held by Human Resources, as well as any staff classified as research assistants who were referred to the REF SCI Group for consideration by their Associate Dean for Research or UOA Planning Group Coordinator (as described in section 4.1 above). This EIA considers the outcomes of the initial exercise to determine independence (based on staff on 'research-only' contracts on 31 July 2019) and the final review of all staff on 'research-only' contracts on the REF census date of 31 July 2020.

The majority of staff on 'research-only' only contracts are on the University's Grade 7, the most common entry grade for 'research-only' staff, who would normally be expected to meet the REF definition of research assistants. This is reflected in the initial assessment of the cohort for independence which found that 95% of the staff were within our grades 8 to 10 (or equivalent) and the other 5% (all BME female staff) on grade 7. Similarly, the final review determined that 91% of the staff assessed for independence were at our grades 8, 9 and 10 (or equivalent). The other 9% (all female, 60% BME, 40% White) were on Grade 7. None were on Grade 6 or Grade 7-Training. The cohort of researchers within our grades 8 to 10 was therefore considered the most appropriate for comparison of decisions on independence in relation to protected characteristics.

The objective of the EIA was to identify whether any protected groups were disproportionately impacted between those who were identified as 'independent' and not 'independent' researchers for inclusion in REF 2021.

This EIA analysed data and evidence extracted from the University HR records including consideration of all protected characteristics for which sufficient data were available.

The tables presented in Annex 1 show comparison data of staff who were determined to be 'independent' and 'not independent' for submission to REF 2021 during the initial and final exercises by the protected characteristics of age, disability, ethnicity, and sex.

Overall, there was no evidence to suggest (in either the initial or final analysis) that the internal REF process to identify independent researchers had an adverse impact or bias on any of the protected groups, as summarised by the results below:

Sex

The percentage of female and male staff determined to be independent researchers (grades 8, 9 and 10) was similar to that in the cohort assessed for independence and in the total population of 'research-only' staff in both exercises (Tables 1c, 1d). This indicates that there was no bias attributable to sex in

the process used to determine research independence. However, the proportion of female staff that were included in the cohort assessed for independence in each exercise (32%; 36%) was considerably lower than the proportion of male staff (68%; 64%), reflecting the historic gender imbalance in academia and highlighting the need to further advance gender equality initiatives such as Athena SWAN.

Ethnicity

The percentage of BME staff (grades 8, 9 and 10) determined to be independent researchers (12%; 13%) was similar to that in the cohort assessed for independence (11%; 12%) in both exercises (Tables 2c, 2d) and only slightly lower than the proportion of BME staff (16%) in the total population of 'research-only' staff. All BME staff in the cohort were determined to meet the criteria for independence. There is therefore no evidence of bias attributable to ethnicity in the process used to determine research independence.

The percentage of BME researchers (grades, 8, 9 and 10) determined to be independent in the two exercises (12%; 13%) is comparable to the UK ethnicity population profile of 13%[1].

Disability

The percentage of disabled staff (grades 8, 9 and 10) determined to be independent researchers in the two exercises was similar to that in the cohorts assessed for independence and in the total population of 'research-only' staff (Tables 3c, 3d). There is therefore no evidence of bias attributable to disability in the process used to determine research independence. However, the data suggest possible under-disclosure (a voluntary process), given that only 5% of staff in the total population of 'research-only' staff (including research assistants) had declared a disability and that the percentage of working-age adults in the UK population with a disability is 19%[2].

Age

The percentage of staff (grades 8, 9 and 10) in each age group determined to be independent researchers was similar to that in the cohort assessed for independence in both exercises (Tables 4c, 4d). There is therefore no evidence of bias attributable to age in the process used to determine research independence. The majority of staff who met the independence criteria were aged 40 or above reflecting the fact that younger staff are more likely to be employed at lower grades which are less likely to involve independent research.

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[1] Ethnicity Facts and Figures: Gov.uk (https://www.ethnicity-facts-figures.service.gov.uk/).

[2] UK Government Department for Work & Pensions (2021): Family Resources Survey: financial year 2019 to 2020 (https://www.gov.uk/government/statistics/family-resources-survey-financial-year-2019-to-2020).

Other Protected Groups (Gender Reassignment, Religion or Belief and Sexual Orientation)

These protected characteristics were excluded from the analysis as there was insufficient data to conduct a meaningful analysis.

6. **Are there any gaps in your information that you need to fill to get a full picture of how well the policy works or will work for different protected groups?**

The University for monitoring purposes currently has robust data on age, disability, race and sex and also has information on staff who work part-time and fixed-term. However, the disclosure rates for some protected characteristics (Religion or Belief, Sexual Orientation or Gender Reassignment) were too low to undertake meaningful analysis. Furthermore, disclosure rates for disability appear low for all staff categories across the University. We will therefore run campaigns to encourage voluntary disclosure of all protected characteristics and ensure we have robust systems in place to capture and analyse these data for future exercises.

7. **What conclusions can you draw from analysis of the evidence base?**

We are confident that when carrying out this EIA we applied the process for determining the independence of 'research-only' staff transparently, consistently, and in a fair and equitable manner. In applying the procedure we were mindful of advancing equality of opportunity and also ensured that no individual was unlawfully discriminated against or disadvantaged as evidenced by analysis of the outcomes of the process following both the initial decisions taken in 2019 and the final decisions taken in 2020.

8. **In view of this analysis, are there further actions or adjustments required to ensure the policy promotes and reflects equality of opportunity for all?**

The EIA on the process for determining the independence of 'research-only' staff for REF 2021 found no negative impact or bias on any of the protected groups assessed, therefore no further actions are required.

Persons involved in the EIA: Pamela Milne, Director, Human Resources and Organisational Development and Convener of REF Equality, Diversity and Inclusion Group and REF Staff Circumstances and Independence Group

Professor Alan Fairlamb, School of Life Sciences
Professor Pamela Ferguson, School of Social Sciences
Professor Faisel Khan, School of Medicine
Dr Clive Randall, Research Policy Manager
Linda Ronaldson, HR Manager (Strategic Projects)
Ajit Trivedi, Head of Equality, Diversity and Inclusion

Signed off by: Professor John Rowan

Position: Vice-Principal (Research, Knowledge Exchange and Wider Impact)

Date of EIA Completion: 28 October 2020
                             22 July 2021 (updated to address confidentiality issues related to small numbers (< 5) in certain groups)

ANNEX 1

Table 1a: Sex (based on 2019 HESA return)

Grades 7, 8, 9 and 10 (excluding Grade 7-Training)

Sex	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
Female	258	48	■	36	■	33	■	57	141	35
Male	275	52		64		67		43	266	65
Total	533	100		100		100		100	407	100

Table 1b: Sex (based on 2020 HESA return)

Grades 7, 8, 9 and 10 (excluding Grade 7-Training)

Sex	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
Female	256	48	■	42	■	40	■	60	168	38
Male	278	52		58		60		40	276	62
Total	534	100		100		100		100	444	100

Table 1c: Sex (based on 2019 HESA return)

Grades 8, 9 and 10

Sex	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
Female	67	38	■	32	■	33	■	25	134	35
Male	109	62		68		67		75	253	65
Total	176	100		100		100		100	387	100

Table 1d: Sex (based on 2020 HESA return)

Grades 8, 9 and 10

Sex	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
Female	62	37	■	36	■	38	■	0	148	37
Male	107	63		64		63		100	255	63
Total	169	100		100		100		100	403	100

Table 2a: Ethnicity (based on 2019 HESA return)

Grades 7, 8, 9 and 10 (excluding Grade 7-Training)

Ethnicity	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
BME	134	25	▮	16	▮	12	▮	43	49	12
White	364	68	▮	70	▮	76	▮	28	332	82
Other	35	7	▮	14	▮	12	▮	29	26	6
Total	533	100	▮	100	▮	100	▮	100	407	100

Table 2b: Ethnicity (based on 2020 HESA return)

Grades 7, 8, 9 and 10 (excluding Grade 7-Training)

Ethnicity	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
BME	118	22	▮	16	▮	12	▮	60	60	14
White	379	71	▮	75	▮	78	▮	40	355	80
Other	37	7	▮	9	▮	10	▮	0	29	7
Total	534	100	▮	100	▮	100	▮	100	444	100

Table 2c: Ethnicity (based on 2019 HESA return)

Grades 8, 9 and 10

Ethnicity	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
BME	28	16		11		12		0	46	12
White	135	77		74		76		50	322	83
Other	13	7		15		12		50	19	5
Total	176	100		100		100		100	387	100

Table 2d: Ethnicity (based on 2020 HESA return)

Grades 8, 9 and 10

Ethnicity	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
BME	27	16		12		13		0	52	13
White	130	77		78		77		100	329	82
Other	12	7		10		10		0	22	5
Total	169	100		100		100		100	403	100

Table 3a: Disability (based on 2019 HESA return)

Grades 7, 8, 9 and 10 (excluding Grade 7-Training)

Disability	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
Disabled	14	3	▮	4	▮	4	▮	0	13	3
Non-Disabled	504	94	▮	89	▮	88	▮	100	385	95
Unknown	15	3	▮	7	▮	8	▮	0	9	2
Total	533	100	▮	100	▮	100	▮	100	407	100

Table 3b: Disability (based on 2020 HESA return)

Grades 7, 8, 9 and 10 (excluding Grade 7-Training)

Disability	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
Disabled	15	3	▮	5	▮	4	▮	20	17	4
Non-Disabled	502	94	▮	89	▮	90	▮	80	416	94
Unknown	17	3	▮	5	▮	6	▮	0	11	2
Total	534	100	▮	100	▮	100	▮	100	444	100

Table 3c: Disability (based on 2019 HESA return)

Grades 8, 9 and 10

Disability	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
Disabled	9	5	▮	4	▮	4	▮	0	13	3
Non-Disabled	161	92		89		88		100	366	95
Unknown	6	3		7		8		0	8	2
Total	176	100		100		100		100	387	100

Table 3d: Disability (based on 2020 HESA return)

Grades 8, 9 and 10

Disability	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
Disabled	9	5	▮	6	▮	4	▮	50	16	4
Non-Disabled	155	92		88		90		50	378	94
Unknown	5	3		6		6		0	9	2
Total	169	100		100		100		100	403	100

Table 4a: Age (based on 2019 HESA return)

Grades 7, 8, 9 and 10 (excluding Grade 7-Training)

Age Group	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
20-29	38	7		0		0		0		0
30-39	259	49		29		29		29		18
40-49	146	27		48		47		57		31
50-59	73	14		7		8		0		35
60-64	6	1		2		2		0		9
65 and over	11	2		14		14		14		7
Total	533	100		100		100		100		100

Table 4b: Age (based on 2020 HESA return)

Grades 7, 8, 9 and 10 (excluding Grade 7-Training)

Age Group	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
20-29	48	9		0		0		0	5	1
30-39	247	46		24		24		20	88	20
40-49	151	28		55		54		60	147	33
50-59	68	13		5		6		0	142	32
60-64	7	1		4		4		0	34	8
65 and over	13	2		13		12		20	28	6
Total	534	100		100		100		100	444	100

Table 4c: Age (based on 2019 HESA return)

Grades 8, 9 and 10

Age Group	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
20-29		2		0		0		0		0
30-39		30		28		29		25		17
40-49		40		47		47		50		30
50-59		20		8		8		0		36
60-64		2		2		2		0		9
65 and over		6		15		14		25		7
Total		100		100		100		100		100

Table 4d: Age (based on 2020 HESA return)

Grades 8, 9 and 10

Age Group	All Research Only Staff (including Research Assistants)		Cohort Assessed for Independence		REF SCI Decision: Independent Researcher		REF SCI Decision: Not Independent Researcher		All Staff on Teaching and Research Contracts	
	Number	%	Number	%	Number	%	Number	%	Number	%
20-29		1		0		0		0		0
30-39		25		20		21		0		16
40-49		45		56		56		50		34
50-59		20		6		6		0		34
60-64		2		4		4		0		8
65 and over		7		14		13		50		7
Total		100		100%		100		100		100

University of Dundee

REF 2021 Code of Practice - Equality Impact Assessment on the Selection of Outputs

1. **Introduction**

The University of Dundee is committed to the promotion of equality, diversity and an inclusive environment for all staff and students, and in our interactions with members of the wider community. In carrying out our functions, we are actively working towards fulfilling the requirements of the Equality Act 2010 to:

- Eliminate discrimination, harassment and victimisation

- Advance equality of opportunity

- Foster good relations

We have embedded equality, diversity and inclusion in our preparations for REF 2021 in accordance with our legal obligations under equality legislation.

In addition, we are required to carry out Equality Impact Assessments (EIAs) of our policies as part of the Scottish specific duties of the Equality Act.

The University committed to conducting two EIAs during the REF 2021 process:

- EIA 1: when identifying independent researchers; and

- **EIA 2: when selecting outputs for submission**.

EIAs have been reviewed by the University's REF Equality, Diversity and Inclusion Group on behalf of the University's REF Steering Group. All completed EIAs will be published on the University's REF 2021 and Human Resources and Organisational Development web pages.

As part of the University of Dundee's EIAs on the conduct of the 2021 Research Excellence Framework (REF2021), an EIA was conducted to determine whether the output selection process described in Part 4 of the University's REF 2021 Code of Practice had a differential impact on staff with protected characteristics.

2. **What is the policy/procedure?**

The policy is a Code of Practice which framed the University's decision-making processes in relation to determining the selection and attribution of outputs for REF 2021 in the context of the principles of equality, diversity and inclusion and all relevant legislation.

3. **What was the purpose of the policy/procedure?**

Its purpose was to provide a process for the review and attribution of outputs to individual staff in a way that aimed to maximise the overall quality profile for the submission.

In accordance with the University's REF 2021 Code of Practice, an EIA was undertaken to determine whether the output selection process had a differential impact on staff with protected characteristics (where sufficient data were available) by comparing the distribution of outputs across staff, in the context of the characteristics of the total pool of eligible staff. The EIA was carried out to

ensure that our REF 2021 policies, practices and decisions were fair, met the needs of our staff, and did not inadvertently discriminate against any protected group.

4.   Selection of Research Outputs

4.1: Process

The process for the selection of outputs for submission to REF 2021 is described in detail in Part 4 of the University's REF 2021 Code of Practice. This states that the primary criterion for the selection of outputs was quality and that outputs would be attributed to individual staff in a way that aimed to maximise the overall quality profile for the submission. Academic judgements on the quality of outputs were made by at least two reviewers. All Units of Assessment (UOAs) used external critical friends to provide advice on the quality of a sample of outputs with advice also sought on some specific outputs where the assessment of quality would benefit from external expertise. Agreed scores were entered into the REF 2021 module of Pure, the Current Research Information System used to prepare the University's submission to the REF.

UOA Coordinators and Planning Groups were appointed by the REF Steering Group following nominations by Deans of School (in liaison with Associate Deans Research). This process included consideration of the representativeness of proposed Groups with reference to equality, diversity and inclusion. The Steering Group received information from Human Resources on the representativeness of the proposed Groups relative to the 'teaching and research' and putative independent 'research-only' staff populations and, where the available staff pool allowed, required the nominations for membership to be amended to provide a more appropriate gender balance in a small number of Planning Groups before final approval. Approval of changes to the membership of Planning Groups during the process were also subject to the consideration of the impact on representativeness when being considered for approval by the Steering Group.

Selection and attribution of outputs was an iterative process, incorporating the review of new outputs as they became available. In addition to the primary criterion of quality, key considerations included the requirement to attribute a minimum of one output to each eligible member of staff (unless they had been granted permission by the REF 2021 Equality and Diversity Advisory Panel (EDAP) to be submitted with zero outputs), ensure that no individual had more than five outputs attributed to them, that a co-author to whom an output was attributed had made a substantial research contribution to the output and that the 5% tolerance for outputs that do not meet the REF Open access policy was not exceeded. The initial attribution of outputs to individual members of staff for each UOA was performed using the output attribution algorithm in the Pure REF module, which aims to maximise the overall quality profile; manual adjustments could then be performed where necessary (for example, where there were more outputs with the same score than were required to complete the submission).

4.2: Training

The University provides mandatory equality and diversity training for all staff. In order to ensure understanding of REF 2021 requirements, including selection of outputs, an additional REF-specific online equality, diversity and inclusion training course was provided which included unconscious bias training. In addition to the mandatory training, both group and individual training in the use of the REF 2021 module and attribution algorithm in Pure was provided to professional services staff supporting the preparation of the submission. Guidance documents (specific to each Main Panel) which brought together key information on the outputs element of the REF submission from the University's REF Code of Practice, and the REF Guidance on Submissions and Panel Criteria and

Working Methods, along with further information on the use of the Pure REF module and attribution algorithm, were issued in early July; this guidance was reissued in early December 2020 prior to mid-December meetings at which Unit of Assessment (UOA) Coordinators were required to describe how their Planning Groups had selected/attributed their outputs (in accordance with the University's REF 2021 Code of Practice) to the relevant Main Panel Coordinating Group.

5. **Total Population of Eligible Staff**

As stated in Part 2 of the REF 2021 Code of Practice the University submitted 100% of Category A eligible staff to the REF. Category A submitted staff comprised all 'teaching and research' staff, and all 'research-only' staff who met the REF definition of an independent researcher, and who were employed by the University on a 0.2 FTE or greater contract on the census date of 31 July 2020. Outputs from former staff (Category B) were also eligible for submission.

The objective of the EIA was to identify whether any protected groups were disproportionately impacted by the output selection process by comparing the distribution of outputs across staff, in the context of the characteristics of the total pool of eligible staff. The analysis examined the attribution of outputs by the protected characteristics of age, disability, ethnicity, and sex (disclosure rates for other protected characteristics were too low for meaningful analysis) using data extracted from HR records and information on attribution from the Pure REF module, obtained at four different time points (June 2020, November 2020, February 2021, March 2021).

The tables presented in Annex 1 compare the proportion of outputs attributed to particular groups with the proportional representation of those groups in the total pool of staff submitted to REF for Category A staff only and for Category A + Category B staff combined. Staff for whom a request to remove the minimum of one output requirement was recommended by EDAP were excluded from the analysis as they had no outputs available for attribution.

To ensure that the conclusions of the analyses are based on sufficiently high numbers data are presented at University (all UOAs) and at Main Panel level. The primary analysis is based on data from the final submission in March 2021 (Table 1; Tables 2a-2d) which shows only minor variations from pre-submission February data. University level data from earlier time points are summarised in Table 3. Data on disability is only presented at University level due to the low number of staff recorded as having a disability at the Main Panel level, reflecting the overall low disclosure rate for this protected characteristic (4%) across all categories of University staff. The results of the analyses for Category A + Category B staff combined at final submission were very similar to those for Category A staff only. The summary of the results presented below is therefore based on Category A staff only. Likewise, the results of analyses using % staff and % staff FTE as a measure of the proportional representation of protected groups were similar so only data on % staff is presented.

Overall, there was no evidence to suggest that the internal REF process for the selection and attribution of outputs had a disproportionate impact or bias on any of the protected groups for which data were available, as summarised by the results based on the March 2021 submission to REF below:

Sex

The percentage of outputs attributed to female and male staff (35% and 65%, respectively) was similar to the percentage of female and male staff in the population of staff submitted to REF as a whole (37% and 63%, respectively) (Figure 1; Table 1). This suggests that there was no significant bias attributable to sex in the selection and attribution of outputs.
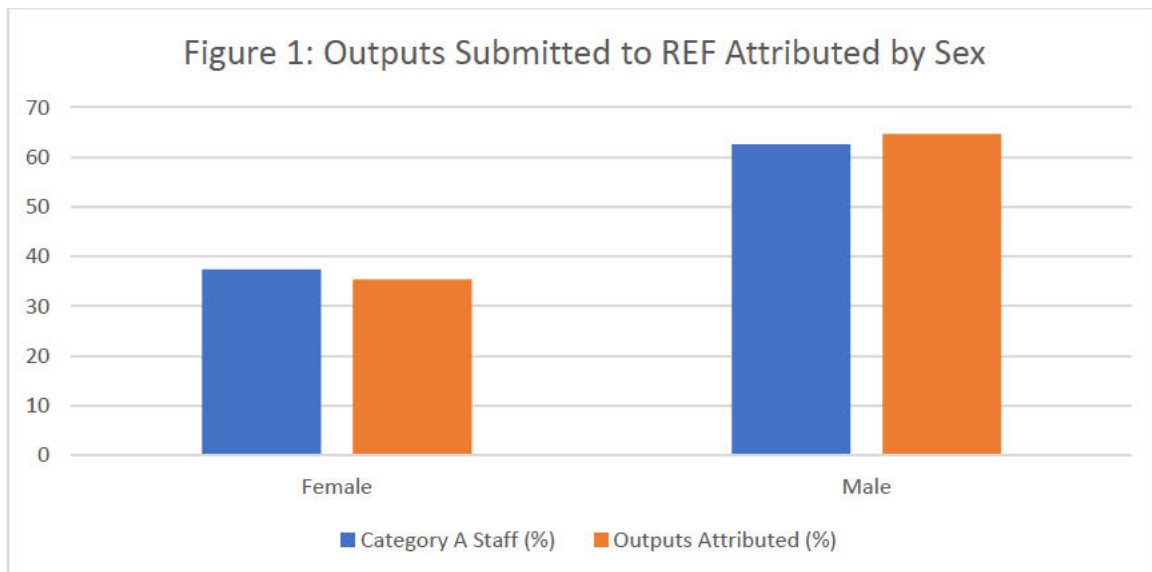
Figure 1: Outputs Submitted to REF Attributed by Sex

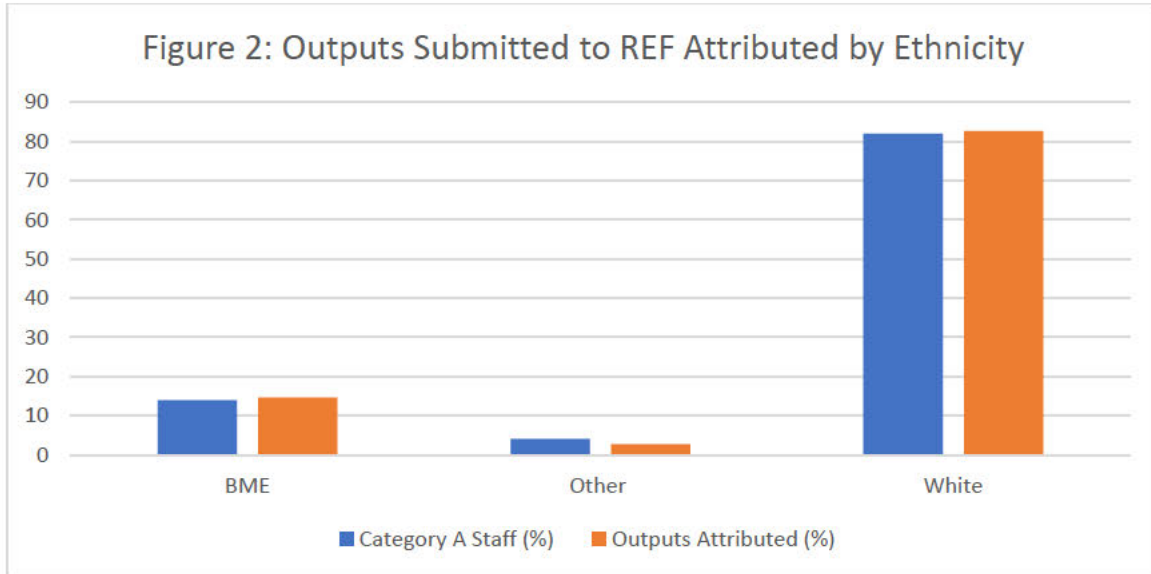Legend: ■ Category A Staff (%) ■ Outputs Attributed (%)

There is slightly more variation at Main Panel level, as would be expected with smaller populations, although no evidence of a disproportionate impact (Tables 2a-2d).

Whilst not disproportionate, the small difference (-2%) between the percentage outputs attributed to female staff and their representation in the overall population of submitted staff may partially reflect the increased level of individual circumstances in females compared to males. Overall, 31% of females were awarded reductions for individual circumstances compared to 17% of males (not including staff for whom a request to remove the minimum of one output requirement was recommended by EDAP). In Main Panel A, which accounted for about 40% of the submitted staff and recorded the largest difference (-5%) between the percentage outputs attributed to female staff and their representation in the population, 34% of females were awarded reductions for individual circumstances compared to 11% of males. Whilst these data suggest that circumstances may have played a role in the differences they cannot be taken as indicative of a direct causal relationship and it should be noted that, since disclosure of circumstances was entirely voluntary, the data on disclosed circumstances are unlikely to provide a full picture of the circumstances experienced by the population of submitted staff as a whole.

Ethnicity

The percentage of outputs attributed to BME staff (15%) was similar to the percentage of BME staff in the submitted population as a whole (14%) (Figure 2; Table 1). Similarly, the percentage of outputs attributed to White staff (83%) was similar to the percentage of White staff in the submitted population as a whole (82%). There is therefore no evidence of bias attributable to ethnicity in the selection and attribution of outputs. The percentage of BME staff in the submitted population is also comparable to the UK ethnicity population profile of 13%[1].

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[1] Ethnicity Facts and Figures: Gov.uk (https://www.ethnicity-facts-figures.service.gov.uk/).

Figure 2: Outputs Submitted to REF Attributed by Ethnicity

There is slightly more variation at Main Panel level, as would be expected with smaller populations, although no evidence of a disproportionate impact (Tables 2a-2d).

Disability

The percentage of outputs attributed to disabled staff (4%) was similar to the percentage of disabled staff in the submitted population as a whole (4%) (Figure 3; Table 1). Similarly, the percentage of outputs attributed to non-disabled staff (93%) was similar to the percentage of non-disabled staff in the submitted population as a whole (92%). There is therefore no evidence of bias attributable to disability in the selection and attribution of outputs.

Figure 3: Outputs Submitted to REF Attributed by Disability
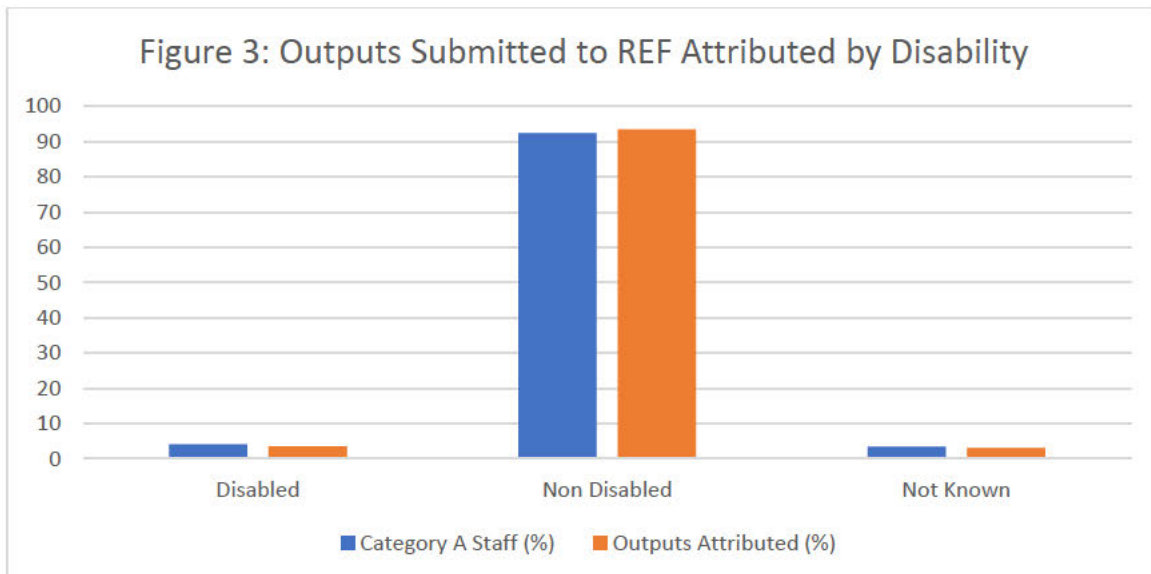
Data on disability are only presented at University level due to the low number of staff recorded as having a disability at the Main Panel level. The overall disability disclosure rate for staff submitted to REF is the same as the University's disclosure rate for disability across all staff categories (4%). Comparing this with the percentage of working-age adults in the UK population with a disability

(19%)[2], even accounting for a lower employment rate among disabled people compared with non-disabled people, suggests that there is under-disclosure (a voluntary process) of disability across the University as a whole.

Age

The percentage of outputs attributed to staff in each age range (20-29; 30-39; 40-49; 50-59; Over 60) was similar to the percentage representation of staff in each age range (rounded figures respectively: 1%, 1%; 20%, 20%; 34%, 34%; 30%, 31%; 15%, 15%). (Figure 4; Table 1). There is therefore no evidence of bias attributable to age in the selection and attribution of outputs.
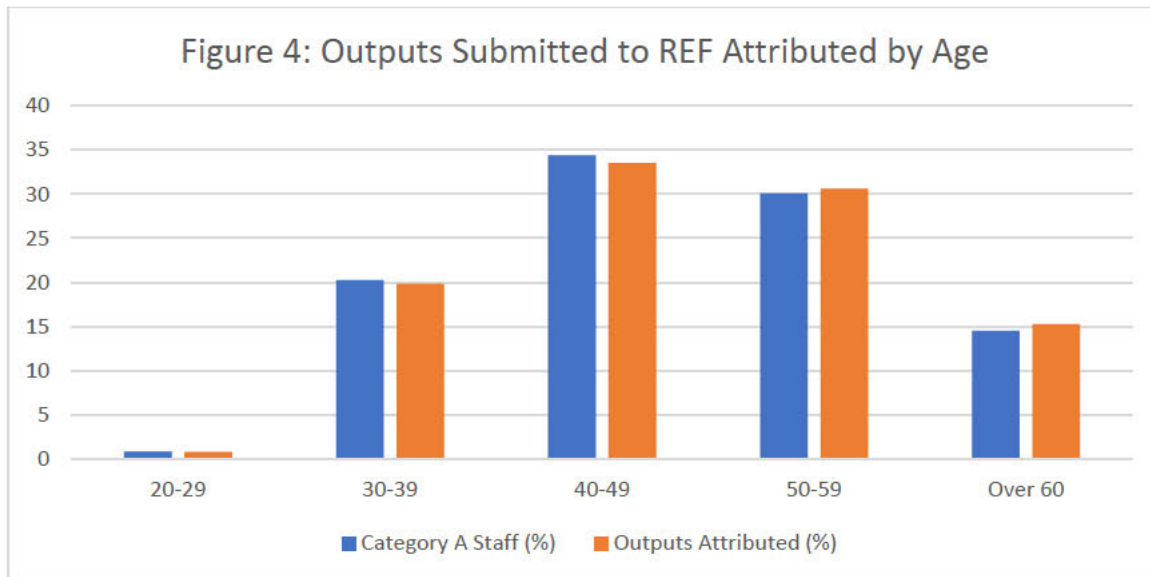
Figure 4: Outputs Submitted to REF Attributed by Age

There is slightly more variation at Main Panel level, as would be expected with smaller populations, although no evidence of a disproportionate impact (Tables 2a-2d).

Other Protected Groups (Gender Reassignment, Religion or Belief and Sexual Orientation)

These protected characteristics were excluded from the analysis as there was insufficient data to conduct a meaningful analysis, for the reasons explained above.

Development of Submission Over Time

As stated in section 4.1, selection and attribution of outputs was an iterative process covering outputs released into the public domain until 31 December 2020, taking into account both internal and external reviews of quality. Table 3 shows the progression from June 2020 to March 2021 in the proportion of outputs attributed to particular groups for Category A staff in comparison with the representation of those groups in the total population of staff submitted to REF. The pattern for Category A + Category B staff combined (not shown) was similar. Initial decisions on double weighting requests were not taken until November 2020 so attribution of outputs is presented both as single-weighted (each output counting only once) and double-weighted (double-weighted outputs counting twice).

The data show an increasing similarity between the proportion of outputs attributed to groups of staff, and the proportional representation of those staff in the population, between June 2020 and

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[2] UK Government Department for Work & Pensions (2021): Family Resources Survey: financial year 2019 to 2020 (https://www.gov.uk/government/statistics/family-resources-survey-financial-year-2019-to-2020).

the subsequent time points. This was most apparent for the protected characteristic of sex, for which a 6% difference between the two proportions in June had decreased to 2% by March, and least apparent for ethnicity, which showed a consistently proportionate relationship between the percentage of outputs attributed and the percentage of staff in each group (Table 3).

The data from June reflects an early stage of the review, selection and attribution process based on an initial output selection and attribution exercise in April/May 2020. This included 'research-only' staff who the REF Staff Circumstances and Independence Group determined met the REF definition of research independence in the first exercise to determine independence (based on staff in post on 31 July 2019; section 3.1.1 REF Code of Practice) but not the final population of staff on the census date. At this stage the outputs of many new staff and staff who would be joining before the census date had not been reviewed. There was also a delay in the process due to COVID-19, which impacted on preparations in some UOAs more than others. However, even at this stage the proportion of outputs attributed was broadly related to the proportional representation of staff in each group.

The percentage attribution data for November 2020, February 2021 and March 2021 (submission) is reasonably consistent for all protected groups, with only small variations between time points. This is likely to reflect the following: the total eligible population of staff was known by November 2020 (following the October 2020 HESA return) including all independent 'research-only' staff; the selection and attribution of outputs was being refined and finalised during this period, including decisions on requests for double-weighting of outputs; the individual circumstances process had been completed at both individual and unit level; all staff had a minimum of one output attributed (unless granted permission by EDAP to be submitted with zero outputs); and additional guidance and training had been provided since the June time point (section 4.2).

Reflections on Data Prior to Submission

Following the refinement of the outputs component of the submission (February 2021), UOA Coordinators were provided (in early March 2021) with an analysis of the output attribution data for their UOA for the protected characteristics of sex, ethnicity, disability and age and asked to reflect on the distribution of outputs in relation to the different protected characteristics.

Whilst noting that the University's REF Code of Practice states that the primary criterion for the selection of outputs was quality and that outputs would be attributed to individual staff by UOA Planning Groups in a way that aims to maximise the overall quality profile for the submission, Coordinators were given the opportunity to request changes in attribution, should they, on reflection, believe that an output attributed to one person could more appropriately have been attributed to another whilst still meeting the REF requirements (e.g. substantial contribution to the output, minimum of one output per individual unless removal of the minimum of one requirement had been granted, maximum of 5 outputs per individual). The Head of Equality, Diversity and Inclusion was satisfied by the considered response to this exercise.

6. **Are there any gaps in your information that you need to fill to get a full picture of how well the policy works or will work for different protected groups?**

The University for monitoring purposes currently has robust data on age, disability, race and sex and also has information on staff who work part-time and fixed-term. However, the disclosure rates for some protected characteristics (Religion or Belief, Sexual Orientation or Gender Reassignment) were too low to undertake meaningful analysis. Furthermore, disclosure rates for disability appear low for all staff categories across the University. We will therefore run campaigns to encourage voluntary

disclosure of all protected characteristics and ensure we have robust systems in place to capture and analyse these data for future exercises.

7. What conclusions can you draw from analysis of the evidence base?

The EIA on the selection and attribution of outputs for REF 2021 found no disproportionate impact or bias on any of the protected groups assessed prior to or after submission. This indicates that the process for the selection and attribution of outputs outlined in the Code of Practice was conducted in a fair, consistent and equitable manner which did not inadvertently disadvantage any protected group.

Persons involved in the EIA: Pamela Milne, Director, Human Resources and Organisational Development and Convener of REF Equality, Diversity and Inclusion Group and REF Staff Circumstances and Independence Group
Professor Alan Fairlamb, School of Life Sciences
Professor Pamela Ferguson, School of Social Sciences
Professor Faisel Khan, School of Medicine
Dr Clive Randall, Research Policy Manager
Linda Ronaldson, HR Manager (Strategic Projects)
Ajit Trivedi, Head of Equality, Diversity and Inclusion

Signed off by: Professor John Rowan

Position: Vice-Principal (Research, Knowledge Exchange and Wider Impact)

Date of EIA Completion: 22 July 2020

ANNEX 1

Table 1: Proportion of Outputs Attributed to Staff by Protected Characteristic at Submission Deadline (all Units of Assessment Combined)*

Category A			Category A + Category B		
Sex	Staff %	MAR dw % Attributed	**Sex**	Staff %	MAR dw % Attributed
Female	37.42%	35.39%	Female	37.27%	35.18%
Male	62.58%	64.61%	Male	62.73%	64.82%
Total	100.00%	100.00%	**Total**	100.00%	100.00%
Ethnicity	Staff %	MAR dw % Attributed	**Ethnicity**	Staff %	MAR dw % Attributed
BME	13.91%	14.57%	BME	13.11%	14.00%
Other	4.09%	2.74%	Other	4.31%	2.82%
White	82.00%	82.70%	White	82.58%	83.18%
Total	100.00%	100.00%	**Total**	100.00%	100.00%
Disability	Staff %	MAR dw % Attributed	**Disability**	Staff %	MAR dw % Attributed
Disabled	4.09%	3.52%	Disabled	3.75%	3.27%
Non Disabled	92.43%	93.45%	Non Disabled	93.07%	93.91%
Not Known	3.48%	3.03%	Not Known	3.18%	2.82%
Total	100.00%	100.00%	**Total**	100.00%	100.00%
Age Group	Staff %	MAR dw % Attributed	**Age Group**	Staff %	MAR dw % Attributed
20 - 29	0.82%	0.78%	20 - 29	0.75%	0.73%
30 - 39	20.25%	19.84%	30 - 39	20.04%	19.64%
40 - 49	34.36%	33.53%	40 - 49	34.83%	33.73%
50 - 59	30.06%	30.60%	50 - 59	29.78%	30.82%
Over 60	14.52%	15.25%	Over 60	14.61%	15.09%
Total	100.00%	100.00%	**Total**	100.00%	100.00%

* Excludes staff for whom a request to remove the minimum of one output requirement was recommended by EDAP. The number of outputs attributed has been adjusted so that double-weighted (dw) outputs count as two attributed outputs (consistent with their weighting in the submission).

Table 2a: Proportion of Outputs Attributed to Staff by Protected Characteristic at Submission Deadline (Main Panel A)*

Category A			Category A + Category B		
Sex	Staff %	MAR dw % Attributed	**Sex**	Staff %	MAR dw % Attributed
⊞ Female	38.31%	33.80%	⊞ Female	37.85%	33.33%
⊞ Male	61.69%	66.20%	⊞ Male	62.15%	66.67%
Total	100.00%	100.00%	**Total**	100.00%	100.00%
Ethnicity	Staff %	MAR dw % Attributed	**Ethnicity**	Staff %	MAR dw % Attributed
⊞ BME	12.94%	13.85%	⊞ BME	12.15%	13.20%
⊞ Other	4.98%	3.52%	⊞ Other	5.14%	3.58%
⊞ White	82.09%	82.63%	⊞ White	82.71%	83.22%
Total	100.00%	100.00%	**Total**	100.00%	100.00%
Age Group	Staff %	MAR dw % Attributed	**Age Group**	Staff %	MAR dw % Attributed
⊞ 20 - 29	0.50%	0.23%	⊞ 20 - 29	0.47%	0.22%
⊞ 30 - 39	15.42%	15.49%	⊞ 30 - 39	14.95%	15.21%
⊞ 40 - 49	34.33%	33.10%	⊞ 40 - 49	34.58%	32.89%
⊞ 50 - 59	30.35%	32.39%	⊞ 50 - 59	30.84%	33.33%
⊞ Over 60	19.40%	18.78%	⊞ Over 60	19.16%	18.34%
Total	100.00%	100.00%	**Total**	100.00%	100.00%

* Excludes staff for whom a request to remove the minimum of one output requirement was recommended by EDAP. The number of outputs attributed has been adjusted so that double-weighted (dw) outputs count as two attributed outputs (consistent with their weighting in the submission). Disability not included due to low numbers.

Table 2b: Proportion of Outputs Attributed to Staff by Protected Characteristic at Submission Deadline (Main Panel B)*

Category A			Category A + Category B		
Sex	Staff %	MAR dw % Attributed	**Sex**	Staff %	MAR dw % Attributed
⊞ Female	16.46%	14.19%	⊞ Female	18.68%	15.57%
⊞ Male	83.54%	85.81%	⊞ Male	81.32%	84.43%
Total	100.00%	100.00%	**Total**	100.00%	100.00%
Ethnicity	Staff %	MAR dw % Attributed	**Ethnicity**	Staff %	MAR dw % Attributed
⊞ BME	12.66%	16.89%	⊞ BME	13.19%	17.96%
⊞ Other	3.80%	2.03%	⊞ Other	5.49%	2.99%
⊞ White	83.54%	81.08%	⊞ White	81.32%	79.04%
Total	100.00%	100.00%	**Total**	100.00%	100.00%
Age Group	Staff %	MAR dw % Attributed	**Age Group**	Staff %	MAR dw % Attributed
⊞ 20 - 29	2.53%	4.05%	⊞ 20 - 29	2.20%	3.59%
⊞ 30 - 39	30.38%	28.38%	⊞ 30 - 39	29.67%	26.95%
⊞ 40 - 49	36.71%	38.51%	⊞ 40 - 49	40.66%	43.11%
⊞ 50 - 59	21.52%	20.27%	⊞ 50 - 59	19.78%	18.56%
⊞ Over 60	8.86%	8.78%	⊞ Over 60	7.69%	7.78%
Total	100.00%	100.00%	**Total**	100.00%	100.00%

* Excludes staff for whom a request to remove the minimum of one output requirement was recommended by EDAP. The number of outputs attributed has been adjusted so that double-weighted (dw) outputs count as two attributed outputs (consistent with their weighting in the submission). Disability not included due to low numbers.

Table 2c: Proportion of Outputs Attributed to Staff by Protected Characteristic at Submission Deadline (Main Panel C)*

Category A			Category A + Category B		
Sex	Staff %	MAR dw % Attributed	Sex	Staff %	MAR dw % Attributed
⊞ Female	44.04%	42.23%	⊞ Female	42.98%	41.30%
⊞ Male	55.96%	57.77%	⊞ Male	57.02%	58.70%
Total	**100.00%**	**100.00%**	**Total**	**100.00%**	**100.00%**
Ethnicity	Staff %	MAR dw % Attributed	Ethnicity	Staff %	MAR dw % Attributed
⊞ BME	21.10%	17.48%	⊞ BME	19.01%	15.65%
⊞ Other	4.59%	2.91%	⊞ Other	4.13%	2.61%
⊞ White	74.31%	79.61%	⊞ White	76.86%	81.74%
Total	**100.00%**	**100.00%**	**Total**	**100.00%**	**100.00%**
Age Group	Staff %	MAR dw % Attributed	Age Group	Staff %	MAR dw % Attributed
⊞ 30 - 39	19.27%	17.48%	⊞ 30 - 39	19.01%	16.96%
⊞ 40 - 49	37.61%	35.44%	⊞ 40 - 49	35.54%	33.48%
⊞ 50 - 59	33.94%	33.98%	⊞ 50 - 59	33.88%	34.78%
⊞ Over 60	9.17%	13.11%	⊞ Over 60	11.57%	14.78%
Total	**100.00%**	**100.00%**	**Total**	**100.00%**	**100.00%**

* Excludes staff for whom a request to remove the minimum of one output requirement was recommended by EDAP. The number of outputs attributed has been adjusted so that double-weighted (dw) outputs count as two attributed outputs (consistent with their weighting in the submission). Disability not included due to low numbers.

Table 2d: Proportion of Outputs Attributed to Staff by Protected Characteristic at Submission Deadline (Main Panel D)*

Category A			Category A + Category B		
Sex	Staff %	MAR dw % Attributed	**Sex**	Staff %	MAR dw % Attributed
⊞ Female	45.00%	45.27%	⊞ Female	45.37%	45.70%
⊞ Male	55.00%	54.73%	⊞ Male	54.63%	54.30%
Total	100.00%	100.00%	**Total**	100.00%	100.00%
Ethnicity	Staff %	MAR dw % Attributed	**Ethnicity**	Staff %	MAR dw % Attributed
⊞ BME	9.00%	11.93%	⊞ BME	8.33%	11.33%
⊞ Other	2.00%	1.65%	⊞ Other	1.85%	1.56%
⊞ White	89.00%	86.42%	⊞ White	89.81%	87.11%
Total	100.00%	100.00%	**Total**	100.00%	100.00%
Age Group	Staff %	MAR dw % Attributed	**Age Group**	Staff %	MAR dw % Attributed
⊞ 20 - 29	1.00%	0.41%	⊞ 20 - 29	0.93%	0.39%
⊞ 30 - 39	23.00%	24.28%	⊞ 30 - 39	23.15%	25.00%
⊞ 40 - 49	29.00%	29.63%	⊞ 40 - 49	29.63%	29.30%
⊞ 50 - 59	32.00%	30.86%	⊞ 50 - 59	31.48%	30.86%
⊞ Over 60	15.00%	14.81%	⊞ Over 60	14.81%	14.45%
Total	100.00%	100.00%	**Total**	100.00%	100.00%

* Excludes staff for whom a request to remove the minimum of one output requirement was recommended by EDAP. The number of outputs attributed has been adjusted so that double-weighted (dw) outputs count as two attributed outputs (consistent with their weighting in the submission). Disability not included due to low numbers.

Table 3: Proportion of Outputs Attributed to Category A Staff by Protected Characteristic at Four Time Points During Preparation of the Submission (all Units of Assessment Combined: All outputs single-weighted on the left; adjusted for double-weighted outputs on the right)*

All Outputs Single-Weighted							Adjusted for Double-Weighted Outputs				
Sex - Attributed over periods	June Staff %	Nov onwards Staff %	June % Attributed	Nov % Attributed	Feb % Attributed	Mar % Attributed	**Sex - dw Attributed over periods**	Staff %	Nov dw % Attributed	Feb dw % Attributed	Mar dw % Attributed
Female	36.63%	37.42%	30.64%	33.89%	34.81%	35.05%	Female	37.42%	34.09%	35.17%	35.39%
Male	63.37%	62.58%	69.36%	66.11%	65.19%	64.95%	Male	62.58%	65.91%	64.83%	64.61%
Total	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	**Total**	100.00%	100.00%	100.00%	100.00%
Ethnicity - Attributed over periods	June Staff %	Nov onwards Staff %	June % Attributed	Nov % Attributed	Feb % Attributed	Mar % Attributed	**Ethnicity - dw Attributed over periods**	Staff %	Nov dw % Attributed	Feb dw % Attributed	Mar dw % Attributed
BME	13.26%	13.91%	14.27%	14.64%	14.77%	14.70%	BME	13.11%	14.10%	14.05%	14.00%
Other	3.58%	4.09%	3.25%	2.55%	2.79%	2.88%	Other	4.31%	2.75%	2.74%	2.82%
White	83.16%	82.00%	82.48%	82.81%	82.44%	82.43%	White	82.58%	83.16%	83.21%	83.18%
Total	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	**Total**	100.00%	100.00%	100.00%	100.00%
Disability - Attributed over periods	June Staff %	Nov onwards Staff %	June % Attributed	Nov % Attributed	Feb % Attributed	Mar % Attributed	**Disability - dw Attributed over periods**	Staff %	Nov dw % Attributed	Feb dw % Attributed	Mar dw % Attributed
Disabled	1.89%	4.09%	1.47%	3.63%	3.72%	3.60%	Disabled	3.75%	3.28%	3.38%	3.27%
Non Disabled	96.21%	92.43%	97.27%	93.22%	93.18%	93.32%	Non Disabled	93.07%	93.79%	93.80%	93.91%
Not Known	1.89%	3.48%	1.26%	3.14%	3.10%	3.08%	Not Known	3.18%	2.93%	2.83%	2.82%
Total	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	**Total**	100.00%	100.00%	100.00%	100.00%
Age Group	June Staff %	Nov onwards Staff %	June % Attributed	Nov % Attributed	Feb % Attributed	Mar % Attributed	**Age Group**	Staff %	Nov dw % Attributed	Feb dw % Attributed	Mar dw % Attributed
20 - 29	0.84%	0.82%	0.10%	0.79%	0.83%	0.82%	20 - 29	0.75%	0.71%	0.73%	0.73%
30 - 39	18.53%	20.25%	15.32%	17.78%	19.21%	19.12%	30 - 39	20.04%	18.26%	19.71%	19.64%
40 - 49	33.47%	34.36%	31.69%	32.91%	33.99%	34.02%	40 - 49	34.83%	33.16%	33.76%	33.73%
50 - 59	31.58%	30.06%	35.05%	33.01%	30.99%	31.04%	50 - 59	29.78%	32.62%	30.66%	30.82%
Over 60	15.58%	14.52%	17.84%	15.52%	14.98%	15.01%	Over 60	14.61%	15.25%	15.15%	15.09%
Total	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	**Total**	100.00%	100.00%	100.00%	100.00%

*Excludes staff for whom a request to remove the minimum of one output requirement was recommended by EDAP. The pattern for Category A + Category B staff combined was similar.