

Equality Impact Assessment

Academic Promotion Criteria for Research and Teaching

The Vice Principal for Research has proposed changes to the Academic Promotion Criteria for the Research and Teaching Track, and this Equality Impact Assessment (EIA) considers these changes.

This EIA should be read in conjunction with the proposed changes to the Academic Promotion Criteria for R&T, Grades 7-9 and Professorial Zones.

The principles set out in the document are as follows:

- All the sections of the promotions criteria are based on Excellence and Collegiality, often through an overarching indicator/definition of these terms for Grades 7-9 and Professorial zones.
- All successful applicants for promotion to Professor (all zones) are now required to meet criteria C Learning and Teaching and either A1 Outputs or B Impact.

There are specific elements in the criteria which need clarification, resolution and/or mitigation, I have outlined these below, separating Grades 7-9 and Professorial Zones.

1. Academic Promotion Grades 7-9

Section A1 Outputs:

- All criteria make reference to a 6-year period, and REF criteria. This presumes a level of understanding within an agreed timeframe, which may be more challenging for academic staff who do not have a UK Research context i.e. International staff who are statistically more likely to be Black Asian or Minority Ethnic (BAME).
- There is a specific number of outputs required within a time period which could impact men and women who take periods of extended maternity, shared parental and/or adoption leave, or those on long term sickness absence.

A1 Mitigation:

- The number of output required is reduced based on extended leave periods relating to parental leave, sickness absence – this is indicated on the application form.

Section B Impact:

- The principle states *Excellence is demonstrated by providing evidence of how the reported activities might lead to impact outside of academia*. Does the University provide a definition of 'impact'? Who judges what is considered impact, and how do we mitigate for bias?

Section C Learning and Teaching:

- Grade 8 criteria *'use of student feedback to evaluate and develop teaching and assessment'* – there is a growing body of evidence which states student feedback can be gendered. How would we mitigate this?

See these links for evidence of this:

https://link.springer.com/article/10.1007/s10755-014-9313-4?nr_email_referer=1

<https://psycnet.apa.org/record/1998-06748-004>

<https://link.springer.com/article/10.1023/A:1025832707002>

- Grade 9 criteria ‘Contribution to growth of student population, including international students, resulting in new income streams.’ This infers international travel – is this the expectation? How do we support staff with parental/caring responsibilities or those with disabilities/impairments who cannot travel?

Academic Promotion 2018 data:

Research and Teaching Track	Female	Male	N/A
Successful	47%	52%	1%

- Two applicants were successfully promoted in the R&T criteria (both to G8), without having either criteria A1 or Impact; both were female.

2. Professorial Zones

Section A1 Outputs:

- The principle states *Excellence: please refer to indicators of quality as appropriate to your discipline. Examples include: reference to REF panel criteria, article level citation metrics, or external recognition e.g. prizes awarded.* There is a raft of research outlining gender bias within citation metrics, how will we mitigate this?

See these links for evidence of this:

http://ascw.know-center.tugraz.at/wp-content/uploads/2015/05/ASCW15_dix-citations-and-sub-areas-bias-in-the-uk-research-assessment-process.pdf

<http://journals.sagepub.com/doi/abs/10.1177/1075547012472684>

<https://www.cambridge.org/core/journals/international-organization/article/div-classtitlethe-gender-citation-gap-in-international-relationsdiv/3A769C5CFA7E24C32641CDB2FD03126A>

<https://arxiv.org/abs/1610.08984>

- All criteria make reference to a six year period, and REF criteria. This presumes a level of understanding within an agreed timeframe, which may be more challenging for academic staff who do not have a UK Research context i.e. International staff who are statistically more likely to be Black Asian or Minority Ethnic (BAME).
- There is a specific number of outputs required within a time period which could impact men and women who take periods of extended maternity, shared parental and/or adoption leave, or those on long term sickness absence.

A1 Mitigation:

- The number of output required is reduced based on extended leave periods relating to parental leave, sickness absence – this is indicated on the application form.

- Professorial staff recruited from out with HE or the UK are not required to achieve all the zoning criteria upon appointment, rather they will be reassessed after six years against the full criteria.

Section B Impact:

- Across all Zones the change in criteria to ‘contributing/leading’ a REF2021 Impact Case Study is a significant change. To fully consider the impact of this, it would be beneficial to evaluate the 2018 data and identify those who would not have gained promotion with this additional requirement, and then consider their protected characteristics.
- In Zones 2-4 the criteria makes explicit reference to ‘internal and/or external peer assessment’ – how do we control for bias within this process?

Section C Learning and Teaching Practice:

- All successful applicants to Professor must meet criteria Grade 9 Section C Learning and Teaching, even if currently on the Research only track.
- Zone 1 the criteria states – *use of student feedback to evaluate and develop and assessment-* as highlighted before there is a growing body of evidence which states student feedback can be gendered (see references above). How will this be mitigated?

Professorial Zone 2018 data:

Professorial zone profile increase	Female	Male
A1 Output (8 in total)	38%	62%
B Impact (6 in total)	17%	83%

- Of all the Professors who moved zone in 2018 (5 in total), two achieve A1 and B (one male, one female), and three achieved B (all male). To assess whether any of these would achieve the new Impact criteria, would require academic oversight of their Professorial profiles.
- In 2018, there were no application from G9 Research Only track to Professor, and therefore the section C learning and teaching criteria did not impact in that year.

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Academic Promotions – Equality Impacts of new criteria – 2020 Update

As the second part of this EIA, we have analysed the impact of the promotions criteria by the protected characteristic of sex – we did not have robust datasets to consider other protected groups at this stage.

3. Research & Teaching Track

For the 2020 Academic Promotion round, females were marginally more likely to be successful in their application to Grade 8 with the reverse being true for male applicants to Senior Lecturer, Reader and at Professorial level.

Promotion Criteria Key:

Outputs	Award Generation	Supervision	Impact	Learning & Teaching Practice	Leadership Management & Engagement	Esteem
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3.1 Promotion to Grade 8

Chart 1: Successful promotions to Grade 8 by sex

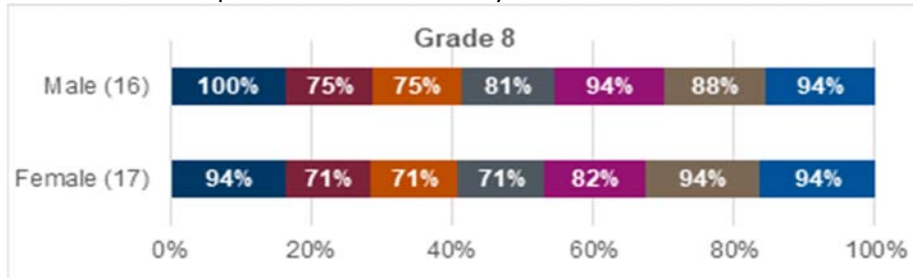
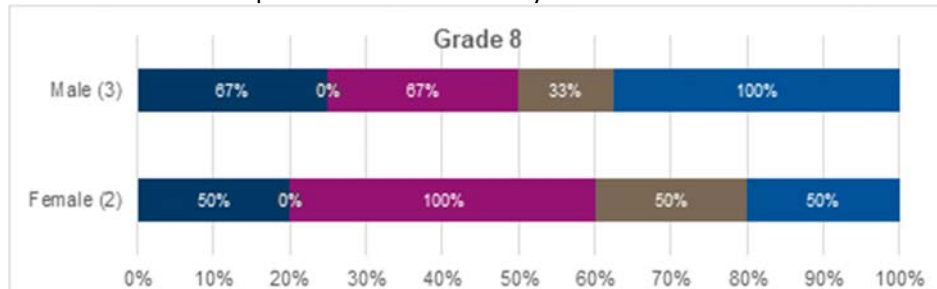


Chart 2: Unsuccessful promotions to Grade 8 by sex



Charts 1 and 2 track both successful and unsuccessful promotion to Grade 8 by sex. In general, equal proportions of males and females were successful and unsuccessful at this grade. Of those who were successful, both males and females are likely to meet all the criteria, however overall a higher proportion of males met each of the criterion, except for Leadership, Management and Engagement, where females were more successful. With noting the small numbers, of those who were unsuccessful, both males and females were equally unlikely to meet the requirements relating to Award Generation, Supervision, or Impact

3.2 Promotion to Grade 9

Chart 3: Successful promotions to Grade 9 by sex

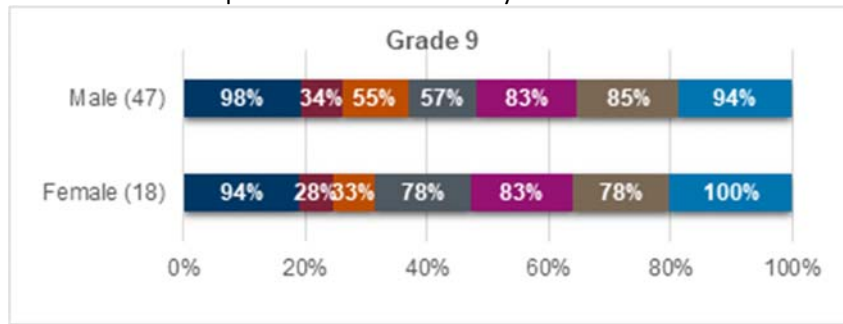
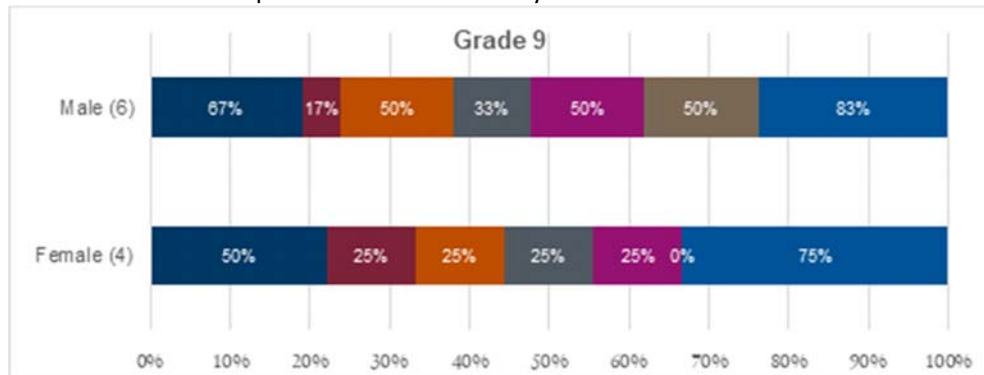


Chart 4: Unsuccessful promotions to Grade 9 by sex



Charts 3 and 4 track those who were successful and unsuccessful at promotion to Grade 9 by sex. There were significantly more applications from males than females for promotion to Grade 9, with approx. 30% of the applications from females. On considering the criteria, of those who were successful, both sexes had a marked drop in success rates in achieving the Award Generation compared with Grade 8, where males were more successful in Supervision and females were more successful in achieving Impact. When considering those who were unsuccessful, the numbers are small – however no females were successful in the Leadership, Management and Engagement and males had very low success rates in Award Generation.

3.3 Promotion to Professor

Chart 5: Successful promotions to Professor by sex

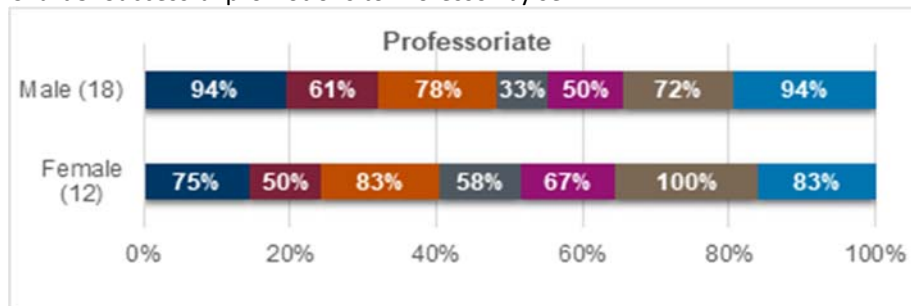
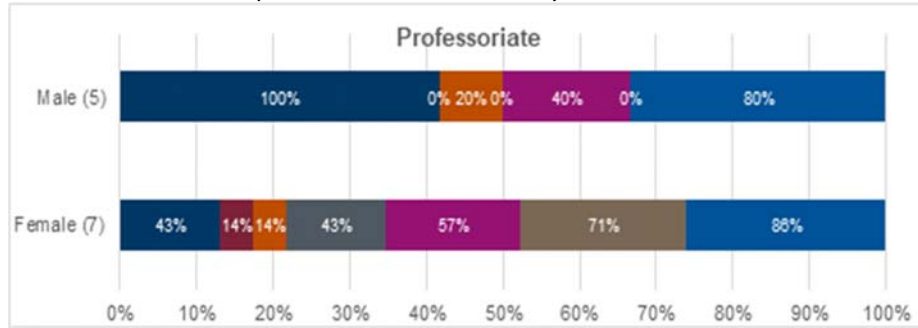


Chart 6: Unsuccessful promotions to Professor by sex



Charts 5 and 6 track those who were successful and unsuccessful at promotion to Professor by sex. The number of applications are more evenly spread across the sexes for Professor than at Grade 9. Of the successful applications, females were more successful in the criteria of Supervision, Impact, Learning and Teaching Practice and Leadership, Management and Engagement. The unsuccessful applicants were low. All the unsuccessful males did not meet the criteria for Award Generation, Impact and Leadership, Management and Engagement, whilst the females were more evenly spread across the criterion.

4. Learning, Teaching and Scholarship Track

In 2020, most applicants comfortably met the criteria for the requisite grade, however just under half the applicants at Grades 8 and 9 were successful at meeting the Esteem criteria.

Promotion Criteria Key:

Learning & Teaching Practice	Scholarship, Knowledge Exchange & Impact	Leadership Management & Engagement	Esteem
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4.1 Promotion to Grade 8

Chart 7: Successful promotions to Grade 8 by sex

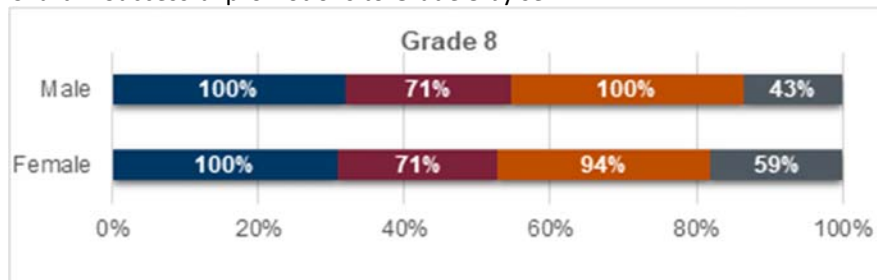
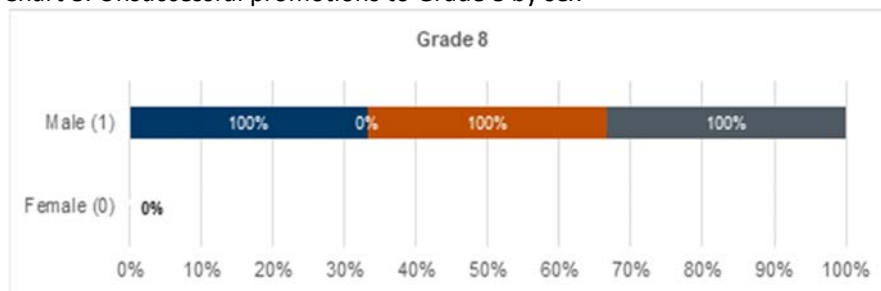


Chart 8: Unsuccessful promotions to Grade 8 by sex



Charts 7 and 8 track those who were successful and unsuccessful at promotion to Grade 8 by sex. The numbers on the LTS track are lower, so it is difficult to have meaningful data analysis. All females were successful at promotion to Grade 8, however both sexes were less likely to be successful in the Esteem criteria.

4.2 Promotion to Grade 9

Chart 9: Successful promotions to Grade 9 by sex

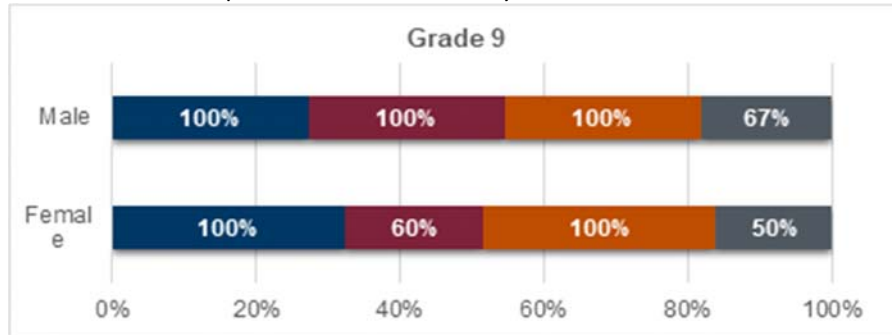
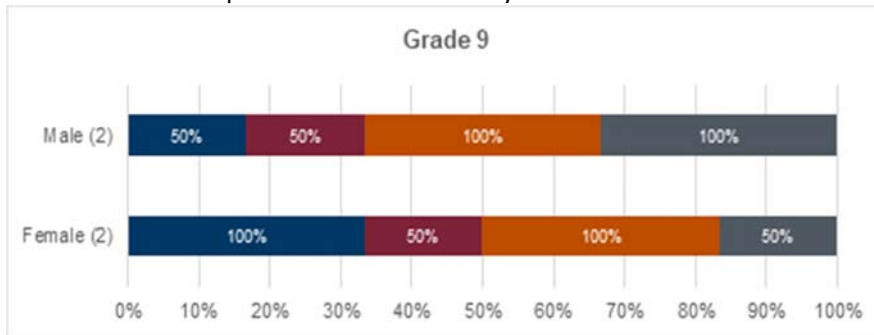


Chart 10: Successful promotions to Grade 9 by sex



Charts 9 and 10 track those who were successful and unsuccessful at promotion to Grade 9 by sex. There were low numbers of applications (14 in total), however it should be noted the percentage of females who were successful at criteria Scholarship, Knowledge Exchange and Impact dropped notably.

4.3 Promotion to Professor

Chart 11: Successful promotions to Professor by sex

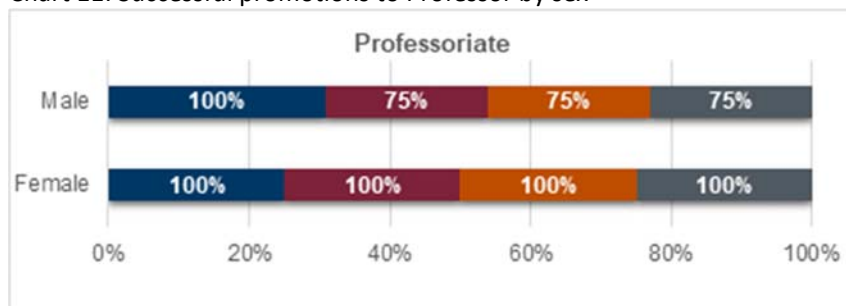


Chart 12: Unsuccessful promotions to Professor by sex



Charts 11 and 12 track those who were successful and unsuccessful at promotion to Professor by sex. There were six applicants for Professor on the LTS track, only one was female who was successful. With such small data sets it is difficult to draw any meaningful conclusions.

5. Conclusion

The original EIA when the changes to the criteria were made raised concerns relating to Outputs, Impact and Learning, Teaching and Scholarship, as these were the criteria changed. Many of the issues raised had mitigations embedded in the application process – these included accounting for breaks relating to ill-health and/or disability, time off for caring responsibilities, and those from an international background who may need to build an appropriate UK research portfolio.

On considering the data from 2020 Promotion round, this does not highlight a pattern relating to the changed criteria and impact on promotion prospects based on sex. Those who are unsuccessful in gaining promotion are due to a range of criterion, and the changes to Outputs, Impact and Learning, Teaching and Scholarship have had no significant impact compared to others. The EIA would note the significantly higher number of applications to Grade 9 in the R&T track from males than females, in proportion to eligible headcount and this should be noted when considering the overall development of the pipeline.

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30 November 2020