



Department Application
Silver Award



Name of institution	University of York (UoY)
Department	Centre for Health Economics (CHE)
Focus of department	AHSSBL
Date of application	April 2019
Award Level	Silver
Institution Athena SWAN award	Date: 2015 Level: Bronze
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GLOSSARY

AHSSBL	Arts, humanities, social sciences, business and law
APL	Additional Paternity Leave
AS	Athena SWAN
ASSG	Athena SWAN Steering Group, University of York
BME	Black and Minority Ethnic
CHE	Centre for Health Economics
CI	Co-Investigator
CIS	CHE Induction Survey
CM	Centre Manager
CPD	Continued Professional Development
CSS	Culture Survey for Students
CV	Curriculum Vitae
DAC	Development and Assessment Centre
DERS	Department of Economics and Related Studies, University of York
DLP	Distance Learning Programme
DoHS	Department of Health Sciences, University of York
DRC	Departmental Research Committee
ECR	Early Career Researcher
E&D	Equality and Diversity
EDAT	Equality and Diversity Action Team
EU	European Union
FSS	Faculty of Social Sciences, University of York
FTC	Fixed Term Contract
FT	Full-time
FTE	Full-time Equivalent
GRS	Graduate Research School, University of York
HE	Higher Education
HESG	Health Economists' Study Group
HoD	Head of Department
HR	Human Resources
IT	Information Technology
KIT	Keeping in Touch (KIT) days during maternity leave
LM	Line Manager
MSc	Master of Science
NICE	National Institute for Health and Care Excellence
NIHR	National Institute for Health Research
OPL	Ordinary Paternity Leave
PGC	Postgraduate Certificate
PGD	Postgraduate Diploma
PGR	Postgraduate Research
PhD	Doctor of Philosophy
PI	Principal Investigator
PLS	Parental Leave Survey
PR	Performance Review
PSS	Professional and Support Staff
PT	Part-time
RAE	Research Assessment Exercise
RCS	Recruitment Chairs Survey

RCUK	Research Councils UK
REF	Research Excellence Framework
RPS	Recently Promoted Survey
RRS	Recently Role Reviewed Survey
SAT	Self-Assessment Team
SCS	Staff Culture Survey
SMT	Senior Management Team in CHE
SPL	Shared Parental Leave
SPLIT	Shared Parental Leave in touch (SPLIT) days during SPL
TAP	Thesis Advisory Panel
UoA	Unit of Assessment as part of RAE / REF
UoY	University of York

EXPLANATION ABOUT STAFF GRADES

All Centre for Health Economics (CHE) academic staff undertake research as their core role and are on research-only contracts. There are no staff on standard academic or teaching-only contracts. We refer to staff at all grades as research staff. We make no distinction between postdoctoral and other research staff. We have no technical staff. Our staff grades in CHE are outlined below.

Table A: Grades and job titles used in CHE

Job title	Grade
Research Staff	
Professor	Prof / Chair
Reader	G8R
Senior Research Fellow	G8
Research Fellow	G7
Research Fellow	G6
Career Development Internships	G5 Internship Grades*
Professional and Support staff	
Professional and Support staff	G7
Professional and Support staff	G6
Professional and Support staff	G5
Professional and Support staff	G4

*Note: Included in G6 count in the submission due to very small numbers

DATA SOURCES

Unless otherwise stated, our annual Census date is 1 November, hence '2014' refers to the period 1 Nov 2013 - 31 Oct 2014. We have aggregated data with very small numbers in some categories to maintain anonymity. We use headcount figures unless otherwise indicated.

We have analysed data drawn from:

1. the University of York (UoY) staff survey for 2017 (63 respondents out of 63 eligible - 100% response rate, 35 female (56%) 2 prefer not to say);
2. the CHE Induction Survey (CIS) conducted in November 2016 (25 respondents out of 30 eligible - 83% response rate, 10 female (40%), 3 prefer not to say);
3. the CHE Staff Culture Survey (SCS) conducted in November 2018 (67 respondents out of 80 eligible - 84% response rate, 34 female (51%), 3 prefer not to say), full results in Section 3(ii);
4. the CHE Culture Survey for Students (CSS) conducted in November 2018 (15 respondents out of 17 eligible - 88% response rate, 6 female (40%), 1 prefer not to say);
5. the Parental Leave Survey (PLS) conducted in November 2018 covering the period 2014-2018 (11 respondents out of 13 eligible - 85% response rate, 7 female (64%));
6. the Recently Promoted Survey (RPS) conducted in November 2018 covering the period 2014-2018 (12 respondents out of 17 eligible - 71% response rate, 7 female (58%), 1 prefer not to say);
7. the Recently Role Reviewed Survey (RRS) conducted in November 2018 covering the period 2014-2018 (3 respondents out of 3 eligible - 100% response rate, 3 female (100%));

8. the Recruitment Chairs Survey (RCS) conducted in November 2018 covering the period 2014-2018 (5 respondents out of 6 eligible - 83% response rate, 2 female (40%)); and
9. the Submission and Action Plan Survey conducted in April 2019 (54 respondents out of 90 eligible - 60% response rate, 28 female (52%), 4 prefer not to say).

BENCHMARKING DATA

Because health economics units are usually located within multi-disciplinary departments e.g. medical schools, there is no available national benchmarking data for either staff or students. We have therefore sought, where appropriate, to benchmark against rest of Faculty of Social Sciences (FSS) and rest of University of York (UoY).

SPECIAL ICONS USED



Indicates beacon activities.

IMPACT

Indicates impact.



Action: Indicates actions.

Section	Word count used
1	462
2	311
3	427
4.1	658
4.2	820
5.1	1618
5.2	414
5.3	2324
5.4	830
5.5	1379
5.6	1708
6	877
7	166

Overall: 11,994 / 12,000 maximum words

1. LETTER OF ENDORSEMENT FROM THE HEAD OF DEPARTMENT

An accompanying letter of endorsement from the head of department should be included. If the head of department is soon to be succeeded, or has recently taken up the post, applicants should include an additional short statement from the incoming head.



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Equality Challenge Unit
First Floor
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3 Albert Embankment
London
SE1 7SP

Dear Equality Charters Manager

It is with great pleasure that I support this application for an Athena SWAN Silver award from the Centre for Health Economics (CHE). As HoD, I am committed to ensuring the principles and practices of AS are reflected in the way my department is run, personally supporting from the outset our first application for a Bronze award (received 2014).

Having made significant progress, we applied for Silver (2017), but were awarded Bronze, largely as we had not demonstrated impact sufficiently linked to actions. Although this was a disappointment, it sharpened our focus, making us more critical in our self-assessment.

We have made significant progress, going beyond initial planned actions to tackle emerging challenges. For example, whilst we had excellent promotion success rates for women and 100% return to work following maternity leave, this had not translated into gender balance at senior grades, a situation I am determined to change. I led on the introduction of a more formal approach to preparing for promotion, offering tailored support to improve CVs such as auditing participation rates on external committees to give opportunities to women, introducing mechanisms to record participation in grant applications even where CI status is not feasible, creating a "bank" of successful CVs – these actions have strengthened the pipeline: promotion of four females to Senior Research Fellow; two to Reader and one to Professor, since our Bronze. Similarly good

outcomes have been achieved for PSS. At the other end of the pipeline, having recognised that we were recruiting a majority of men at entry level, by strengthening recruitment processes e.g. revising materials, producing guidance for chairs, piloting alternative interview assessment processes; we have increased the proportion of women appointed (25% in 2014; 60% in 2017).

There is more to do, particularly around duration on grade before promotion and improving the top end of the pipeline. But I am delighted that these changes and many others reported in the application are reflected in increasingly positive responses in successive culture surveys, demonstrating that it is making a real difference to the working lives of staff.

The equality culture is embedded in CHE's strategic plans and engagement of senior staff remains strong, illustrated by membership of our EDAT which includes three SMT members (including the chair and myself); E&D is a standing item on all management meeting agendas; is regularly featured in presentations at staff meetings; and staff members including myself, take on many E&D roles outside of the department both within and outside UoY. Time invested in E&D activities is recognised in planning workloads and approximately £20,000 budget is allocated annually to support this work.

I have found the challenge to some of my assumptions to be enlightening and energising and have ambition to improve further, building upon the enthusiasm and motivation of colleagues.

I confirm the information in the application (including qualitative and quantitative data) is an honest, accurate and true representation of the department.

Yours sincerely



Professor Maria Goddard
Director of CHE

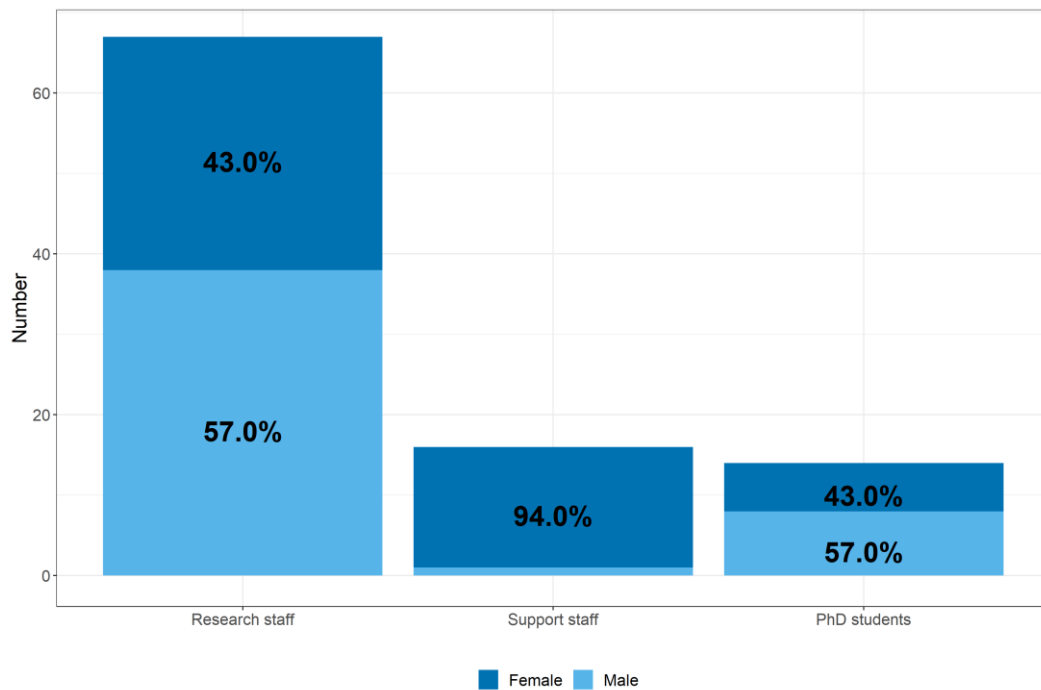


2. DESCRIPTION OF THE DEPARTMENT

Please provide a brief description of the department including any relevant contextual information. Present data on the total number of academic staff, professional and support staff and students by gender.

CHE is a research centre with 67 research staff, 16 PSS and 14 PhD students (Figure 1). Our main activity is applied health research. We have departmental status within the Faculty of Social Sciences (FSS) in the UoY.

Figure 1: Staff and student numbers in CHE, by gender, 2018



CHE is one of the largest groups of health economists in the UK and Europe¹ with a reputation as a leading centre of excellence, both nationally (receiving a Queen’s Anniversary Prize in 2008 and being named by Universities UK as one of the UK’s 100 best breakthroughs in 2018) and internationally (the only UK institution appearing in a “Top 25” listing of influential health economics institutions).² We are externally funded with an annual research income of over £4 million predominantly from health funders.

CHE has no taught undergraduate or postgraduate students. The PhD students, supervised by CHE staff, are registered with the Department of Economics and Related Studies (DERS) or Department of Health Sciences (DoHS). CHE contributes to teaching on the Distance Learning Programme (DLP) in Health Economics for Health Care Professionals and the residential MSc in Health Economics run by DERS, as well as providing summer placements for MSc students each year. We run a number of short (CPD) courses which attract over 300 people annually from over 36 countries.

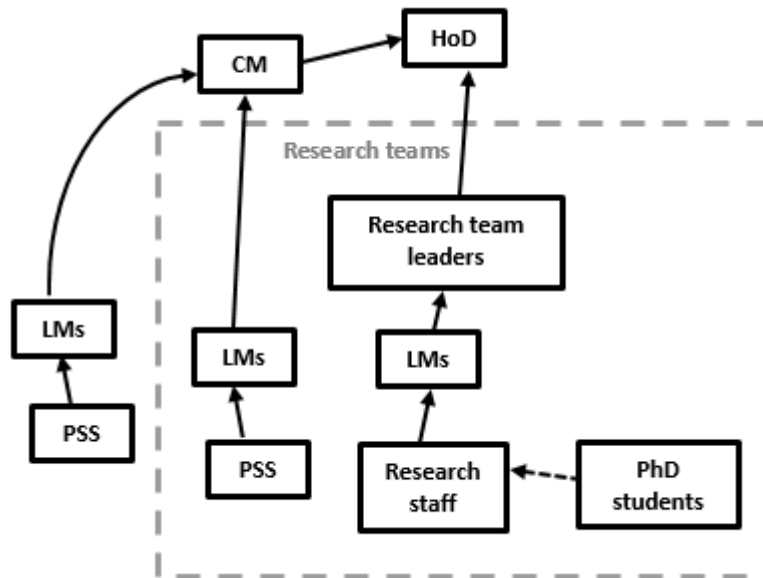
¹ 2014 comprehensive audit of health economics groups undertaken by CHE.

² Wagstaff, A. and Culyer, A. (2012) Four decades of health economics through a bibliometric lens, *Journal of Health Economics*, 31(2): 406-439.

All staff and PhD students are part of a research team, which takes responsibility for the management and supervision of staff, including development, training, and Performance Review (PR) (Figure 2). The Senior Management Team (SMT) consists of the Head of Department (HoD), Centre Manager (CM), team leaders and senior staff.

We are located in Alcuin Building with a common room area.

Figure 2: Line management structure in CHE



Note: solid arrows – direct reporting to; dotted arrows – student supervision

3. THE SELF-ASSESSMENT PROCESS

Describe the self-assessment process.

(i) a description of the self-assessment team

We expanded the remit of our SAT and set up EDAT in 2015 (Table 1) which considers all protected characteristics. It functions to examine data, scrutinise policies and ensure processes are fair and transparent. The EDAT oversees AS and has the authority to ensure delivery on the action plan.

We invite staff to express an interest in joining EDAT or nominate others. For 2018 the group comprised:

- 58% (7/12) female
- 17% (2/12) PhD students
- 33% (4/12) part-time (PT)
- 42% (4/12) FTC contract
- 50% (6/12) childcare responsibilities
- 8% (1/12) elder-care responsibilities
- 8% (1/12) BME background
- 17% (2/12) disability
- 25% (4/12) international staff








Since 2015 we have increased male representation.

IMPACT

Following an action to increase the proportion of males on the EDAT and encouraging more men to apply, the representation has increased from 20% in 2014 to 42% in 2018.

Table 1: Membership of Equality and Diversity Action Team (EDAT) and contributions

Research Staff and Students		
 <p>María José Aragón (F)</p>	Research Fellow	<ul style="list-style-type: none"> organiser of CHE Seminar Series lead on SCS and development of all surveys, culture section, and seminar speakers for AS submission
 <p>Laura Bojke (F)</p>	Reader; Deputy Chair of EDAT	<ul style="list-style-type: none"> three maternity leaves, works PT (60% FTE moving to 80%) lead on SCS and maternity/paternity sections
 <p>James Gaughan (M)</p>	Research Fellow; PhD student	<ul style="list-style-type: none"> began PhD 2012, worked PT then FT born with visual impairment lead on all staff data and leavers data
 <p>Vijay Gc (M)</p>	Research Fellow	<ul style="list-style-type: none"> brings perspectives as BME, non-EU citizen lead on internal committees and support for all surveys for submission
 <p>Maria Goddard (F)</p>	Professor; HoD	<ul style="list-style-type: none"> long-term EDI roles internally to UoY; and externally, both local and national lead on promotions, REF/RAE, grant applications sections
<p>Pedro Saramago Goncalves (M)</p>	Research Fellow	<ul style="list-style-type: none"> see Case Study (Section 6) joined 2008 as PhD student became Research Fellow 2012 brings perspective as working parent, EU citizen

		<ul style="list-style-type: none"> • lead on external committees
Rowena Jacobs (F) 	Professor; Chair of EDAT	<ul style="list-style-type: none"> • two maternity leaves, works PT • departmental Equality Champion • Chair AS FSS Working Group • Member ASSG, UoY • AdvanceHE panellist and chair • lead on RCS, workload, paygap, action plan
Laurie Rachet Jacquet (F) 	Marie Curie Early Stage Researcher; PhD student	<ul style="list-style-type: none"> • FT PhD student • lead on all sections related to student data
James Lomas (M) 	Research Fellow	<ul style="list-style-type: none"> • wife also works in CHE on non-EU tier 2 visa • lead on recruitment sections, role models and ethnicity data
Paul Revill (M) 	Senior Research Fellow	<ul style="list-style-type: none"> • joined as a Research Fellow in 2010 • brings perspective as father in a mixed-race family • former carer • lead on RRS and RPS
Professional & Support Staff		
Trish Smith (F) 	Centre Manager (CM)	<ul style="list-style-type: none"> • appointed FT, reduced hours to help work/life balance, returned FT, reduced hours again • before joining CHE, was senior administrator for Learning Support department for students with disabilities • AdvanceHE panellist • support for retrieving all data from UoY systems, lead on PSS sections
Kerry Atkinson (F) 	Administrator	<ul style="list-style-type: none"> • joined 1990 • two children • diagnosed with Multiple Sclerosis in 2002 • support on all PSS sections, outreach activities section

(ii) an account of the self-assessment process

We have held Bronze since 2014. We applied for Silver in 2017 but despite good recommendations, the panel felt we had not sufficiently demonstrated impact. We have worked hard to collect this evidence (seven surveys, five new since 2017, see pg. 10). The EDAT meets quarterly, and since April 2018, monthly, in preparation for Silver, with sub-groups meeting more often. The submission is a collaborative effort by EDAT with input from CHE more widely. All minutes are on the staff intranet. We scrutinise data annually according to a rota, developing additional actions based on evidence, and feedback from staff, e.g. the biennial Athena Initiative Award for which we invite ideas to address equality issues (Picture 1) e.g. winning suggestion was to improve physical access for disability.



CHE's Athena Initiative Award has been adopted by other UoY departments.

Picture 1: Winners of the 2018 Athena Initiative Award receiving gift vouchers from EDAT Chair at staff meeting; all suggestions acted upon



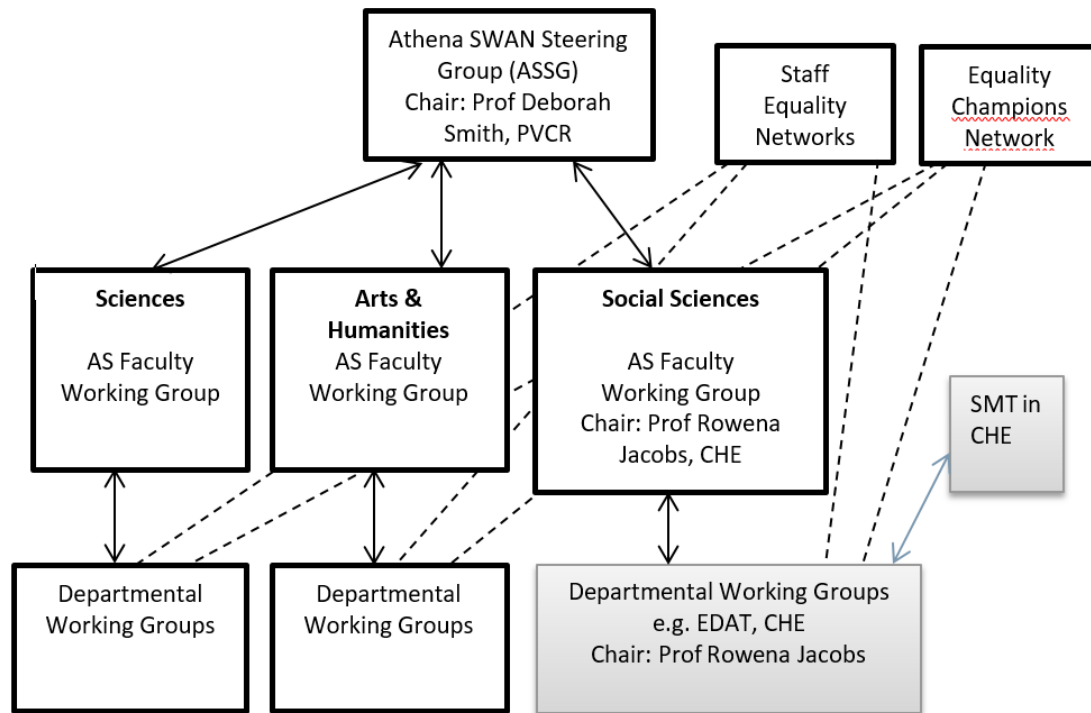
Staff are updated on equality matters at monthly meetings, on the website, through LM meetings and EDAT Corner (see 5.6(i)). We have an anonymous on-line suggestion box for staff and students. The EDAT report monthly to SMT.



CHE's EDAT website has been copied by other UoY departments.

EDAT sits within UoY's AS governance structures (Figure 3). The submission was reviewed by AdvanceHE panellists within UoY and an external advisor.

Figure 3: University of York (black) and CHE (grey) Athena SWAN Governance Structures



Note: solid lines – direct reporting to; dotted lines – informal representation on networks

We analysed seven sets of anonymous survey results (2017 UoY staff survey, 2018 CSS, PLS, RCS, RPS, RRS, SCS) for the submission (see pg. 10 and Table 2 for improved response rates for SCS).

Table 2: Response rates for CHE surveys for 2018 and comparative response rates for SCS to 2013 and 2016

	Number of respondents	Eligible	Response rate	Number female	Proportion female
SCS 2013	53	68	78%	24	47%
SCS 2016	60	74	81%	29	48%
SCS 2018	67	80	84%	34	51%
CSS 2018	15	17	88%	6	40%
CIS 2016	25	30	83%	10	40%
PLS 2018	11	13	85%	7	64%
RPS 2018	12	17	71%	7	58%
RRS 2018	3	3	100%	3	100%
RCS 2018	5	6	83%	2	40%

Table 3 shows a comparison of overall results of the 2013-2018 SCS. Results show overall improvement (green↑) or stable (yellow) high scores on most questions.

Table 3: Comparison of SCS results for 2013, 2016 and 2018 showing % Agree or Strongly Agree, excluding N/A and Don't know, last two columns show percentage point shift

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
In CHE staff are treated on their merits irrespective of gender	91%	90%	94%	3%	4%
In CHE work is allocated on a clear and fair basis irrespective of gender	83%	92%	94%	11%	2%
CHE values the full range of an individual's skills and experience when carrying out performance appraisals	87%	70%	75%	-12%	5% ↑
CHE values the full range of an individual's skills and experience when considering promotions	77%	65%	69%	-9%	4%
I understand the process/support CHE provides in relation to the University's promotion / role review process	75%	77%	82%	7%	5% ↑
I am actively encouraged to take up career development opportunities	81%	77%	87%	5%	10% ↑
I am encouraged and given opportunities to represent CHE externally and/or internally	81%	82%	93%	11%	11% ↑
CHE provides me with useful buddying/coaching opportunities	-	65%	70%	-	5% ↑
CHE provides me with useful networking opportunities	81%	87%	85%	4%	-2%
CHE provides me with a helpful annual appraisal	70%	88%	93%	23%	4%
Staff who work part-time or flexibly in CHE are offered the same career development opportunities as those who work full-time	66%	78%	85%	19%	7% ↑
The main meetings in CHE are completed in core hours (10am - 4pm) to enable those with caring responsibilities to attend	89%	93%	96%	7%	2%
I believe that in CHE, individuals are paid an equal amount for doing the same work or work of equal value, regardless of gender	85%	86%	93%	8%	7% ↑
I understand why positive action may be required to promote equality across gender	89%	92%	88%	-1%	-4%
CHE takes positive action to encourage individuals of different genders to apply for posts in areas where they are under-represented	66%	91%	97%	31%	6% ↑
CHE makes it clear that unsupportive language and behaviour are not acceptable	83%	92%	91%	8%	-1%
Inappropriate images that stereotype women or men are not acceptable in CHE	92%	97%	93%	0%	-4%
Work related social activities in CHE are likely to be welcoming to both men and women	94%	95%	96%	1%	1%
CHE has made it clear what its policies are in relation to equality	74%	92%	93%	19%	1%
My line manager/supervisor is supportive of requests for flexible working	89%	97%	90%	2%	7% ↓
During my time in CHE, I have experienced a situation(s) where I have felt uncomfortable because of my sex/gender	4%	6%	4%	0%	-2%
I am confident that my line manager/supervisor would deal effectively with any complaints about harassment, bullying or offensive behaviour	92%	95%	88%	-4%	7% ↓
EDAT's activities have had a positive impact on:					
Gender balance of Seminar Speakers	-	83%	95%	-	11% ↑
CHE committee membership	-	78%	92%	-	14% ↑
E&D Information on CHE website	-	85%	95%	-	10% ↑
Use of flexible working	-	78%	90%	-	11% ↑
Raising general awareness of E&D issues	-	67%	95%	-	28% ↑
I feel that CHE is a great place to work for women	92%	98%	100%	8%	2%
I feel that CHE is a great place to work for men	94%	100%	97%	3%	-3%
Total number of Responses	53	60	67		

Note: The 2013 and 2016 surveys covered staff and students, whereas the 2018 survey only covers staff. The 2016 and 2018 surveys cover questions on all protected characteristics, whereas the 2013 survey only covered gender. Green ↑ = increase of more than 5% on 2016 survey, Yellow = within 5% score of 2016 survey, Red ↓ = decrease of more than 5% on 2016 survey. Some numbers may not add up exactly, due to rounding errors.

EDAT's actions are being recognised as having an impact:

EDAT has a clear mantra which is well communicated to the department and has taken an active role in implementing change. I believe the initiatives EDAT has implemented have had a positive impact on our working culture.

Research Fellow (M)
2018 SCS

As part of our consultation we shared the draft submission and action plan at a staff meeting and sought feedback through an online survey which included responses to the question “do you think the submission reflects the work practice and environment in CHE” with 94% of respondents agreeing. SMT approved the final submission.

(iii) plans for the future of the self-assessment team

The EDAT reviewed its workings in 2016. This included meetings (regularity, agenda, minutes, length, chairing), information flow (in and between meetings) and workload (timelines, division of labour). The EDAT format was agreed to be working well and members have high levels of engagement. We will continue to use small groups to work through actions and meet quarterly.



Action 7: Strengthen our AS and E&D activities in CHE and within UoY.

- 7.1 Hold Athena Initiative Award biennially
- 7.2 Strengthen profile for our activities through the website, social media, biannual presentations at staff meetings and through our newsletter (EDAT Corner) to provide updates on progress against action plan
- 7.3 Review workings of EDAT to ensure it remains a high functioning team, review membership annually, and ensure succession planning for EDAT Chair and Deputy Chair
- 7.4 Establish annual cycle of review for routine monitoring of updated data sources and review recommendations for action plan
- 7.5 Establish formal annual review of action plan where actions are signed off, ongoing actions updated, and new actions added, and publish new action plan to the intranet
- 7.6 Establish an annual budget for EDAT specific activities (beyond departmental spending on general E&D activities)
- 7.7 Improve physical access to CHE (for disability) and promote E&D in CHE

4. A PICTURE OF THE DEPARTMENT

4.1. Student data

If courses in the categories below do not exist, please enter n/a.

- (i) Numbers of men and women on access or foundation courses

N/A

- (ii) Numbers of undergraduate students by gender

Full- and part-time by programme. Provide data on course applications, offers, and acceptance rates, and degree attainment by gender.

N/A

- (iii) Numbers of men and women on postgraduate taught degrees

Full- and part-time. Provide data on course application, offers and acceptance rates and degree completion rates by gender.

CHE does not run postgraduate taught courses, but staff contribute to occasional lectures on the MSc Health Economics course or can volunteer to provide support for the DLP in Health Economics, both run by DERS. CHE has no control over student recruitment for the MSc, but does for the DLP. CHE offers around six-eight summer placements to MSc students, however the allocation of students is undertaken by DERS. Whilst CHE does not run these courses, we still consider gender balance, since the MSc serves as a recruitment pool for CHE staff and PhD students.

DERS does not hold an AS award, but has an Equality Challenge Working Group. The Chair of the EDAT sits on this group to advise on gender considerations in student recruitment.

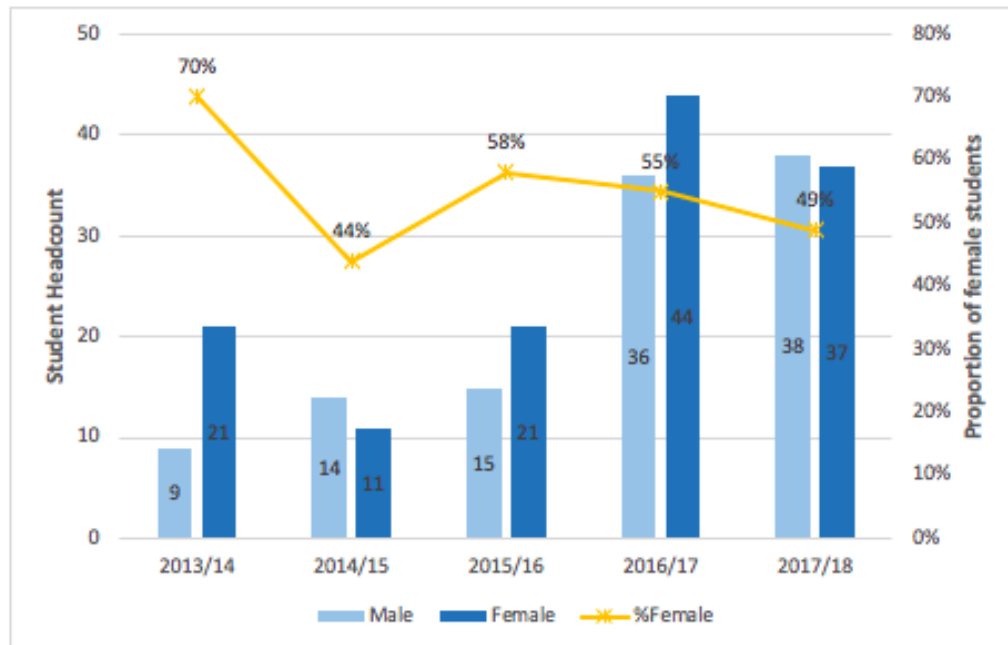
Table 4: Number of postgraduate taught students by gender in the residential MSc in Health Economics and CHE summer placements, by academic year

Year	MSc			Placement		
	Female	Male	% Female	Female	Male	% Female
2013/14	21	22	49	3	3	50
2014/15	12	16	43	5	3	63
2015/16	21	18	54	1	5	17
2016/17	24	20	55	3	2	60
2017/18	18	18	50	3	5	38

The proportion of female students in the MSc pool has ranged between 43% and 55% (50% on average) (Table 4). The number of students who undertake placements in CHE every year varies (18% on average from 2014 to 2018) and depends on availability of placements in other institutions.

The DLP programme (Figure 4) has grown and is flexible to fit around work and personal commitments, which has resulted in a more stable gender balance being achieved in recent years.

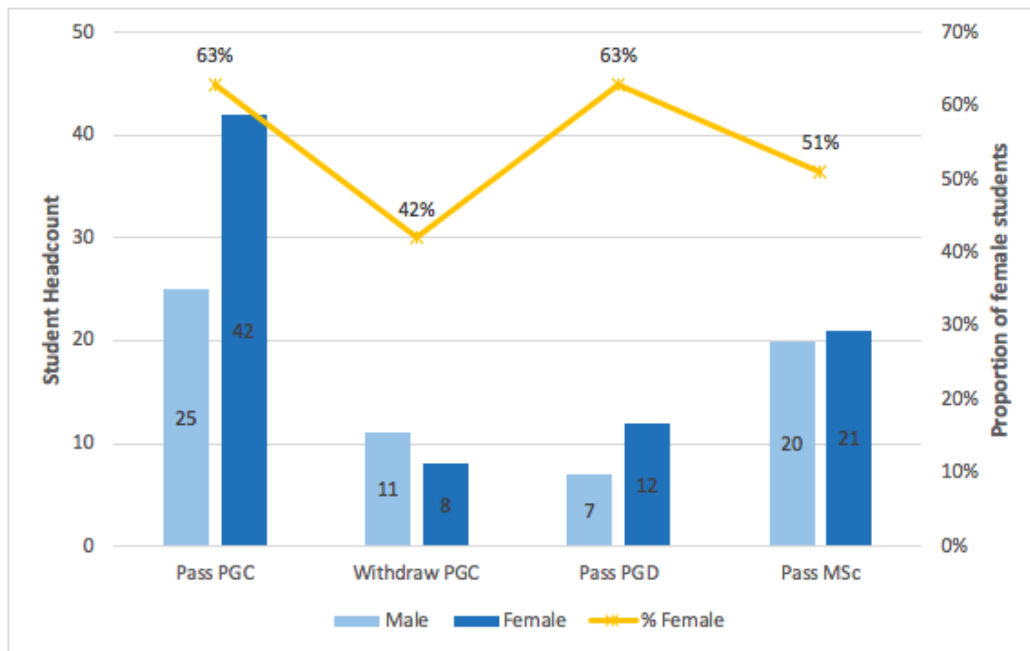
Figure 4: Number of postgraduate taught students by gender in the Distance Learning Programme (DLP)



DLP students can gain accreditation at increasing levels, with a postgraduate certificate (PGC), diploma (PGD) or MSc. Figure 5 shows that women usually have slightly better outcomes, echoing national trends³.

³ See e.g. <https://www.officeforstudents.org.uk/data-and-analysis/differences-in-student-outcomes/gender/>

Figure 5: Student outcomes from Distance Learning Programme (DLP), 2014-2018



(iv) Numbers of men and women on postgraduate research degrees

Full- and part-time. Provide data on course application, offers, acceptance and degree completion rates by gender.

PhD students are registered in DERS or DoHS as CHE is not a degree awarding department. CHE's involvement is via: (i) supervision (acting as main or co-supervisors and members of TAPs), (ii) physically hosting PhD students, and, (iii) provision of financial support for some students through CHE studentships.

Figure 6 shows no discernible overall trend in gender balance of PhD students. Numbers are small and year-to-year fluctuations should not be over-interpreted.

Figure 6: All postgraduate students on research degrees (FT and PT) who are located in CHE each year and supervised by CHE staff

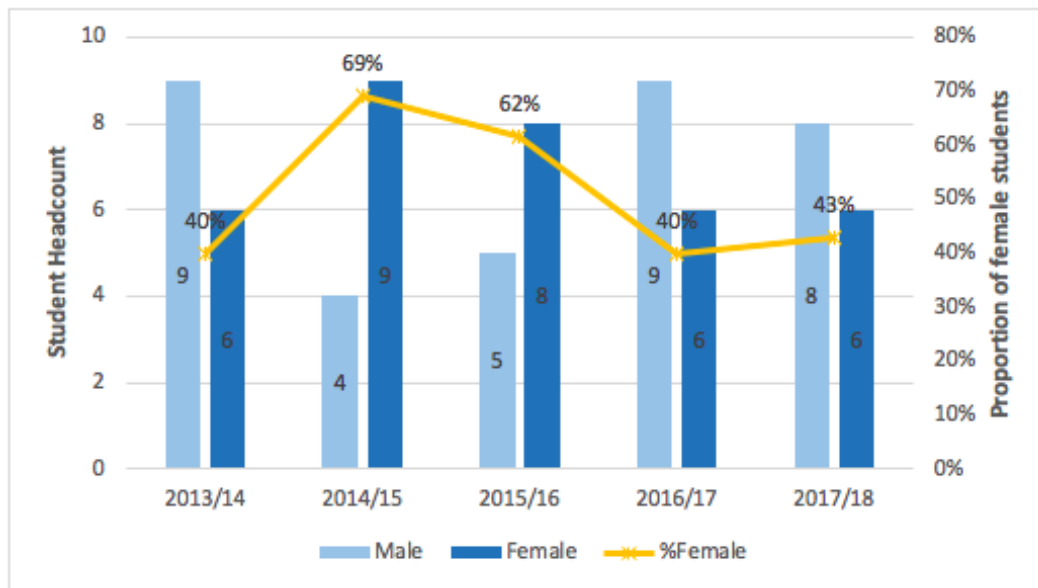


Table 5 shows that on average over the last five years, the PhD population in CHE has been gender-balanced (51% female). This is lower than the percentage of female PGR students in FSS (57%), but similar to UoY (49%).

Table 5: Percentage of female PGR students in CHE, benchmarked against FSS and UoY

	2013/14	2014/15	2015/16	2016/17	2017/18	Overall
FSS	54%	58%	60%	58%	56%	57%
UoY	47%	49%	50%	50%	49%	49%
CHE	40%	69%	62%	40%	43%	51%

Since 2013 we have had no female PT PGR students and two male PT students. The proportion of PT students out of the total number of PGR students is greater for CHE (17%) than for FSS (13%) in the period 2014-2018. These figures may reflect CHE's flexible working policies that allow students to combine studies with work and/or family commitments.

PhD completions (Table 6) fluctuate year to year given low numbers. All full-time students completed the PhD between three and four years after enrolment.

Table 6: Proportion of female students for PhD completion by year of completion, 2014-2018

Year	Female	Male	% Female
2013/14	0	5	0%
2014/15	1	1	50%
2015/16	2	0	100%
2016/17	2	1	67%
2017/18	2	0	100%

Picture 2: CHE PHD students' Christmas party



We considered if there is gender bias in allocation of funding. Self-funded students may bring funding from their own countries, while funded students are students in which CHE has a greater involvement in the selection process (including CHE studentships). The proportion of female students was higher among funded students. Female students represented 54% of funded PhD students between 2014-2018 (Table 7) and 35% for self-funded students. However, numbers are small.

Seven funded PGR students hold studentships awarded by CHE (4F/3M).

Table 7: All funded and self-funded CHE research students, headcount

Year	Funded			Self-funded		
	Female	Male	% Female	Female	Male	% Female
2013/14	5	6	45%	1	3	25%
2014/15	7	2	78%	2	2	50%
2015/16	7	4	64%	1	1	50%
2016/17	6	8	43%	0	1	0%
2017/18	5	7	42%	1	1	50%

Table 8 displays studentship applicants and awardees. Numbers are small and there is no clear trend. The aggregate for these years (39% of applications female; success rate 50% female), suggests a good gender balance of awardees, despite a slightly lower percentage of female applications. All offers have been accepted.

The EDAT has implemented changes to advertisements for CHE studentships in 2015, including information on the potential for funding to be delivered on a pro-rata basis, to facilitate PT study. To date, all awardees have opted for FT study.

IMPACT

As a result of actions to increase the diversity of the supervisor pool and change advertisements for CHE PhD studentships to include the potential for funding to be delivered on a pro-rata basis to facilitate PT study in 2015, the proportion of female applicants has increased from 29% in 2015 to 63% in 2016.

Table 8: CHE funded studentship applicants and awardees, male and female numbers and percentage success rate

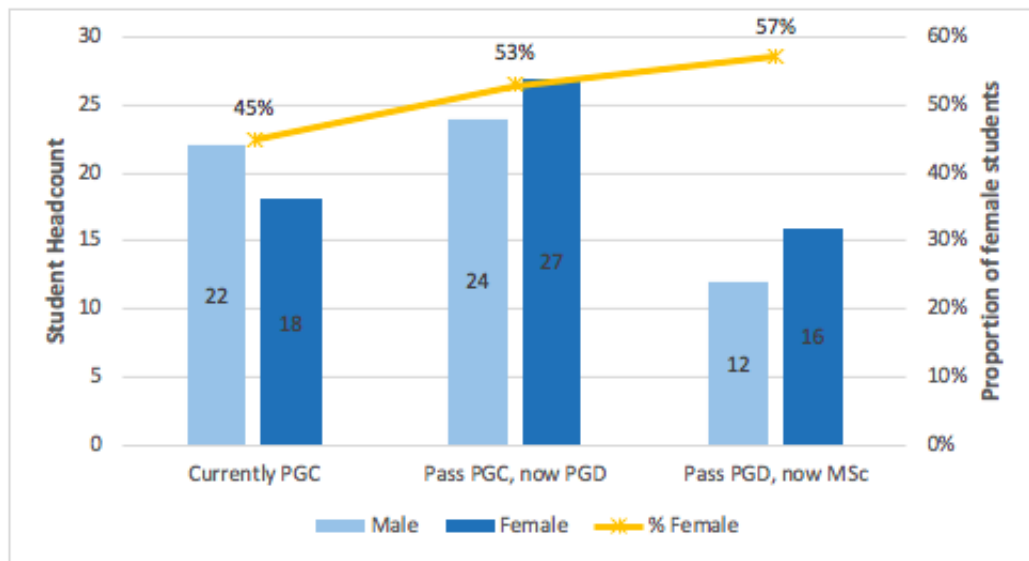
Year	Gender	Applications	Awards	Success Rate
2013/14	Female	4	2	50%
	Male	9	1	11%
	% Female	31%	67%	
2014/15	Female	4	1	25%
	Male	6	0	0%
	% Female	40%	100%	
2015/16	Female	2	1	50%
	Male	5	2	40%
	% Female	29%	33%	
2016/17	Female	5	0	0%
	Male	3	1	33%
	% Female	63%	0%	
2017/18	Female	0	0	
	Male	0	0	
	% Female			
Overall	Female	15	4	33%
	Male	23	4	17%
	% Female	39%	50%	

(v) Progression pipeline between undergraduate and postgraduate student levels

Identify and comment on any issues in the pipeline between undergraduate and postgraduate degrees.

We consider the progression pipeline of students in the DLP. Figure 7 suggests good gender balance in the likelihood of students moving from PGC to PGD to MSc.

Figure 7: Pipeline progression on Distance Learning Programme (DLP), 2014-2018



Since 2013/14, 47% of the total number of PGR students in CHE come from the MSc in Health Economics. If CHE PhD studentship or job opportunities arise these are advertised amongst the MSc students.

4.2. Academic and research staff data

(i) Academic staff by grade, contract function and gender: research-only, teaching and research or teaching-only

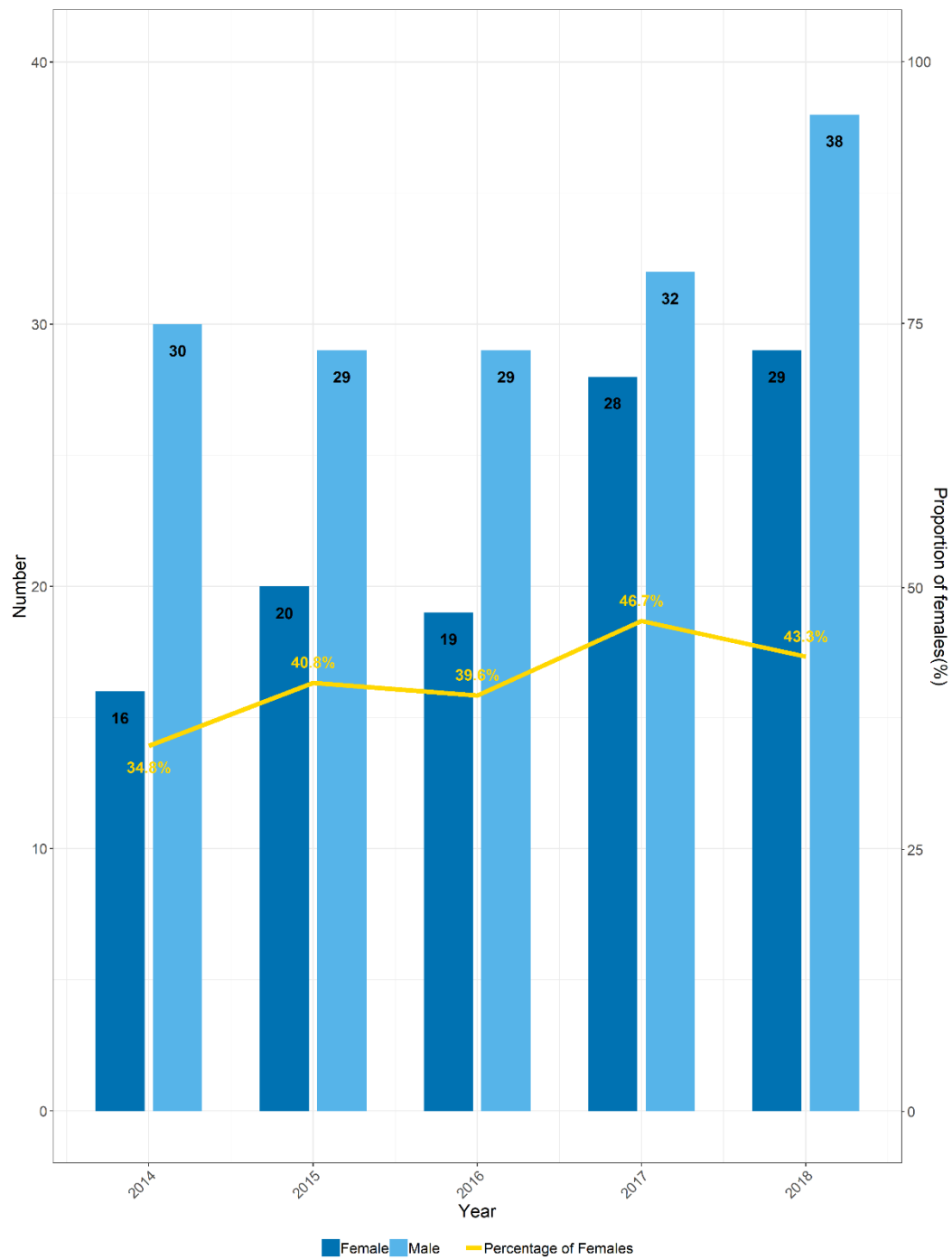
Look at the career pipeline and comment on and explain any differences between men and women. Identify any gender issues in the pipeline at particular grades/job type/academic contract type. Where relevant, comment on the transition of technical staff to academic roles.

As a result of success in securing research funding, overall staff numbers have increased substantially (by 45%) since 2014 (Figure 8). EDAT introduced several actions to improve recruitment since 2016 (see also 5.1(i)):

- Providing guidance to Chairs of recruitment panels
- Basing assessment on a work sample test
- Reviewing recruitment documentation for bias and seldom-used skills
- Implementing an improved process of scoring candidates
- Ensuring gender mix on all panels

As a result, proportionately more women than men have joined leading to an increase in the percentage of staff who are female (47% in 2017).

Figure 8: Total number of female and male staff, and the proportion who are female over time



IMPACT

As a result of several actions around recruitment (and promotion), the gender balance across all research staff in CHE has improved in terms of the proportion of female staff from 35% in 2014 to 47% in 2017.

Our actions around recruitment are bearing fruit (Table 9) particularly if we look at the gender split in G6 where most recruitment occurs and which tends towards equality by the end of the series (2017 and 2018). G7 is the smallest group and has the greatest variation in gender balance over time. The G8/G8R category has become increasingly female dominated over time. This partly reflects the 'growing our own' senior staff policy (discussed below).

Following from our Bronze actions, in 2014 the number of female professors increased (through promotion) from one to two, but women remain significantly underrepresented at this level.

Table 9: Number of women and men at each grade over time

Grade	Gender	2014	2015	2016	2017	2018
Grade 6	Female	6	7	6	14	15
	Male	12	13	12	12	18
	% Female	33%	35%	33%	54%	45%
Grade 7	Female	2	5	5	4	4
	Male	4	3	4	7	5
	% Female	33%	63%	56%	36%	44%
Grade 8	Female	6	6	6	8	8
	Male	5	3	3	2	4
	% Female	55%	67%	67%	80%	67%
Professor	Female	2	2	2	2	2
	Male	9	10	10	11	11
	% Female	18%	17%	17%	15%	15%

Note: For the purposes of this section, G8 and Reader (G8R) have been combined and labelled Grade 8 in all figures due to small numbers.

IMPACT

As a result of several actions to improve recruitment which is particularly relevant at lower grades, the proportion of female staff at G6 has increased from 33% in 2014 to 46% in 2018.

Comparing Figures 9 and 10 which provide the percentage of female staff at each grade for rest of FSS and UoY, show (at 2018) that at Professorial level, although CHE (15%) is below the UoY level (20%) and FSS (39%), at G8 we are well above both the rest of FSS and UoY (67% vs 46% and 38% respectively).

Figure 9: Proportion of women at each grade over time

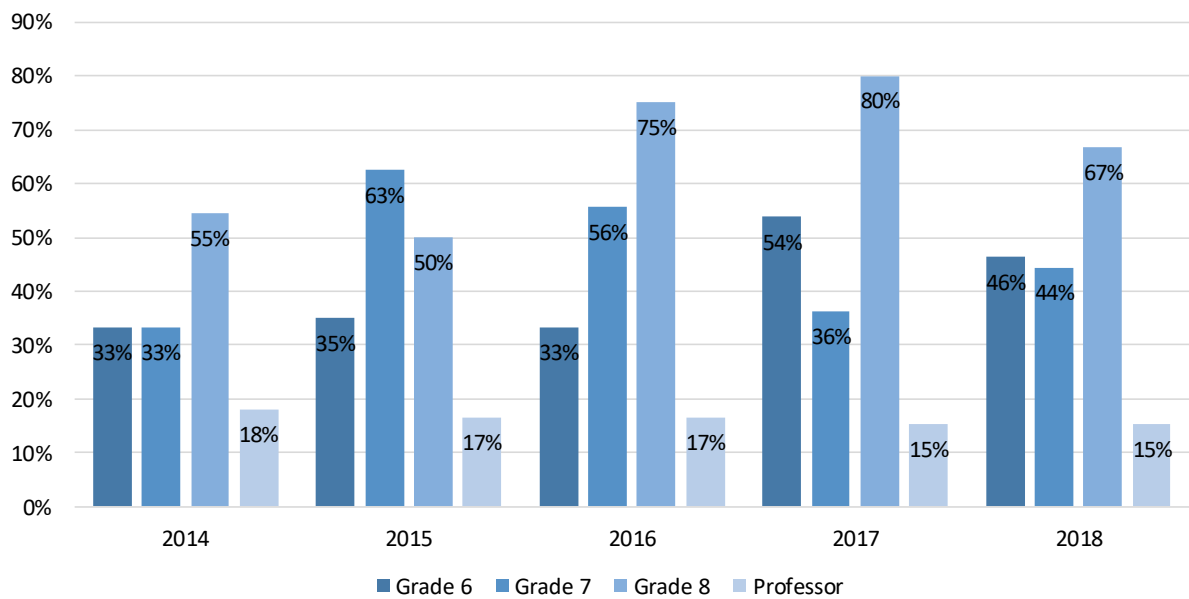
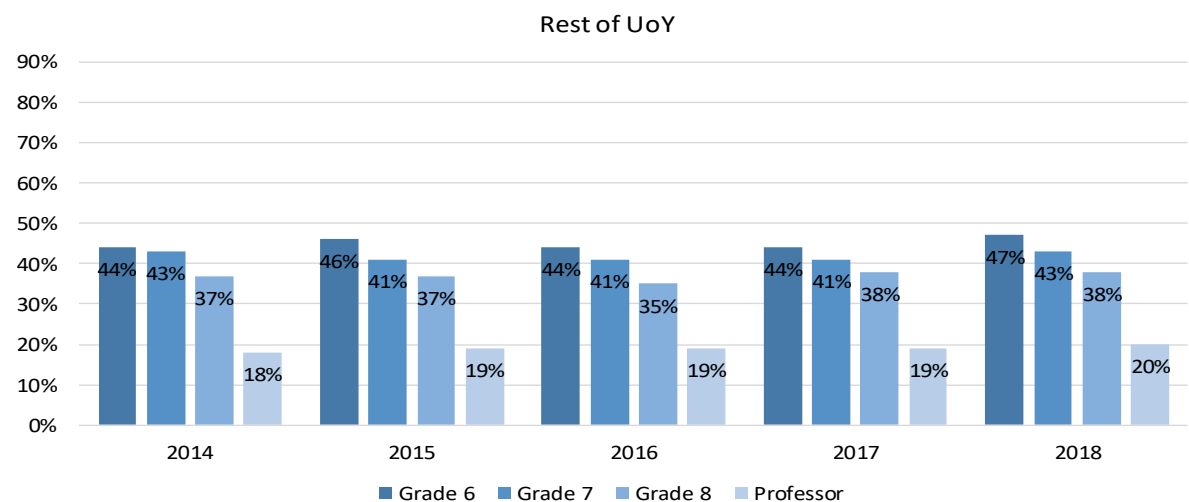
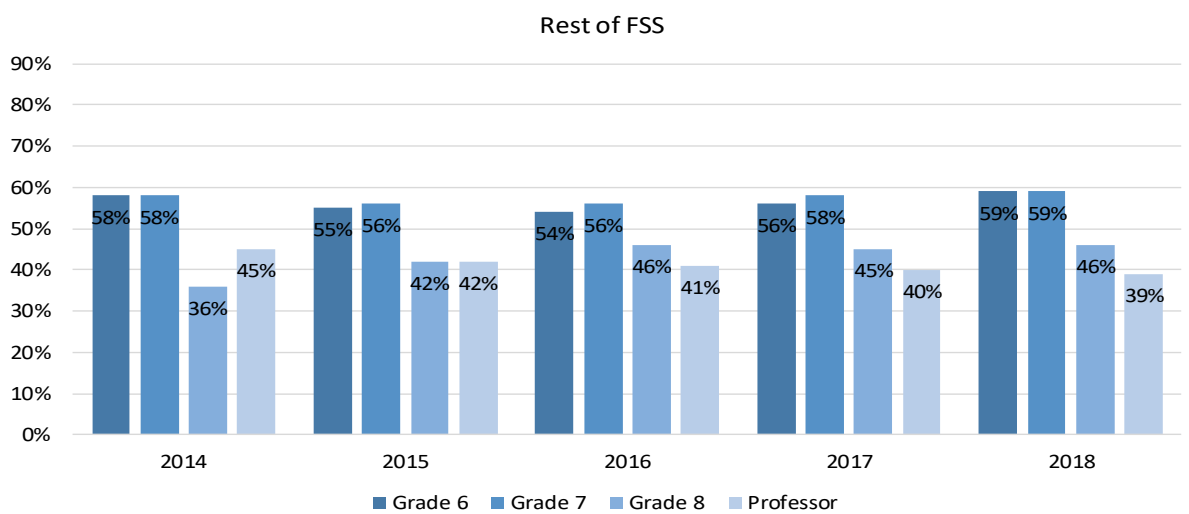


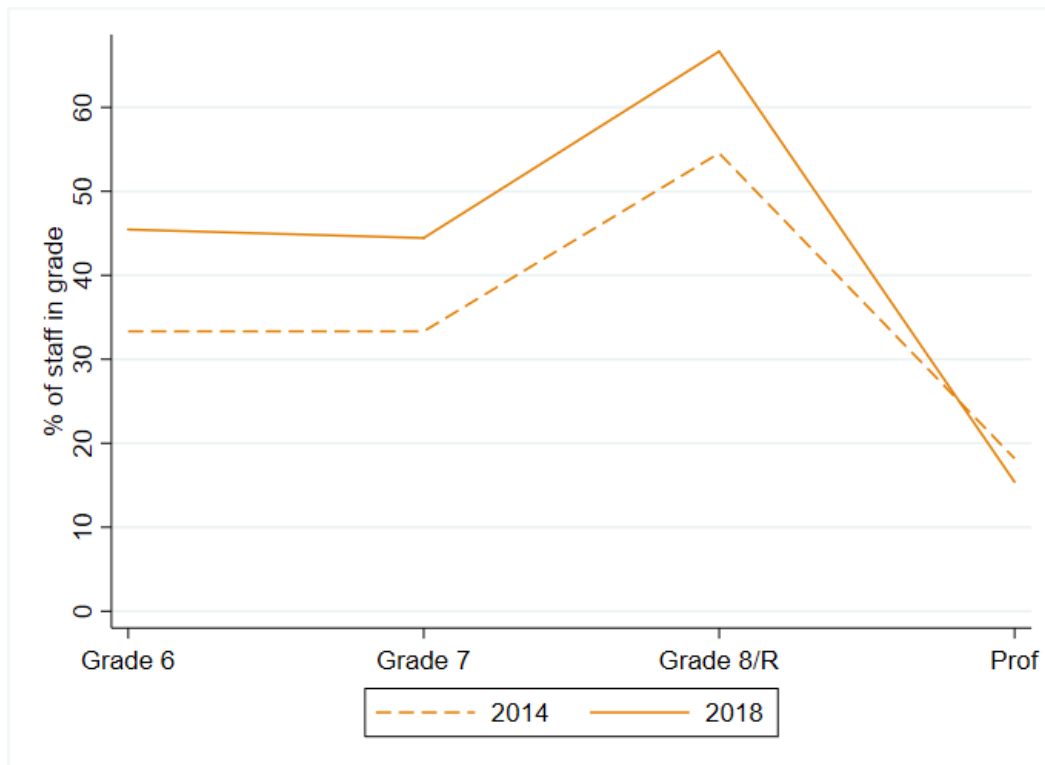
Figure 10: Proportion of staff who are female at each grade for the rest of FSS and rest of UoY, 2014-2018



The improvement in female representation particularly at G8 is because we have focused a lot of effort on increasing the proportion of women at G8, Reader and Professor. These include:

- encourage and support female staff at G7 and G8 to be PIs, lead and supervise staff (see 5.3(iii))
- provide opportunities that help improve CVs (see 5.6(iv))
- strengthen promotion processes (see 5.1(iii))

Figure 11: Pipeline figure of proportion of female staff in each grade, 2014 and 2018



We recognise the need to continue to focus on underrepresentation of women at professorial level (Figure 11). We have been tackling this in a number of ways (see 5.1(iii)), but there will necessarily be a lead time before these have an impact.

CHE is committed to attracting and retaining high quality staff, supporting and developing their careers, and ‘growing our own’ senior researchers from within the ranks of talented junior researchers. We have focused our efforts on promoting women, as recruitment at senior level is infrequent and there is a small pool of senior female health economists nationally/internationally on which we can draw. Our strategy of ‘growing our own’ at the intermediate grades will filter through to higher grades over time.

IMPACT

As a result of efforts to support careers and promote staff from within, the overall proportion of female staff in senior grades (G8, G8R and Professor) has increased from 36% in 2014 to 40% in 2018. This includes two females promoted to G8, two to G8R and one to Professor.

Around 10-20% of research staff of both genders are part-time in each year (Table 10).

Table 10: Numbers of Full-Time and Part-Time staff and the proportion who are Part-Time by gender over time

Gender	Mode	2014	2015	2016	2017	2018
Female	Full-Time	14	14	15	23	26
	Part-Time	2	4	4	5	3
	Proportion Part Time	13%	22%	21%	18%	10%
Male	Full-Time	25	26	25	25	31
	Part-Time	5	5	4	7	7
	Proportion Part Time	17%	16%	14%	22%	18%

SCS results are increasingly positive on PT work:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
Staff who work part-time or flexibly in CHE are offered the same career development opportunities as those who work full-time	66%	78%	85%	19%	7% ↑

- (ii) Academic and research staff by grade on fixed-term, open-ended/permanent and zero-hour contracts by gender

Comment on the proportions of men and women on these contracts. Comment on what is being done to ensure continuity of employment and to address any other issues, including redeployment schemes.

Table 11 shows trends in contract type by gender for G6. Nearly all G6 of both genders are on FTCs. Only G6 staff and some Professors have FTCs, the latter because they choose to return PT after (early) retirement. Recent increases in the proportion of staff on FTC is driven by an increase in staff numbers in 2017 and 2018 which has predominantly been at G6 level, the only staff group where first appointments are made on FTCs.

Table 11: Numbers of G6 staff on open ended and fixed-term contracts and the proportion who are on fixed-term contracts by gender over time

Gender	Mode	2014	2015	2016	2017	2018
Female	Open Ended	1	1	0	0	2
	Fixed-Term	5	6	6	14	13
	Proportion on Fixed-Term Contracts	83%	86%	100%	100%	87%
Male	Open Ended	0	0	1	1	1
	Fixed-Term	12	13	11	11	17
	Proportion on Fixed-Term Contracts	100%	100%	92%	92%	94%

All UoY G6 staff are offered an open-ended contract after six years of FTCs unless promoted sooner. G6 staff are supported to apply for promotion (see 5.1(iii)). CHE has a track record of offering renewal of FTCs (all G6 FTCs have been renewed). CHE makes it

a priority to retain staff and plan new projects and funding applications with this in mind and provides bridge funding to support staff between contracts. Once staff are promoted to G7, they are automatically offered an open contract. This goes beyond UoY policies, despite CHE being funded almost entirely from external competitive funding and is one of the factors which has contributed to greater feelings of job security.

IMPACT

As a result of automatically offering G7 staff an open contract (beyond UoY policies), 89% of CHE staff reported 'I feel safe and secure in my job' in the UoY 2017 staff survey (28 percentage points above FSS average) despite CHE being funded almost entirely from external "soft" funding.

CHE does not have zero hours workers but we do engage a small number of casual workers to provide specialist input to research projects and short courses. The timeframes range from a few hours to a maximum of 12 weeks FT. Casual workers comprise staff who are already employed PT, PhD students, and occasionally external specialists. From 2014-2018, nine PhD students were engaged as casual workers (6M/3F), in line with the gender balance of PGR students; and eight externals (6M/2F).

(iii) Academic leavers by grade and gender and full/part-time status

Comment on the reasons academic staff leave the department, any differences by gender and the mechanisms for collecting this data.

Our staff turnover is low (7%) compared to rest of FSS (15%) and UoY (19%) (2014-2018). Table 12 shows 18 staff left CHE, of which 11 were FTC. Most leavers are at G6 (as expected given this is the early stage of research careers) and leaving rates for males are slightly higher. Reasons for leaving include returning to home country for personal reasons, moving to academic posts at other institutions, or taking up a PhD studentship at CHE. We have recently introduced exit interviews and will continue to monitor this.

Table 12: Leaving rates by grade and gender, 2014-2018

Grade	Gender		2014	2015	2016	2017	2018
G6	Male	Staff	12	13	12	12	18
		Leavers	1	0	3	2	3
		Leaving Rate	8%	0%	25%	17%	17%
	Female	Staff	6	7	6	14	15
		Leavers	0	0	1	0	1
		Leaving Rate	0%	0%	17%	0%	7%
G7	Male	Staff	4	3	4	7	5
		Leavers	0	1	1	0	1
		Leaving Rate	0%	33%	25%	0%	20%
	Female	Staff	2	5	5	4	4
		Leavers	0	0	0	0	0
		Leaving Rate	0%	0%	0%	0%	0%
G8/R	Male	Staff	5	3	3	2	4
		Leavers	0	2	1	0	0
		Leaving Rate	0%	67%	33%	0%	0%
	Female	Staff	6	6	6	8	8
		Leavers	0	0	0	0	0
		Leaving Rate	0%	0%	0%	0%	0%
Prof	Male	Staff	9	10	10	11	11
		Leavers	0	0	0	1	0
		Leaving Rate	0%	0%	0%	9%	0%
	Female	Staff	2	2	2	2	2
		Leavers	0	0	0	0	0
		Leaving Rate	0%	0%	0%	0%	0%
Overall	Male	Staff	30	29	29	32	38
		Leavers	1	3	5	3	4
		Leaving Rate	3%	10%	17%	9%	11%
	Female	Staff	16	20	19	28	29
		Leavers	0	0	1	0	1
		Leaving Rate	0%	0%	5%	0%	3%



Action 12: Ensure we understand why staff / students leave CHE.
 12.1 Use new exit information questionnaire designed by EDAT to track grade, gender, FT/PT status, reasons for leaving, destination and ensure at least 90% response rate

5. SUPPORTING AND ADVANCING WOMEN'S CAREERS

5.1. Key career transition points: academic staff

(i) Recruitment

Break down data by gender and grade for applications to academic posts including shortlisted candidates, offer and acceptance rates. Comment on how the department's recruitment processes ensure that women (and men where there is an underrepresentation in numbers) are encouraged to apply.

Table 13: Recruitment to research posts, 2014 – 2018

Year	Gender	Applications	Interviewed	Appointed	Interviews/ Applications	Appointed/ Interviews	Appointed/ Applications
All grades							
2014	Female	52	7	2	13%	29%	4%
	Male	80	13	6	16%	46%	8%
	% Female	39%	35%	25%			
2015	Female	41	9	0	22%	0%	0%
	Male	41	9	3	22%	33%	7%
	% Female	50%	50%	0%			
2016	Female	52	12	4	23%	33%	8%
	Male	77	15	2	19%	13%	3%
	% Female	40%	44%	67%			
2017	Female	106	46	7	43%	15%	7%
	Male	140	40	8	29%	20%	6%
	% Female	43%	53%	47%			
2018	Female	9	2	0	22%	0%	0%
	Male	36	8	1	22%	13%	3%
	% Female	20%	20%	0%			
Overall	Female	260	76	13	29%	17%	5%
	Male	374	85	20	23%	24%	5%
	% Female	41.0%	47.2%	39.4%			
Grade 6 only							
2014	Female	28	3	1	11%	33%	4%
	Male	48	8	3	17%	38%	6%
	% Female	37%	27%	25%			
2015	Female	15	5	0	33%	0%	0%
	Male	12	4	2	33%	50%	17%
	% Female	56%	56%	0%			
2016	Female	31	9	3	29%	33%	10%
	Male	41	6	0	15%	0%	0%
	% Female	43%	60%	100%			

Year	Gender	Applications	Interviewed	Appointed	Interviews/ Applications	Appointed/ Interviews	Appointed/ Applications
2017	Female	50	21	6	42%	29%	12%
	Male	70	13	4	19%	31%	6%
	% Female	42%	62%	60%			
2018	Female	9	2	0	22%	0%	0%
	Male	28	5	1	18%	20%	4%
	% Female	24%	29%	0%			
Overall	Female	133	40	10	30%	25%	8%
	Male	199	36	10	18%	28%	5%
	% Female	40.1%	52.6%	50.0%			
Grade 7 and above							
2014	Female	24	4	1	17%	25%	4%
	Male	32	5	3	16%	60%	9%
	% Female	37%	27%	25%			
2015	Female	26	4	0	15%	0%	0%
	Male	29	5	1	17%	20%	3%
	% Female	56%	56%	0%			
2016	Female	21	3	1	14%	33%	5%
	Male	36	9	2	25%	22%	6%
	% Female	43%	60%	100%			
2017	Female	56	25	1	45%	4%	2%
	Male	70	27	4	39%	15%	6%
	% Female	42%	62%	60%			
2018	Female	0	0	0			
	Male	8	3	0	38%	0%	0%
	% Female	24%	29%	N/A			
Overall	Female	127	36	3	28%	8%	2%
	Male	175	49	10	28%	20%	6%
	% Female	42.1%	42.4%	23.1%			

Notes: Applicants who did not disclose gender are not included in the numbers presented above. We present applicants, interviews and appointments, therefore not included are people who were: approached to apply for a post but didn't, shortlisted but withdrew prior to interview, or offered a post but turned it down. N/A = not applicable.

We have two years of lower recruitment (2015 and 2018) (Table 13). Looking at posts at all grades it is clear that while a minority of applicants and appointments are female (41% and 39% respectively), we have been successful in achieving greater gender equality for interviews (47% and 53% female for all grades and G6 respectively) and we have been successful in appointments at G6 (50%) where numbers are bigger. At G6, females are more likely to be interviewed than males, but interviewed males and females are equally likely to be appointed. At G7 and above, females and males are equally likely to be interviewed, but males are more likely to be appointed.

EDAT introduced several actions to improve recruitment (see 4.2(i)) including:

- consideration of PT hours on all posts
- enhanced inclusivity statements on recruitment materials
- one of the contacts for enquiries for the post is female (Picture 3)
- interviews via Skype for candidates who are unable to attend in person
- adverts linking to case studies on our website, illustrating a range of flexible working (we have received positive feedback on this from applicants)

Picture 3: CHE recruitment and advertising material examples with enhanced inclusivity statement, considering PT options and ensuring one of contacts is female

A place where we can ALL be ourselves #EqualityatYork

Athena SWAN

At CHE we strive to provide a supportive and family friendly work environment and to offer equal opportunities to all staff members. We hold an Athena SWAN Bronze award which recognises our commitment towards gender equality and good practice in recruiting, retaining and supporting the careers of women. We seek to ensure fair, flexible, accessible and transparent policies and working conditions for all members of staff.

Informal enquiries:

Professor Rowena Jacobs (rowena.jacobs@york.ac.uk) or Professor Martin Chalkley (martin.chalkley@york.ac.uk)

This role can be full time or part-time hours (minimum of 0.6fte). Minimum of 29.6 hours (80% FTE) should candidates require sponsorship.

Other actions include a more structured approach to recruiting higher grades, asking a large number of senior staff to identify potential candidates, and contacting them to inform about possible flexible working arrangements. All shortlisting and appointment panels have a gender mix (minimum one female) and 100% have received training on recruitment best practice and unconscious bias (see 5.3(i)). We produced guidance for recruitment chairs covering best-practice evidence on scoring, managing discussions to avoid e.g. 'halo / horns effect', shortlisting and other topics.

The training prompted me to take more time to check the basis of my decisions. On one occasion I decided to think about the decision overnight to ensure the decision was fair. On several occasions panels I've been part of have discussed unconscious bias bringing more awareness and careful consideration to the decision making process.

PSS (F)
2018 RCS

Despite small numbers, there is evidence of early signs of our actions having an effect (Table 13) with a modest increase in the proportion of female applicants, an improvement in gender equality at interview, and appointments (particularly up to 2017 where we had bigger numbers).

IMPACT

As a result of our actions around improving our recruitment processes, we have seen an increase in the proportion of females appointed across all grades, but particularly at G6 where we have larger recruitment numbers, from 25% in 2013/14 to 60% in 2016/17.

Nevertheless, our data indicates that further improvement is possible and we will continue to work towards improving equality throughout the recruitment process.

The guidance for Chairs is very useful to try to provide some consistency across different panels. I made sure we didn't discuss candidates between interviews and so on, as a result of the guidance.

Professor (F)
2018 RCS



CHE's recruitment processes are being adopted by other UoY departments.

The process was efficient so I was very clear about what I had to do and the expectations for me as an external chair. The shortlisting form was particularly helpful. Personally I took a great deal away from the process which I communicated to our department and we have spoken to [CM] about using materials you have to make our own process clearer and better aligned with good practice.

Professor (F)
External Chair of recruitment panel



Action 4: Strengthen recruitment practices.

- 4.1 Interview candidates who have been recently appointed to obtain their views on the recruitment process
- 4.2 Undertake an audit of shortlisting decisions
- 4.3 Expand the pool from whom suggestions are sought for candidates for senior appointments and encourage consideration of diversity
- 4.4 Introduce a bank of work sample tests for interviews
- 4.5 Further strengthen recruitment practices e.g. checking content of job descriptions, reviewing wording for bias, ensuring all members of panel participate in shortlisting process

(ii) Induction

Describe the induction and support provided to all new academic staff at all levels. Comment on the uptake of this and how its effectiveness is reviewed.

Alongside UoY induction, we ensure our own induction process is tailored to the needs of individuals. PhD students receive an induction from the department in which they are registered, though most choose to take up induction at CHE involving:

- A face-to-face meeting with the CM, a tour around CHE, introductions to their team, visits to HR and other relevant departments.
- A comprehensive induction document (regularly updated) covering staff development and support, training, PR, conference attendance, E&D policies and online learning modules, code of practise on harassment, and relevant HR policies, e.g. flexible working.
- Use of 'buddy' system - covering staff and students (someone from same grade for first six months to provide support and friendly point of contact; buddy role shared out across male and female staff).
- Offer of UoY staff mentoring scheme.
- CM asks all staff to make new starters welcome and they are introduced at monthly staff meetings.
- 1:1 meeting with HoD after their settling-in period.

To ensure consistency, we plan to introduce a checklist.

No-one has failed probation.



CHE's induction document has been recommended to other departments as an example of good practice by the UoY HR Department.

Feedback from the 2016 CIS, showed:

- 96% of staff felt welcome in their team
- 93% of staff found the buddy system useful
- Induction is viewed as a positive experience

IMPACT

Following numerous actions to strengthen our induction processes, an induction survey in 2016 showed that the uptake of induction is 100% and 100% of staff reported feeling welcome at CHE when they started.



Action 11: Further refine and improve the induction process.
11.1 Introduce induction checklist which is signed off by new starter and their LM

- 11.2 Consider how to match 'buddies' for new senior staff
- 11.3 Ensure the nature of the contract and renewal process is discussed at induction

(iii) Promotion

Provide data on staff applying for promotion and comment on applications and success rates by gender, grade and full- and part-time status. Comment on how staff are encouraged and supported through the process.

UoY sets out criteria to be met at each grade and invites applications from individuals annually. UoY rules state that unsuccessful applicants have to wait two years before re-applying.

Following our 2014 Bronze, we introduced a number of actions to make the promotions process more formalised and systematic.

- Annually, each LM is sent a form with the grade and spine point of every member of staff they manage.
- The form includes confirmation that a discussion about promotion has taken place and a note about "readiness" for promotion, as well as steps to be taken for those not yet ready. LMs are required to complete the form and return it to the HoD, several months in advance of the promotions' deadline.

This ensures readiness for advancement is actively considered for every individual, rather than being driven by individuals coming forward to state their interest.

More transparent and inclusive process that requires consideration of ALL staff rather than only those who are proactive in putting themselves forward.

Research staff (F)
2018 RPS

CHE has introduced a number of further actions:

- Prior to applying for promotion, staff receive information from their LM and other senior management about what to expect in a promotion application and are encouraged to apply when the time is right. This includes pragmatic advice about applying too early as well as being encouraged to submit when their body of work is sufficient such that the application has a good chance of success.
- Ensure those identified as potentially ready, receive intensive support, consisting of meetings (with LMs, team leaders and HoD) and iterations of the application and CV between all parties (Picture 4).
- It is possible that during the process it is mutually agreed that someone is not ready to apply. The team leader and LM will then help identify and plan to fill any gaps in

experience and skills. Although the decision to apply is ultimately for the individual, we provide as much information as possible to inform the decision.

- Candidates can use a bank of 26 CVs of previous successful CHE applications (all grades represented).
- Since 'citizenship' is a promotion criteria, LMs can use the bank of information on current internal and external roles (see 5.6(iii) & (iv)) to look for opportunities for CV enhancement as external roles can carry prestige. LMs are regularly reminded to consider roles and pass on opportunities to junior staff.

Table 14: Applications for promotion by grade and gender divided by number of eligible research staff applicants (percentages in brackets), by 'success' year

	2014		2015		2016		2017		2018		Total	
	F	M	F	M	F	M	F	M	F	M	F	M
G7	0/5 (0%)	1/9 (11%)	1/6 (17%)	1/12 (8%)	1/7 (14%)	3/12 (25%)	0/6 (0%)	3/10 (33%)	0/13 (0%)	0/10 (0%)	2	8
G8	2/3 (67%)	0/2 (0%)	0/2 (0%)	0/4 (0%)	0/3 (0%)	1/5 (20%)	2/5 (40%)	0/4 (0%)	0/4 (0%)	2/7 (29%)	4	3
Above G8	1/5 (20%)	0/5 (0%)	0/6 (0%)	1/5 (20%)	0/6 (0%)	0/3 (0%)	0/6 (0%)	1/3 (33%)	2/8 (25%)	0/2 (0%)	3	2
Total	3	1	1	2	1	4	2	4	2	2	9	13

Note: due to the nature of the promotions cycle and hence the timing of applications and outcomes, the data on the size of the "pool" may not match the staffing data provided in other tables which is based on the census date for staff data.

Between 2014 and 2018:

- 22 staff applied for promotion, 21 were successful
- 13M staff applied - 92% success
- 9F staff applied - 100% success
- four applications at Professor level (3M, 1F - 100% success), two at Reader level (2F - 100% success)

These success rates are high, reflecting in part the quality of the support provided but also maybe the disincentive of the "2-year rule", which encourages a more conservative approach. The eligible pool for promotion to a higher grade consists of staff at the grade immediately below in the year promotion applications are made (i.e. the year prior to the 'success' year). The pool for Professorial level is all G8 and G8R because there is not a linear progression that first requires promotion to Reader: G8 staff can apply for promotion to either Reader or Professor. The position of Reader has high status at UoY. We do not account for the time at which individuals joined the eligible pool, i.e. it includes those recently appointed or promoted who are in practice not eligible. In particular, extra recruitment at G6 in 2017 inflates the size of the eligible pool for the following year as many will have been newly recruited.

Numbers are small, especially above G8 level. At the most senior levels, the pipeline has improved dramatically. We have an increasing proportion of female staff at senior levels through successful promotions (see 4.2(i)).

IMPACT

As a result of various actions to strengthen our promotions process and make it more formalised and transparent, our promotion success rate has been 95% over five years (92% men, 100% women) and we have created a stronger pipeline of females to the most senior positions.

The impact of the bank of CVs was highlighted by the resource being used by 14 applicants (100% of G7 and G8 applicants in most years since it was started) with 50/50 gender split in those accessing it. Ten of the 12 respondents to the 2018 RPS found the bank of CVs useful:

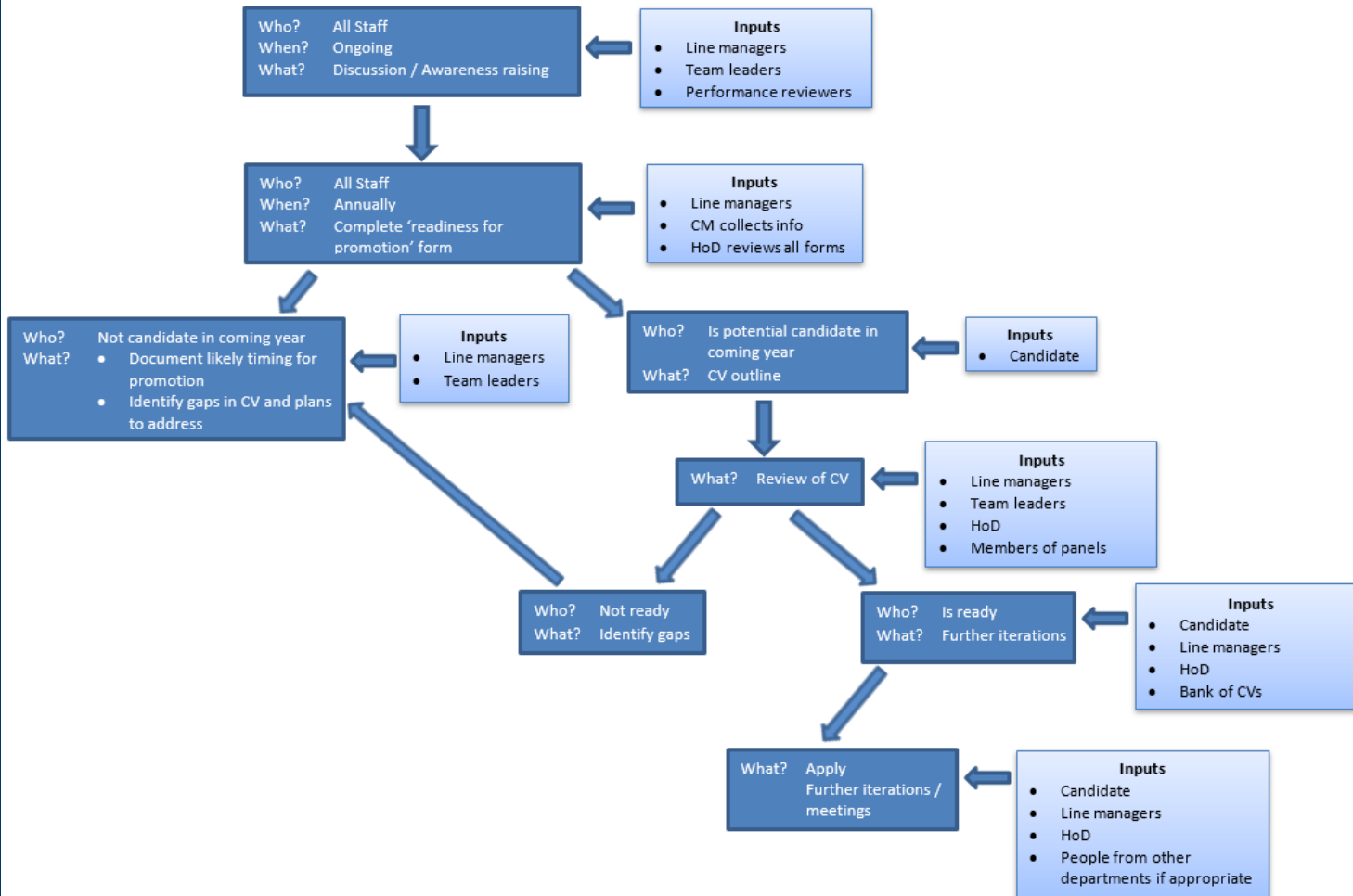
The bank of CVs gave me useful ideas of how to articulate and frame a strong statement for the promotion.

Research staff (F)

Having such a resource allowed me to understand something about what was expected to achieve promotion which is not readily available from the University centrally.

Research staff (M)
2018 RPS

Picture 4: Flowchart of promotions process in CHE



The impact of our extended support for preparing for promotion is evidenced through increasing positive responses in our SCS over time:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
I understand the process/support CHE provides in relation to the University's promotion process	75%	77%	82%	7%	5% ↑

Of some concern was the SCS finding:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
CHE values the full range of an individual's skills and experience when considering promotions	77%	65%	69%	-9%	4%

All respondents in the 2018 RPS said they were sufficiently supported in developing their application:

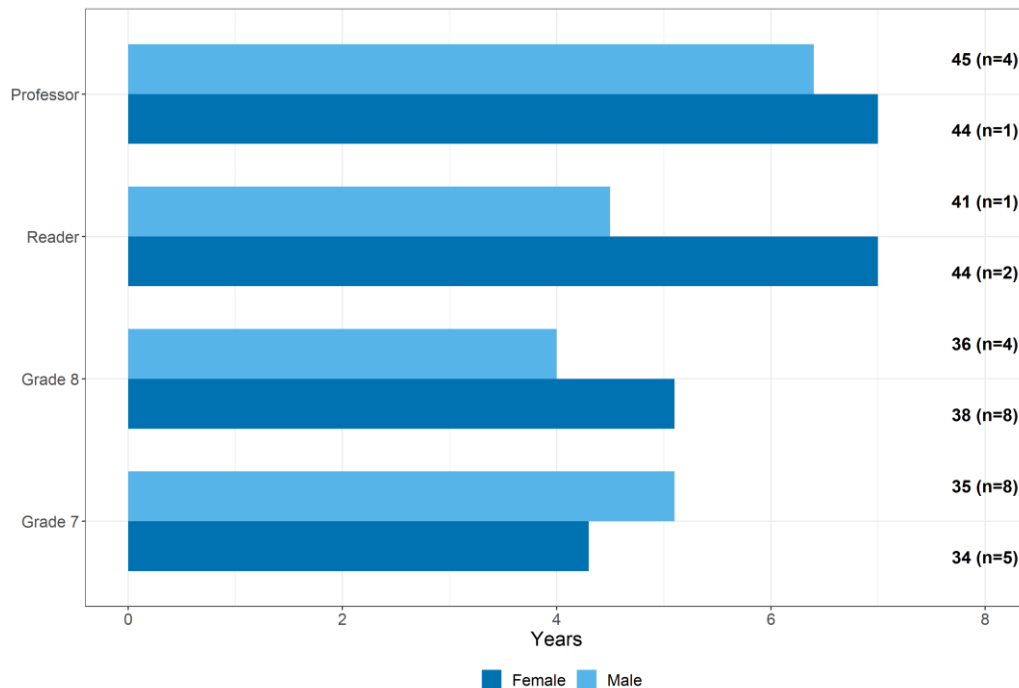
The HoD discussed with me in detail for a number of years beforehand, what areas of my career development I needed to focus on, and even helped identify some external roles that helped build my profile for my CV.

Research staff (F)
2018 RPS

Feedback in the RPS on support from CHE in promotion was almost entirely positive. Some did express frustration with the lengthy UoY promotions processes. Staff also suggested the need to ensure transparency around how maternity leave is taken into account.

There is a long lead time to support staff through the pipeline to senior grades, where female staff are most under-represented. We consider whether the pleasing data on male/female promotion rates is hiding gender differences in the length of time staff stay at a particular grade before promotion.

Figure 12: Average time (years) in previous grade and average age at promotion, numbers in brackets, data from 2008-2018



Note: the data does not take account of career breaks. These are more common for females than males in CHE and apply to several of those promoted to mid and senior positions over this period.

Although small numbers make interpretation difficult, promotion beyond G7 seems to take longer for females than males (and is largest at Reader level), although age at promotion is fairly similar and for promotion to Professor, the differences are small.

Despite our success in getting *more* females promoted to G8 and above, there may be a lag before the policies we have put in place allow female staff to catch up in terms of the *speed* of their promotion. The data highlight the need to monitor this closely.



Action 1: Address imbalance of gender in professoriate and encourage further the advancement of female members of research staff through internal promotion.

- 1.1 Run focus groups with research staff in G8 and G8R to explore any barriers to progression and then generate an action plan
- 1.2 Audit the “readiness for promotion” forms to check the pipeline to female representation at senior levels
- 1.3 Include length of time on grade on “readiness for promotion” forms to ensure realistic timescales are considered in discussions with LMs
- 1.4 Monitor time on grade before promotion, especially at the Reader/Professor level
- 1.5 Encourage further sharing of draft promotion applications outside of research team and outside of department where appropriate
- 1.6 Lobby the University to consider a faster or more frequent promotion process

- 1.7 Lobby the University to be explicit in its promotions criteria around how it deals with maternity / extended parental leave / PT staff
- 1.8 Survey staff to increase understanding of staff perceptions about range of skills considered for promotion

(iv) Department submissions to the Research Excellence Framework (REF)

Provide data on the staff, by gender, submitted to REF versus those that were eligible. Compare this to the data for the Research Assessment Exercise 2008. Comment on any gender imbalances identified.

The majority of CHE’s staff are submitted into health-related UoAs. In both rounds, a small number were submitted into other UoAs e.g. Nursing and Economics. The main (health-related) submissions in each round were led by a team of senior staff from the departments involved and reflected a gender mix: 1M/2F (2008); 2M/3F (2014).

At UoY, the policy is that inclusion in REF is not a key to promotion and this was made clear at CHE staff meetings.

Table 15: Eligible and submitted staff in CHE in the RAE in 2008: FTE included for joint appointments

	Eligible		Submitted		% staff submitted as proportion of eligible staff	
	Headcount	FTE	Headcount	FTE	Headcount	FTE
Female	6	4.4	6	4.4	100%	100%
Male	15	13.08	15	13.08	100%	100%

Note: The numbers in the table include members of staff for which a case of research independence was made: total 7 (6.2 FTE - females: 3.2 FTE; males: 3 FTE).

Table 16: Eligible and submitted staff in CHE in the REF in 2014: FTE included for joint appointments

	Eligible		Submitted		% staff submitted as proportion of eligible staff	
	Headcount	FTE	Headcount	FTE	Headcount	FTE
Female	8	7.35	7	6.35	87%	86%
Male	13	10.3	13	10.3	100%	100%

Note: The numbers in the table include members of staff for which a case of research independence was made: (2 FTE – females: 2 FTE).

Submission rates for CHE (Tables 15 and 16) are high but numbers are small. Submission rates were equal in 2008 and male staff had a higher chance of being submitted than female staff in 2014 (as one FT female was not submitted). There are FT and PT staff in both male and female figures. PT staff have as much chance as FT staff of being submitted.

CHE wrote three impact case studies (2014) which drew together work across a number of departments. Analysing the individuals involved in the research from York (not just

CHE), reveals that one included males only; another included 9M/6F; the third included 7M/4F. All work was collaborative with both males and females in other institutions. This pattern reflects the lack of females in senior positions in CHE in the past.

5.2. Key career transition points: professional and support staff

(i) Induction

Describe the induction and support provided to all new professional and support staff, at all levels. Comment on the uptake of this and how its effectiveness is reviewed.

Induction for PSS follows the same procedures as for research staff (see 5.1(ii)). Key features include initial meetings with the CM and LM, a comprehensive induction document, a buddy and an open-door policy. In addition, PSS are provided with an introduction to systems and processes relevant for PSS, career development information and support available in the team. The 2016 CIS showed that 100% of PSS feel welcome in CHE and 92% feel sufficiently supported.

I liked the fact that everything I needed for my induction was provided so I didn't need to start asking around if I needed to know something.

Support staff (F)
2016 CIS

(ii) Promotion

Provide data on staff applying for promotion, and comment on applications and success rates by gender, grade and full- and part-time status. Comment on how staff are encouraged and supported through the process.

PSS roles include CM, administration (supporting research teams, short courses and centre administration), finance, project coordination and computing.

UoY has a role review policy in place for PSS rather than promotion. Advancement relies on the current role changing significantly, such that an increased level of skills and knowledge is required. The role review procedure is then followed by updating the job description and submitting an application.

CHE has put in place a pro-active process to manage role review:

- The LM ensures all candidates are considered annually by completing a form to update the HoD on each PSS member's development. This also identifies opportunities for nominations for awards.
- Staff are informed they can ask for their role to be considered for review and the CM, HoD and HR Manager will assess if appropriate.
- Support is provided by the LM who drafts the application, holds meetings with individuals and liaises with HR.

As a result of these actions and CHE's commitment to provide opportunities for PSS, between 2014-2018, three applications (three to G6) have been submitted with 100% success (all female - one FT, two PT). Some staff have been supported through multiple successful role reviews and progressed through several grades within CHE, echoing the 'growing our own' principle.

IMPACT

As a result of CHE's pro-active process to manage role review, CHE has had 100% success rate with role review applications for PSS.

The 2018 RRS had 100% agreement on the following:

- Information provided was helpful
- Staff were suitably encouraged to apply at the right time
- Were supported in developing the application
- Were encouraged to engage with peers in other departments
- Were encouraged to explore and take up training opportunities to expand existing role and career opportunities
- Successful role review was celebrated in CHE

In the 2018 SCS 85% of PSS agreed they understand the process/support CHE provides in relation to the UoY role review process. One suggestion was made to make HR resources easily accessible.

We had frequent meetings every few weeks during which she (my line manager) reviewed progress and provided additional guidance/ advice. The application was jointly prepared with a lot of direct input from my line manager, including developing the organisational structure diagram and job description, and obtaining additional comments/ reviews from others. Our HoD also reviewed the final draft version and provided valuable comments. Throughout the entire process, I felt very supported.

PSS (F)
2018 RRS

The PSS staff team (17F/1M) has high retention with only three leavers (including two retirements) in the past ten years. Feedback from the Action Plan Survey suggested the need to scrutinise recruitment processes to support improving the future gender mix of PSS.



Action 2: Encourage the career development of PSS through role review.

2.1 Promote career development information and guidance on the EDAT website, and generic job descriptions on HR website to increase awareness of resources available and how to plan /

navigate processes. Add to PSS meeting agenda and circulate links to PSS.

2.3 Analyse PSS recruitment data and processes to support future improvement in the gender mix of PSS staff.

5.3. Career development: academic staff

(i) Training

Describe the training available to staff at all levels in the department. Provide details of uptake by gender and how existing staff are kept up to date with training. How is its effectiveness monitored and developed in response to levels of uptake and evaluation?

Training needs are identified at probationary review, PR and 1:1 meetings with LMs. In addition, staff are encouraged to develop skills through participating in projects, attending and presenting at meetings and conferences.

Staff have access to an extensive catalogue of training courses offered by UoY promoted by monthly email; courses vary in duration and delivery (online, webinar, classroom, practical) to ensure as much of the training is compatible with staff access requirements or working-hour arrangements. Popular courses are often oversubscribed. When appropriate we have organised bespoke training in response e.g. "Chairing Meetings" training scheduled for 2019.

UoY offers specialist training courses tailored to specific staff groups in different roles and career stages, from soft skills to technical training to leadership and management e.g. Springboard programme was promoted with one female academic applying successfully in 2018.

There are compulsory training courses in health and safety, and information. Staff involved in recruitment or LM duties are required to undertake training in 'Recruitment & Selection', 'Unconscious Bias Awareness in Recruitment & Selection' and 'Performance Review & Development' prior to sitting on an interview panel or delivering PRs. CHE has decided to make unconscious bias awareness and E&D training mandatory (90% completion). As a result of CHE's actions, staff views have changed.

I realised that I tend to imagine that a professor is a white older male when this is not necessarily the case. Thanks to the training on 'Unconscious Bias' I'm now aware of this and I actively try to address it.

Research Fellow (F)
2018 SCS

Between 2014-2018, 58% of research staff completed at least one internal classroom training course, with a greater proportion of male staff (56%) completing training compared to females (44%).

Over the same period, 34 staff (56% male/ 41% female) attended our short courses (see Section 2). These provide an important training opportunity, often planned as part of induction for new starters but also for staff wanting to develop skills in a new area.

All staff are financially supported to undertake external training courses, with needs identified as part of probation and PR. No budget constraint is applied for training needs.

Since January 2015, 88 research staff (41M/ 42F, five undisclosed) completed external courses.

Staff have undertaken training as Mental Health First Aiders (3F/1M).

After completing any training course, staff are encouraged to complete a review of their experience. Feedback is collated and published on the intranet. This process was reviewed in 2018 in consultation with LMs and the feedback report adjusted to make it easier to identify relevant courses.



Action 14: Encourage high participation in appropriate training activities for all staff.

14.1 Lobby UoY for more dates for popular training courses (e.g. chairing meetings), or organise CHE specific versions of UoY training courses when oversubscribed, promote external training courses more, including on-line courses.

(ii) Appraisal/development review

Describe current appraisal/development review schemes for staff at all levels, including postdoctoral researchers and provide data on uptake by gender. Provide details of any appraisal/review training offered and the uptake of this, as well as staff feedback about the process.

Uptake of PR in 2018, by those eligible for review, was 100% (27M/17F). Staff on temporary appointments, maternity leave, low FTE, those leaving, or in their probationary period (first eleven months) are not eligible; the latter have probationary review meetings instead.

The UoY scheme was updated in 2015 and again in 2018. PR is in two parts - a meeting at the start of the annual cycle to agree objectives and a meeting at the end to review and rate achievement and plan the following year's objectives. The review covers career aspirations and development needs, and longer-term goals. Staff rate their own performance (five-point scale from 'Excellent' to 'Needs Improvement'). The LM discusses this with the individual and also provides a rating.

UoY gave staff the opportunity to take part in consultation meetings about the new scheme in 2015 and the update in 2018 and it was discussed at CHE staff meetings. UoY provided training for all *reviewers* and 100% (18 reviewers: 10M/8F) attended the training. UoY recently made available an on-line training module for *reviewees* to support form completion which we have promoted to staff.

The HoD met with all LMs ahead of the first round of the new scheme in 2015 and update in 2018 to discuss a consistent approach and also met again after, to give and receive feedback. The HoD sees all ratings and raises any issues of consistency with reviewers.

Meetings take place in a confidential environment and last at least 1.5 hours. 2017 UoY survey results show:

- 93% valued the opportunity to have a PR (increase from 86% in 2011, 20% above FSS average)
- 96% find it useful in identifying strengths and achievements (25% above FSS average)
- 89% find it useful in providing constructive feedback for areas of development (27% above FSS average)

IMPACT

As a result of CHE's actions to ensure all reviewers are trained and PR is regularly discussed at LM meetings to share best practice and ensure consistency, 2018 SCS results show 93% of staff report they receive 'a helpful annual appraisal' (23% increase on 2013).

As well as the annual PR meeting, staff are offered informal interim meetings to discuss PR and LMs are routinely reminded by the CM to offer these to reviewees. Take-up is variable since staff already receive feedback during regular 1:1 meetings with LMs.



Action 14.2: Refresh PR training every 5 years

(iii) Support given to academic staff for career progression

Comment and reflect on support given to academic staff, especially postdoctoral researchers, to assist in their career progression.

ECRs are supported to take up career development opportunities e.g. courses, conferences, varied project work. The SCS found:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
I am actively encouraged to take up career development opportunities	81%	77%	87%	5%	10% ↑

Whilst we aim to provide support for career advancement, we are cognisant that not all staff are constantly striving for promotion. Some have other priorities and are content with their job, a view sometimes expressed in PRs.

In 2014 there were five LMs (2F/3M) and following a review this was increased to 20 LMs (11F/9M) by 2015, creating more opportunities for LM experience, which in turn improves staff access to advice and informal mentoring. The female representation in management in the department has increased, providing additional role models. This has had an impact.

The introduction of additional line managers has been very helpful in allowing more frequent communication with managers, particularly in considering career planning and workload.

Research Fellow (M)
2018 SCS

Two (F) staff are members of the UoY Research Concordat Implementation Group to support career development and regularly provide feedback on developments at staff meetings.

We actively promoted the UoY coaching scheme to all staff via presentations at staff meetings. In the past five years two G8s (1M/1F) took up coaching, both finding it useful. Two Professors (1M/1F) trained as coaches as part of leadership courses, as did one member of PSS (1F), and all use it in their roles as LMs.

UoY rolled out a formal mentoring scheme in 2018 which has been promoted in LM and staff meetings. Two staff (1M/1F) put themselves forward to be trained as mentors with a number of staff signing-up as mentees.

There is funding to support all members of research staff to attend conferences, allocated at team level, either via grant or departmental general funding and all staff are encouraged to attend at least one conference per year.

Opportunities to take on duties form a key part of career progression since promotion criteria at UoY include aspects of “citizenship”, which includes AS. CHE encourages staff to take on such roles.

Since the Bronze we have taken a more formal approach to the allocation of citizenship roles, regularly reviewing vacancies and new roles at SMT meetings. We advertise these across the department (unless they are very specialised), asking for expressions of interest and nominations. Decisions are made by balancing previous opportunities, promotion and staff members’ current CV.

There has been a noticeable increase in focus on equality and diversity, especially in handling opportunities to undertake citizenship roles.

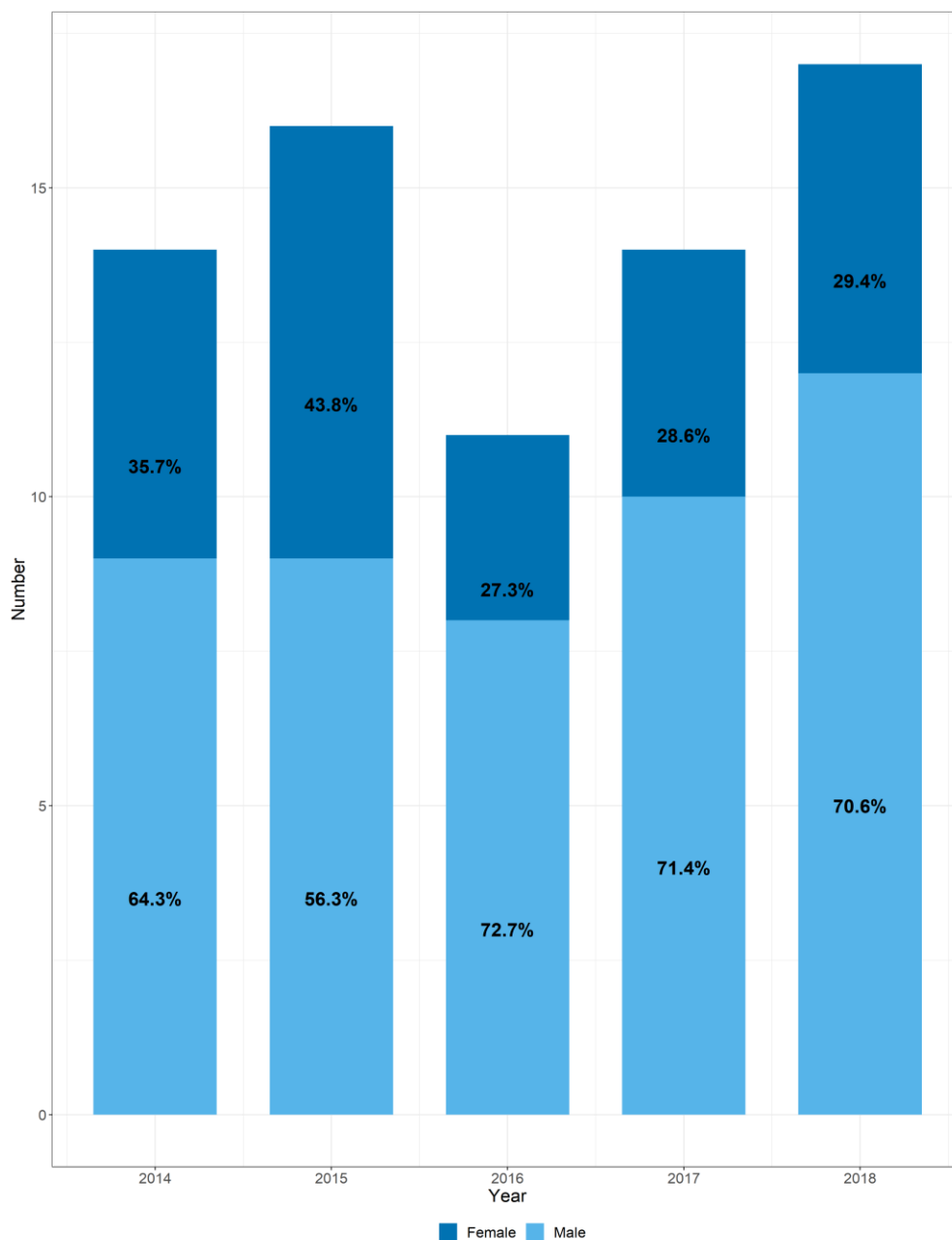
Professor (M)
2018 SCS

CHE offers practical experience to assist with career development opportunities e.g. sitting on PhD student TAPs, becoming PhD secondary supervisors, and supervising summer placement MSc students for those with little experience in order to enhance

their CV. Staff with an interest in supervising placements, are asked to put forward a brief proposal. Students then apply and DERS allocates students to projects according to students' preferences and skills. Previous supervisors (male and female) have provided feedback at staff meetings. LMs are encouraged to discuss opportunities for supervision with staff.

Figure 13 displays the gender breakdown of placement supervisors. Students often have more than one supervisor. Males tend to be overrepresented among supervisors, which may reflect the greater proportion of male staff at G6.

Figure 13: MSc summer placement supervisors in CHE, by gender



The EDAT circulated information on funding for PGR students to staff to make them aware of opportunities to attract students and gain supervisory experience. We clarified with the relevant teaching departments what experience was required for supervision

and produced guidance called “widening the pool of PhD supervisors” which was discussed at staff and LM meetings and added to our intranet. As a result, we added (4F/5M) to the pool who had no prior supervisory experience.



Action 3: Further encourage the advancement of female members of research staff through supporting their career development.

- 3.1 Promote the new UoY mentoring programme to all staff and monitor take-up by gender (mentors and mentees)
- 3.2 Encourage annual conference contributions and monitor uptake, by gender



Action 10: Encourage more females to take up supervisory opportunities.

- 10.1 Promote MSc supervision as useful career development opportunity
- 10.2 Be more proactive in encouraging females to supervise PhD students (e.g. becoming TAP members first). Encourage existing supervisors to share opportunities
- 10.3 Encourage CHE PhD supervisors to ensure that at least one member of supervisory team / TAP is female

(iv) Support given to students (at any level) for academic career progression

Comment and reflect on support given to students at any level to enable them to make informed decisions about their career (including the transition to a sustainable academic career).

Support and guidance for PhD students is provided by: the supervisor, who holds an informal mentoring role, members of the TAP, CHE student representatives and members of the research team to which the student belongs.

The TAP consists of the student’s supervisor(s) and two senior members of staff - usually a mixed gender group - with expertise in the research area. The student meets the TAP at least every six months to receive feedback, discuss research plans and training and development needs. The TAP advises on appropriate dissemination and networking. CHE students are encouraged to attend HESG, a key conference which gives preference to PhD students to present and benefit from high quality feedback. CHE allocates a training allowance of £1,000 over three years⁴ and DERS also has financial support available for training.

Between 2013-2017, 20 students (14M/6F) attended our short courses. Since August 2015, six students (M) completed external training courses.

Since 2006, 19 students have become members of staff. Existing staff members are also supported to do PhDs alongside their research careers.

⁴ Except if they have other financial support / fellowship.

The GRS at UoY has a career service and a Research Excellence Training Team that offers workshops and training and CHE encourages participation, along with other events (e.g. 3-minute thesis challenge). UoY belongs to the White Rose University Consortium⁵ which offers students training and skill enhancement sessions, and a doctoral conference to facilitate collaborations with other member institutions.

I would highly recommend CHE as a place to study. The atmosphere is very collegial and supportive, making it easy to discuss ideas with anyone, including senior members of the department.

PhD student (M)
2018 CSS

In the 2018 CSS, 100% of PhD students agreed that they felt supported during their PhD studies. However, only 60% agreed that they felt supported in terms of information on career options or CV building. Some mentioned they would like more opportunities for feedback and others raised the issue of the training allowance being limited.

IMPACT

As a result of actions to include students within team structures, and to extend the 'buddy' system to PhD students in 2016, in the 2018 CSS, 100% of students said they felt supported during their PhD studies at CHE in terms of working environment, access to information and contact and integration with more senior staff members.

It proved useful to have someone to refer to if needed at the start of the PhD.

PhD student (F)
Feedback on 'buddy' system introduced for PhD students



Action 8: Strengthen career development support for students in CHE.

- 8.1 Encourage uptake of careers seminars already run in DERS and circulate information on UoY training and development opportunities for students
- 8.2 Circulate information to all of CHE and encourage attendance at PhD student upgrade seminars in DERS and DoHS to provide feedback
- 8.3 Ensure inclusion of students on committees where appropriate to enhance career development opportunities

⁵ The White Rose University Consortium is a strategic partnership between three research universities: Leeds, Sheffield and York: <https://www.whiterose.ac.uk/>

8.4 Increase training allowance budget from £1,000 to £1,500 over three years



Action 11: Further strengthen induction process.

11.4 Include in induction document information on careers seminars for PhD students

(v) Support offered to those applying for research grant applications

Comment and reflect on support given to staff who apply for funding and what support is offered to those who are unsuccessful.

UoY provides training on grant writing and senior CHE staff have co-designed and co-delivered a bespoke training session for CHE, with staff from UoY, in which examples of successful and unsuccessful applications were discussed and best practice drawn out. This successful initiative was rolled out by UoY to other departments. One of the aims was to demonstrate that rejection is experienced by everyone and can be used positively to improve future applications.



CHE staff co-designed and co-delivered a bespoke training session on grant writing which has been rolled out by UoY to other departments.

We have put in place various actions to support grant applications for PIs:

- resources on our intranet e.g. institutional CV, a list of members of CHE on funding panels, a “fellowships” database (details of opportunities across funders, deadlines, criteria, success rates and copies of successful CHE applications), presentations from meetings/training to aid grant writing
- provision of mock interviews for shortlisted candidates of fellowships, drawing on expertise from CHE and UoY
- mechanisms for staff to prepare applications collaboratively with more experienced staff taking a lead, and for junior staff to contribute
- encourage ECRs to take advantage of UoY pump-priming funds, which allows them to undertake preliminary work for external grant applications
- CHE is piloting its own pump-priming fund for activities not covered by UoY
- following consultation with staff we reviewed and updated internal grant review systems and at least two senior staff review each application
- guidance on review system is on the intranet, including notes for reviewers about communicating comments in a constructive manner
- a mandatory “resource form” which allows reviewers and finance staff to: (a) monitor which staff members’ input is ear-marked for projects, provide early warning of potential overload for individual staff if bids are successful, plan for potential recruitment; and (b) check that adequate funds for training, conferences and open access are requested, thus facilitating career development.

This is having an impact; whilst males are still more frequently named as PIs (reflecting higher numbers of senior male staff), the balance has started to shift as more females are now PIs (Table 17). Whilst there is some variability between years, the trend to higher participation of females is clear. Looking back to 2012 and 2013, where the proportion of females applying was 11% and 13% respectively, the increase to 41% is a strong indication of progress.

Table 17: Grant applications submitted and successful by gender of PI

Year	Applications		Success Rates	
	Female PI	Male PI	Female PI	Male PI
2014	12 (25%)	35 (75%)	3 (25%)	11 (31%)
2015	7 (16%)	38 (84%)	4 (57%)	14 (37%)
2016	12 (26%)	35 (74%)	5 (42%)	18 (51%)
2017	13 (22%)	46 (78%)	7 (55%)	21 (45%)
2018	20 (41%)	29 (59%)	7 (35%)	19 (65%)

Note: Applications: Proportion of total number of grants submitted by F/M
 Successful: Proportion of applications submitted by F/M that were successful
 In 2018, success rates exclude 5 applications that are pending a decision (one led by female, four by males)

IMPACT

Following a number of actions to support PIs, including training and reviewing applications, the number and proportion of grant applications with female PIs has increased substantially from 11% in 2012 to 41% in 2018.

Overall in the last five years, average success rates are similar (43% female, 46% male). The numbers are too small to interrogate differences in PT and FT staff but as many of our senior female staff are PT (40%), they are regularly appearing in applications, and are at least as likely to apply for grants as their FT equivalents.

The two most recent successful post-doctoral fellowship applications (from NIHR) have been for female (G6) researchers. The most recent RCUK fellowship was for a male from a minority ethnic group.

We also have in place actions to support CIs, as research grant success is a major factor in promotion:

- CHE has a policy of naming all staff working on the project as CIs wherever possible (e.g. where funder allows)
- UoY has a system whereby “academic effort” can be recorded, reflecting the fact that sometimes CIs may have a much larger role than the PI, even where they are less senior
- CHE has lobbied UoY that the “academic effort” process can be applied for staff who made a contribution to the grant proposal, but cannot be listed on the grant as CIs e.g. due to restrictions on number of CIs or funder policies on CI definitions. UoY’s system now allows this information to be recorded - named researchers can be added as ‘additional’ CIs on successful grants and can also be added retrospectively via a request to the research office.



CHE lobbied UoY to allow credit to be given to additional CIs on successful grant applications where they could not otherwise be named and UoY research management systems have now been changed which is important for recognition in promotion processes.

As a result, a recently successful large grant from CHE (3M/2F PI/CIs) has an ‘additional’ six CIs (4F/2M ranging from G6 to G8) recorded. PIs have to initiate the process on the system and not all PIs yet do this routinely.

Until 2017, we had no departmental system for automatically retrieving lists of CIs for grants so we amended our processes as part of our AS action plan and now collect this data prospectively, along with details of the amount of grant requested. Data on gender of CIs (Table 18) suggest that although the proportion of grants with female CIs has increased, there is not a sufficient time series yet to detect trends. While there has been a significant increase over the two years in average size of grant awarded to female CIs and the amount is higher than for male CIs (by an average of £200k), there is not yet enough data to allow firm conclusions to be drawn.

Table 18: Grant applications submitted and successful by gender of CIs

Year	Applications		Success Rates	
	Female CI	Male CI	Female CI	Male CI
2017	17 (30%)	39 (70%)	11 (65%)	22 (56%)
2018	7 (39%)	11 (61%)	4 (57%)	7 (64%)

Note: Applications: Proportion of total number of grants submitted by F/M

Successful: Proportion of applications submitted by F/M that were successful

In 2018, success rates exclude 5 applications that are pending a decision but there is only one CI (male) involved in these. The numbers refer to actual CIs on the grant application rather than on the internal UoY research management system.



Action 9: Increase in the number of grant applications submitted by female PIs and CIs towards gender parity.

- 9.1 Prospectively collect and monitor PI and CI grant application rates and proportion of applications submitted by gender, including amount requested, acting on trends and changes
- 9.2 Encourage CHE PIs to routinely use the UoY process, lobbied for by CHE, whereby non-CIs can be given credit for their input to applications
- 9.3 Devise a data repository of which staff have had success with particular funders, whereby CHE research finance staff can routinely inform potential applicants about previous grant applications to a particular funder in order to gather insights from others’ experience
- 9.4 Monitor uptake of pilot pump-priming scheme in CHE to support grant applications and impact activities, by gender

5.4. Career development: professional and support staff

(i) Training

Describe the training available to staff at all levels in the department. Provide details of uptake by gender and how existing staff are kept up to date with training. How is its effectiveness monitored and developed in response to levels of uptake and evaluation?

Training for PSS is available through:

- Personal development and IT courses are provided by UoY's Learning and Development office. Uptake is recorded on the UoY Learning Management System.
- CHE supports staff on external courses, e.g. one of the Finance and Research Support Officers achieved the AAT (Accounting) qualification through York College.
- Support staff share skills and train each other in how to use particular IT systems, and have compiled a list of expertise on the intranet and access to software programmes to share. PSS are encouraged to spend time with each other to share skills, and have reported finding this helpful and increased understanding of each other's roles.

Between 2014-2018, 68% of support staff completed at least one internal classroom training course. 15 out of 16 PSS are female, and we cannot draw conclusions on proportional difference in uptake of training by gender. 100% of PSS have completed E&D and Unconscious Bias training.

PSS are supported to undertake management and leadership training to support them in their current roles and help towards role review e.g. one staff member completed the UoY Management in Action programme in 2018 (1F); the Springboard initiative was widely publicised and one successfully applied (1F); two PSS completed the UoY Project Management training (2F).

PSS are encouraged to practise new skills, develop personal skills and are given opportunities e.g. to chair a recruitment panel, take on LM responsibilities, take on UoY roles, participate in UoY process reviews, and join an AdvanceHE AS panel. Staff also contribute to networks/forums to support development of processes in UoY e.g. finance systems.

Staff are kept up to date through the monthly HR Learning & Development newsletter. Specialist training activities are sent via the CM (e.g. Professional@York material which is a series of events and development opportunities to celebrate and advance the careers of PSS at UoY). PSS also actively encourage one another to undertake training e.g. UoY GoogleDocs training courses.

I always had full support and encouragement to pursue training opportunities, and received great advice on useful training courses. Having on-going discussions about possible accredited training opportunities, and feel that I would receive good support from my line manager to undertake these types of courses in the future.

PSS (F)
2018 SCS

(ii) Appraisal/development review

Describe current appraisal/development review schemes for professional and support staff at all levels and provide data on uptake by gender. Provide details of any appraisal/review training offered and the uptake of this, as well as staff feedback about the process.

PSS take part in the same annual PR process with their LM as research staff. 100% of PSS have the annual PR. Meetings include discussion of achievements, training, career development and work-life balance. Interim review meetings are offered as well as 1:1 meetings.

2017 UoY survey results for PSS show:

- 94% find it useful in identifying training needs and development opportunities
- 100% find it useful in reviewing strengths and achievements
- 88% find it useful in providing constructive feedback for areas of development
- 94% agreed it helped them maintain or improve performance

The SCS for PSS showed:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
CHE provides me with a helpful annual appraisal	67%	93%	92%	25%	-1%

Of some concern was the finding:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
CHE values the full range of an individual's skills and experience when carrying out performance appraisals	100%	64%	69%	-31%	5% ↑



Action 2.2: Survey PSS to increase understanding of perceptions about range of skills considered for performance review.

(iii) Support given to professional and support staff for career progression

Comment and reflect on support given to professional and support staff to assist in their career progression.

The CM provides support for staff wishing to pursue opportunities for advancement. Information on career development is promoted via induction materials, PR meetings, and the EDAT have added a section on the website for PSS development (Picture 5) including:

- Policies on role review
- Resources to manage career e.g. Personal Career Development Plan, job library showing differences between grades
- Links to career resources on HR webpages
- Opportunities for development and networking e.g. Professional@York, UoY staff forums, training

Picture 5: Webpage excerpt on support staff development

The screenshot shows a navigation bar with tabs: EDAT, Athena Swan, Equality and Diversity, Training, Case Studies, Support Staff Development (selected), and Activities. The main content area has the heading "Professional and Support Staff – Information on career development". Below the heading is a sub-heading: "Thinking about developing your career further? Here are some resources and suggestions, which you may find useful." The text continues: "The University is committed to providing a framework that supports and encourages the development of staff, in line with the delivery of the UoY's corporate plan and departmental objectives. There is a 'Staff development policy', which you can find [here](#)." It then discusses developing a career at the UoY and provides a link to "Role Review" for existing roles. A section titled "Career Development" is mentioned, with links to "administrative, management and professional staff". A bulleted list follows: "Comparing the typical responsibilities and duties at each grade", "Understanding how you can make the next step if you want to move up grades", "Making a plan to take control of your career", and "Listening to other staff discuss their own career development". The text concludes by mentioning the "Professional and Career Development Plan (PCDP)" and "Performance Review".

PSS are encouraged and supported in applying for roles on a higher grade within CHE and in UoY e.g. advertising posts internally, providing training opportunities. We changed the role title of Secretary to Administrator for G4 positions to reflect the changing nature of the roles and reduce stereotypical connotations, making the role more attractive to both genders.

The secondment policy has been circulated to PSS staff and discussed at team meetings to provide help with career plans. There has been no up-take to date, mainly as opportunities have been in areas of limited interest to CHE staff (e.g. student records).

CHE hosted a UoY graduate on the Ambitious Futures scheme (1F), providing career guidance, support and mentoring, at the end of which she was promoted to a higher-grade post.

Discussion of career development takes place at PR. PSS are actively encouraged to take up opportunities for development e.g. training, apply for Springboard Programme, networking. Opportunities for developing experience in LM have been taken up by three members of PSS.

PSS are regularly nominated for awards to acknowledge and celebrate achievements and enhance future career development e.g. Making the Difference, Professional@York awards and these and other achievements e.g. role review are celebrated in CHE.

The CM has promoted the Professional@York programme and encouraged participation in these activities including the Professional@York Conference. Five members of PSS were nominated and shortlisted for Awards for the 2016 Conference (Picture 6), one of these received an award (Picture 7) and three were nominated in 2018.

Picture 6: Shortlisted CHE staff nominees at Professional@York conference celebrating achievements of PSS at York



Picture 7: CHE award winner (left) at Professional@York conference



Two members have attended Development and Assessment Centres (DACs) and a further three members have expressed interest in future rounds and will be supported in applying.

The UoY Making the Difference Award Scheme provides recognition and a financial reward to staff for exceptional contributions. CHE replicates this in a departmental scheme. Six members of PSS have been nominated for CHE’s Making the Difference Awards and all have been successful adding this mark of esteem to their CVs.

As a result of this proactive support, the SCS results for PSS suggest:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
I am actively encouraged to take up career development opportunities	78%	86%	85%	7%	-1%
CHE provides me with useful networking opportunities	67%	79%	85%	18%	6%

5.5. Flexible working and managing career breaks

(i) Cover and support for maternity and adoption leave: before leave

Explain what support the department offers to staff before they go on maternity and adoption leave.

We have developed a comprehensive (81-page) Maternity, Paternity and Adoption leave document. This brings together all HR policies alongside CHE-specific guidance and support and is regularly updated. The policies apply to all staff regardless of contract type.

Picture 8: CHE Maternity, Paternity and Adoption leave document

CHE Maternity, Paternity and
Adoption Leave Information,
Guidance and Policy Document



Staff are required to inform their LM and the CM of their pregnancy and intention to take maternity leave. We ensure staff have the information and support they need to plan appropriately:

- The CM sends the link to the CHE maternity guidance, explains which forms need to be completed by when, and answers any queries.
- The LM meets the staff member to discuss options and possible arrangements during and after leave and start planning how work will be covered. Support starts by ensuring that their contribution is respected during their absence. Since research is intrinsically intellectual property and the pregnant researcher may need to pass on their work to colleagues, discussions take place to ensure there is the opportunity to be an author on published work.
- Sometimes the pregnant researcher passes work to new staff recruited to cover and acts as their supervisor before and after her leave. CHE has recruited two paid interns for a period of a year in order to fill temporary gaps, however this depends on the nature of the individual's funding e.g. individuals on a fellowship will not require cover as the work can pause while she is on leave. In some cases, project work can be redistributed amongst team members if this does not cause overloading.
- Arrangements are made to cover citizenship roles.
- For PSS we advertise a maternity cover post and allow an overlap for handover.
- Before staff go on leave we arrange a gathering in the common room to give them our good wishes.

We have not had any adoption leave requests but this is covered in the same way as maternity leave.

The UoY student pregnancy, maternity, paternity and adoption policy is included in the induction materials for PhD students and there is a link from CHE E&D webpages. We have not received any requests in this regard.

As a result of these actions, over the past five years, staff confirmed in the 2018 PLS they feel supported in planning leave and were provided with helpful support and guidance.

The support at CHE meant that I did not have to use a lot of time seeking out and interpreting University policy on parental leave. This was valuable to me during my pregnancy as it meant I could continue to focus on my existing research workload without having to devote a lot of time to organising parental leave.

Senior Research Fellow (F)

I am always inspired by the unquestionable support of the whole of CHE. It is of great comfort to know that whatever decisions people choose to make regarding having a family... that CHE will support them in any and all ways possible.

Research Fellow (M)

2018 PLS

(ii) Cover and support for maternity and adoption leave: during leave

Explain what support the department offers to staff during maternity and adoption leave.

We celebrate the arrival of babies in our newsletter and in the HoD annual presentation celebrating achievements. We encourage staff to bring their baby into CHE to meet everyone.



CHE lobbied UoY to install baby changing facilities in our building and we have received positive feedback on this improvement to our facilities.

Whilst on maternity leave, staff are kept up to date with key developments and training opportunities through agreed email arrangements e.g. information on the DAC was sent to staff on maternity. UoY maternity policy includes KIT/SPLIT days which research staff have used to meet with collaborators or a potential PhD student. Prior to returning, support measures are discussed and any request to reduce hours or make a staged return to work is agreed in discussion with the LM. Three staff requested to reduce hours. These requests were all approved.

In the 2018 PLS we asked if there was anything that could be improved in terms of support and most comments were very positive. Use of KIT/SPLIT days were found useful, but uptake was low. Suggestions were made about improvements that could be made around communication during leave and mentoring.

I made use of KIT days. I found them useful. I was well supported within CHE and as a consequence I found it very easy and straightforward to arrange KIT days.

Senior Research Fellow (F)
2018 PLS



Action 5: Improve support for staff taking parental / any extended leave.

- 5.1 Offer staff taking maternity / any extended leave mentors before going on leave to discuss research needs whilst on leave and on return
- 5.2 Agree with LM / CM beforehand what expectations are of going on parental leave with respect to communication whilst away and establish process for LM to know if/how/when to keep individual in the loop and on what topics, including any social events
- 5.3 Keep a routine record of KIT / SPLIT days and advertise KIT / SPLIT days usage, lobby Uni to expand HR webpages showing further examples / case study, point staff to leave calculator on website

(iii) Cover and support for maternity and adoption leave: returning to work

Explain what support the department offers to staff on return from maternity or adoption leave. Comment on any funding provided to support returning staff.

Staff are warmly welcomed back and have meetings with LMs and others to bring them up to speed. Regular review meetings take place to clarify objectives and help with reintegration.

Since 2014, we have offered those returning a 'buddy' who has previously been on maternity leave and can offer support (e.g. applying for tax-free childcare). Take up has been low since most staff already benefit from informal support in CHE. Our guidance document includes information on facilities for expressing milk, breast feeding and baby changing.

We realise it can be difficult balancing child illness with work and include information on 'Leave in Special Circumstances' and encourage LMs to have a flexible and friendly approach, allowing flexibility to work at home for short periods if needed.

Another challenging aspect for staff with young children can be being away from home to present at conferences. EDAT have developed information on video conferencing facilities available on campus to provide an alternative way to participate.

CHE are supportive of staff attending events such as parent/teacher meetings, school plays and sports days, and endeavour to meet requests for ad hoc flexible working.

CHE has provided me with lots of support since I returned to work part-time after two maternity leaves. They have recently recruited staff to relieve workload issues so that I can work flexibly and continue my career.

PSS (F)
2018 SCS

2018 PLS results showed that staff felt overwhelmingly positive about their experience and didn't have any suggestions for improvements. Planning of cover during leave had worked well in most instances, but a few respondents mentioned the need to better plan workload.



Action 5: Improve support for staff taking parental / any extended leave.

5.6 Discuss cover arrangements for maternity leave with line managers (at LM meeting) to ensure consistency in future

(iv) **Maternity return rate**

Provide data and comment on the maternity return rate in the department. Data of staff whose contracts are not renewed while on maternity leave should be included in the section along with commentary. Provide data and comment on the proportion of staff remaining in post six, 12 and 18 months after return from maternity leave.

Table 19 shows there have been four periods of maternity leave in 2014-2018 (two for research staff; two for PSS). On average, staff have taken 259 days (eight months) of maternity leave, with a 100% return rate after 18-months, for all grades. This compares with an 18-month return rate of 88% for the rest of FSS and 63% for rest of UoY.

Table 19: Maternity return data in CHE by full-time / part-time status on return, 2014-2018

Maternity return 2014-2018	Support staff		Research staff	
	Grade 4	Grade 6	Grade 7	Grade 8
FT		1		1
PT	1		1	

IMPACT

As a result of the support CHE has put in place, we have a 100% return rate from maternity leave over the past five years (all on flexible arrangements where requested) and all have remained in post, compared to 88% return rate for rest of FSS and 63% for rest of UoY.

(v) Paternity, shared parental, adoption, and parental leave uptake

Provide data and comment on the uptake of these types of leave by gender and grade. Comment on what the department does to promote and encourage take-up of paternity leave and shared parental leave.

UoY policies on Ordinary Paternity Leave (OPL) and Shared Parental Leave (SPL, replaced Additional Paternity Leave (APL)), are promoted on our intranet and included in our induction materials. We provide a case study on our website (see Section 6) as an example of APL to promote the policy to staff and potential job applicants.

IMPACT

As a result of CHE's promotion of various parental leave options, we provided the first case of APL granted by the UoY.

Requests for flexible working following paternity leave receive a positive response including changing from FT to PT hours (a case study on our website provides an example of this) and the 2018 PLS respondents felt that CHE had offered unquestionable support and flexibility in arranging leave.

I rather unusually returned to working full time (previously 0.8 WTE) after my paternity leave to allow my wife to take longer maternity leave. The application was easy and [CHE was] wonderfully understanding of my needs.

Research Fellow (M)
2018 PLS

In the period 2014-2018, CHE has had five instances of paternity leave (Table 20), all for research staff (two were two-week OPL, two were APL and one also took unpaid leave following OPL). Until 2018, there were no requests to take adoption or non-shared parental leave.

Table 20: Number of male staff in CHE taking paternity leave by grade, 2014-2018

Paternity leave 2013-2017	Grade 6	Grade 7	Total
FT	3	2	5

In terms of improvements that could be made, 2018 PLS respondents suggested improved communications, and that the buddy scheme be extended to those taking paternity leave.



Action 5: Improve support for staff taking parental / any extended leave.

5.4 Ask fathers going on paternity leave if/how they would like CHE to alert others to their news and plans

5.5 To offer 'buddy' system to those on paternity leave in the future to support new fathers

(vi) Flexible working

Provide information on the flexible working arrangements available.

UoY has a:

- formal flexible working policy:
 - applies to staff with more than 26 weeks service
 - helps staff achieve better work-life balance
 - covers PT work, change of hours, job shares, term-time work, flexi-time, shift/rota work, unpaid leave, career breaks, flexible retirement
- formal policy on leave in special circumstances:
 - covers bereavement, compassionate leave, domestic emergencies, public and community service
 - supports staff with caring responsibilities

We promote these policies by including them in induction materials, E&D webpages, having them on the agenda for LMs' meetings to establish a consistent approach and circulating information during the year to remind staff of the policies. We ask staff to discuss ad hoc flexible working requests with their LM to encourage a flexible and friendly working culture. Requests for on-going changes to working arrangements are dealt with using the formal policies.

100% of formal flexible working requests have been approved between 2014-2018. Examples of flexible working arrangements approved include creation of a job share post, working from home for people with health problems or caring responsibilities. In addition, PSS use the UoY formal flexi-time policy to help with work life balance and caring responsibilities and have expressed how they value this on PR documents as well as commenting anonymously on surveys. A higher proportion of PSS make use of flexible working (16 staff = 11.33 FTE (5FT/11PT)).

The UoY staff survey showed:

- 91% of staff agreed 'as long as I get the job done, I have the freedom to work in a way that suits me'

The SCS showed a slight drop in agreement on the first statement, though still high:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
My line manager/supervisor is supportive of requests for flexible working	89%	97%	90%	2%	7% ↓
EDAT's activities have had a positive impact on use of flexible working	-	78%	90%	-	11% ↑

IMPACT

As a result of CHE's flexible working policies, and encouragement of their uptake to staff and at LM meetings, there has been an increase over time in the SCS (2013, 2016, 2018) in positive responses to the statement "staff who work part-time or flexibly in CHE are offered the same career development opportunities as those who work full-time": 66%, 78%, and 85% respectively.



Action 13: Ensure consistent approach by line managers to managing staff.

13.1 Have discussions at LMs' meetings about dealing with requests for flexible working

(vii) Transition from part-time back to full-time work after career breaks

Outline what policy and practice exists to support and enable staff who work part-time after a career break to transition back to full-time roles.

The most frequent example of a "career break" occurs when staff go on maternity leave. All formal requests to transition to FT after a number of years have been approved. We have had one request for a staged return to work and this was approved. This involved returning two months on PT hours and increasing to FT. We have also arranged contracts with a staged PT start increasing to FT to allow new staff to complete PhD studies.

We have accommodated temporary changes, e.g. a number of months' PT for male and female staff members to allow for childcare duties and then back to FT.

5.6. Organisation and culture

(i) Culture

Demonstrate how the department actively considers gender equality and inclusivity. Provide details of how the Athena SWAN Charter principles have been, and will continue to be, embedded into the culture and workings of the department.

E&D is embedded:

- on the website and in all communications

- at staff meetings
- as standing items on committee agendas

UoY 2017 staff survey results found:

- 94% on 'strong sense of belonging to the department' (27% above FSS average)
- 92% on Employee Engagement Index - a measure of employee commitment and discretionary effort (compared to 86% in 2011 and 88% in 2014) (12% above FSS average)
- 98% agreed the SMT were approachable; open and honest in their communications (95%) and listen and respond to peoples' views (94%). (These were between 13-27 percentage points above FSS average and up to 37 points above UoY average)

The SCS showed:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
I feel that CHE is a great place to work for women	92%	98%	100%	8%	2%
I feel that CHE is a great place to work for men	94%	100%	97%	3%	-3%

The positive culture is reflected in unsolicited comments added by individuals to their PR forms e.g. "inclusive friendly ethos", "positive working environment", "stimulating and friendly", "stimulating and supportive place to work", "fantastic place to work".

It is a very supportive and positive environment. Compared to academic economics units at other universities, there is a noticeable lack of ego and bullying, and people have genuinely respectful attitudes to each other rather than trying to prove themselves better. There is a sense that the management care about the wellbeing of staff, and senior staff do take care of and nurture the careers of junior staff. I really appreciate working at CHE and wish more university departments could be like it!

Research Fellow (F)
2018 SCS

There is a monthly "CHE day" where the SMT meets, followed by a departmental meeting (research and PSS staff and students) with opportunity for discussion, sometimes involving a presentation on a topic of general interest (e.g. research ethics, mental health support, impact), a lunch, and seminar by an external speaker.

We encourage a culture where dignity is the norm, starting with induction which covers expected standards of behaviour. Senior managers set an example of communicating with staff in an open, friendly and supportive manner, recognising and respecting different viewpoints e.g. after the Brexit referendum, the HoD reinforced UoY's message

that we value all regardless of where they are from, and asked that people were sensitive to the range of viewpoints held.

During my eight years in CHE the leadership has always been outstanding in its commitment to equality and diversity, often being well ahead of the rest of the academic world and University in recognising people for their merits.

Research Fellow (M)

2018 SCS

In addition to an external newsletter for stakeholders, CHE circulates an internal newsletter (Picture 9) which celebrates achievements and provides news e.g. marriages, babies, promotions, awards. We have launched an E&D column in the newsletter (EDAT Corner).

Picture 9: Example excerpt from internal CHE newsletter which celebrates staff and student achievements

CHE News

June 2018

Staff news

Well done to.....

Ieva Skarda who in February successfully defended her thesis entitled 'Essays on foreign development aid'.



Jemimah Ride who successfully defended her thesis entitled 'Efficiency and equity in perinatal mental health' at Monash University. Making her a double doctor.

Claire Rothery who received the International Society For Pharmacoeconomics and Outcomes Research (ISPOR) Distinguished Service Award for excellent leadership of the Task Force on Emerging Good Practices for Value of Information analysis.



Richard Cookson, Andrew Mirelman, Susan Griffin, Miqdad Asaria, Bryony Dawkins, Ole Norheim, Stephane Verguet and Tony Culyer, authors of the paper "Using cost-effectiveness analysis to address equity concerns", who won The 2018 ISPOR 'Value in Health Paper of the Year Award'.



Congratulations to.....

Beth Woods and Chris on the birth of Otto born 26th March weighing 7lb15oz.



Welcome to new staff.....



Deborah Marston was appointed as Finance and Research Support Administrator in March.

Sumit Mazumdar, from the Institute of Public Health Kalyani in West Bengal, joined CHE in April to work with the Global Health team.



Wiktorija Tafesse, from the University of Sussex, joined CHE in May to work on the Thanzi la Onse research programme.

Matthias Arnold, from Ludwig-Maximilians University, Munich, also joined CHE in May to work on the Thanzi la Onse research programme.



Well done on this very nice newsletter and all the progress the EDAT team have been making on this. I think the newsletter strikes exactly the right tone, is admirably concise, easy to read and well laid out, and makes important points and updates.

Professor (M)

Unsolicited feedback on launch of EDAT Corner newsletter in 2016

The SCS found:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
Work related social activities in CHE are likely to be welcoming to both men and women	94%	95%	96%	1%	1%

CHE holds several social gatherings such as a monthly lunch, Christmas lunch, summer social, team social and gatherings to celebrate special events (e.g. new baby or wedding), which are open to all staff and students. We check that venues have wheelchair access. Staff and students regularly have coffee and lunch breaks together in the common room.

CHE also has a regular running group, weekly meditation session, a book club and a film club (Picture 10). We hold an annual International Food and Wine event (Picture 11) where people bring food to share that reflects the culture of their country. The events are well attended and feedback is always positive.

Picture 10: CHE staff at the film club in the common room



Picture 11: CHE staff at the annual International Food and Wine event



(ii) HR policies

Describe how the department monitors the consistency in application of HR policies for equality, dignity at work, bullying, harassment, grievance and disciplinary processes. Describe actions taken to address any identified differences between policy and practice. Comment on how the department ensures staff with management responsibilities are kept informed and updated on HR policies.

CHE has expanded the number of LMs over the past years (see 5.3(iii)). To ensure consistency of approach to HR policies we hold two LM meetings per year, backed up with regular group emails and 1:1 discussions. Recent meetings have discussed the interpretation and implementation of policies e.g. disability in employment, guidance regarding confidentiality and legal issues relating to transgender, avoiding gender bias when writing references. LMs also bring issues to the meetings e.g. lack of UoY support for international staff requiring visas, and work-related stress for which we have developed actions.

The intranet provides links to all HR and E&D policies. We have produced a document outlining what staff can expect from their LM in terms of support if they feel under pressure, as well as other sources of assistance.

The SCS and CSS showed:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
CHE makes it clear that unsupportive language and behaviour are not acceptable	83%	92%	91%	8%	-1%
Students' response			93%		
Inappropriate images that stereotype women or men are not acceptable in CHE	92%	97%	93%	0%	-4%
Students' response			100%		
During my time in CHE, I have experienced a situation(s) where I have felt uncomfortable because of my sex/gender	4%	6%	4%	0%	-2%
Students' response			0%		
CHE has made it clear what its policies are in relation to equality	74%	92%	93%	19%	1%

The HoD and CM have a long track-record in UoY's harassment advisor network, providing support for cases outside the department.



Action 7: Strengthen our AS and E&D activities in CHE and within UoY.

7.8 Manage expectations of staff in terms of responding to emails out of hours to reduce work-related stress

7.9 Lobby UoY senior management for more financial support with respect to visa application costs for international staff

(iii) Representation of men and women on committees

Provide data for all department committees broken down by gender and staff type. Identify the most influential committees. Explain how potential committee members are identified and comment on any consideration given to gender equality in the selection of representatives and what the department is doing to address any gender imbalances. Comment on how the issue of 'committee overload' is addressed where there are small numbers of women or men.

Membership of committees is either selected by functional area of responsibility (e.g. team leaders) or by specific interests and skills (e.g. communications group). Roles are advertised / staff can nominate themselves (see 5.6(iv)). Efforts are made to ensure gender balance. Since our Bronze, we have improved our committee processes:

- regularly updated document on the intranet, detailing all committees and groups, terms of reference and membership, to provide transparency about roles on committees and opportunities available
- roles advertised by circulating information to staff (and students where relevant), inviting expressions of interest as well as nominations from LMs
- the final decision on membership is made by the committee concerned or SMT, balancing required skills and fair allocation of opportunities for citizenship

This is having an impact:

I have noticed a lot of positive action to encourage better representation from female staff in leadership roles.

Senior Research Fellow (F)
2018 SCS

As a result, we have addressed gender imbalances on a number of committees (Table 21) and most reflect the gender profile of CHE, bearing in mind grade.

Table 21: Composition of CHE internal committees in 2014 and 2018

Internal committees	Chair	2014			2018		
		Female	Male	% Female	Female	Male	% Female
DRC*	M				4	8	33
HESG Organising Committee	M				6	2	75
Line Managers*	F				12	9	57
Staff Survey Group	F				6	4	60
Teaching & Learning	M				4	5	44
Communications Group	M	3	3	50	4	4	50
Data Governance*	F	4	7	36	8	9	47
EDAT*	F	8	2	80	7	5	58
SMT*	F	3	6	33	4	6	40
Visiting Research Fellowships	M	2	2	50	3	2	60

Note: some committees did not exist in 2014.

* Influential committees

IMPACT

As a result of several actions to improve our committee processes and provide more transparency about fair allocation of opportunities, the gender balance has improved on most committees between 2014 and 2018.

Committee chairs are equally spread (5F/5M) although women chair some of the more influential committees. Not all committees have terms of office, rotation and succession planning, which we plan to address.

60% of CHE committees have 50% or more female members of staff participating. Of 52 staff members participating in CHE committees, there are 29 females (19 research/10 PSS) and 23 males (22 research/one PSS). The gender mix of the SMT reflects the staff profile at senior grades, although seniority is not the sole criteria for membership.



Action 6: Maintain or, where relevant, improve gender balance across all committee participation.

- 6.1 Proactively consider diversity for membership of groups / committees when replacing / rotating members. Set fixed terms of office
- 6.2 Introduce deputy chair roles where appropriate and develop succession planning; promote training courses at UoY for chairing meetings
- 6.3 Develop stronger process for supporting sharing of citizenship roles by asking staff at PR for their interests and maintaining a register. Individuals in charge of assigning roles asked to consider diversity and what other roles candidates already hold

(iv) Participation on influential external committees

How are staff encouraged to participate in other influential external committees and what procedures are in place to encourage women (or men if they are underrepresented) to participate in these committees?

Table 22 shows a concentration of engagement with UoY committees among senior female staff. Such engagement provides good role models, as well as career development opportunities. However, there is a risk that females bear a disproportionate load. Most positions are advertised in UoY and some are elected at FSS and UoY level. Staff from CHE may put themselves forward but the final outcome is decided by votes. Some roles are only open to a particular grade, while others are defined by function (e.g. Distance Learning Forum). Where CHE suggests a representative to UoY, there is greater gender balance.

Table 22: List of CHE's representatives on UoY committees by gender, staff type and grade in 2018

University Committee	Gender	Staff type	Grade
Research Concordat	F x 2	Research	Reader and 7
Distance Learning Forum	F	Research	Reader
Academic Promotions Committee – elected	F	Research	Reader
Social Sciences Promotions Advisory Committee	F	Research	Prof
Senate – elected members	F	Research	Reader
University Research Forum	M	Research	Prof
Faculty Research Group	M	Research	Prof
UoY Research Committee - elected	F	Research	Prof
FSS Athena Swan Steering Group - elected	F	Research	Prof
Research Computing Working Group	M	Research	Prof
Library Committee	M	Research	6
University Mental Health Steering Group	F	Research	Prof
Department Training Officers Group	F	PSS	6
Departmental Safety Officer Advisory Group	F	PSS	5

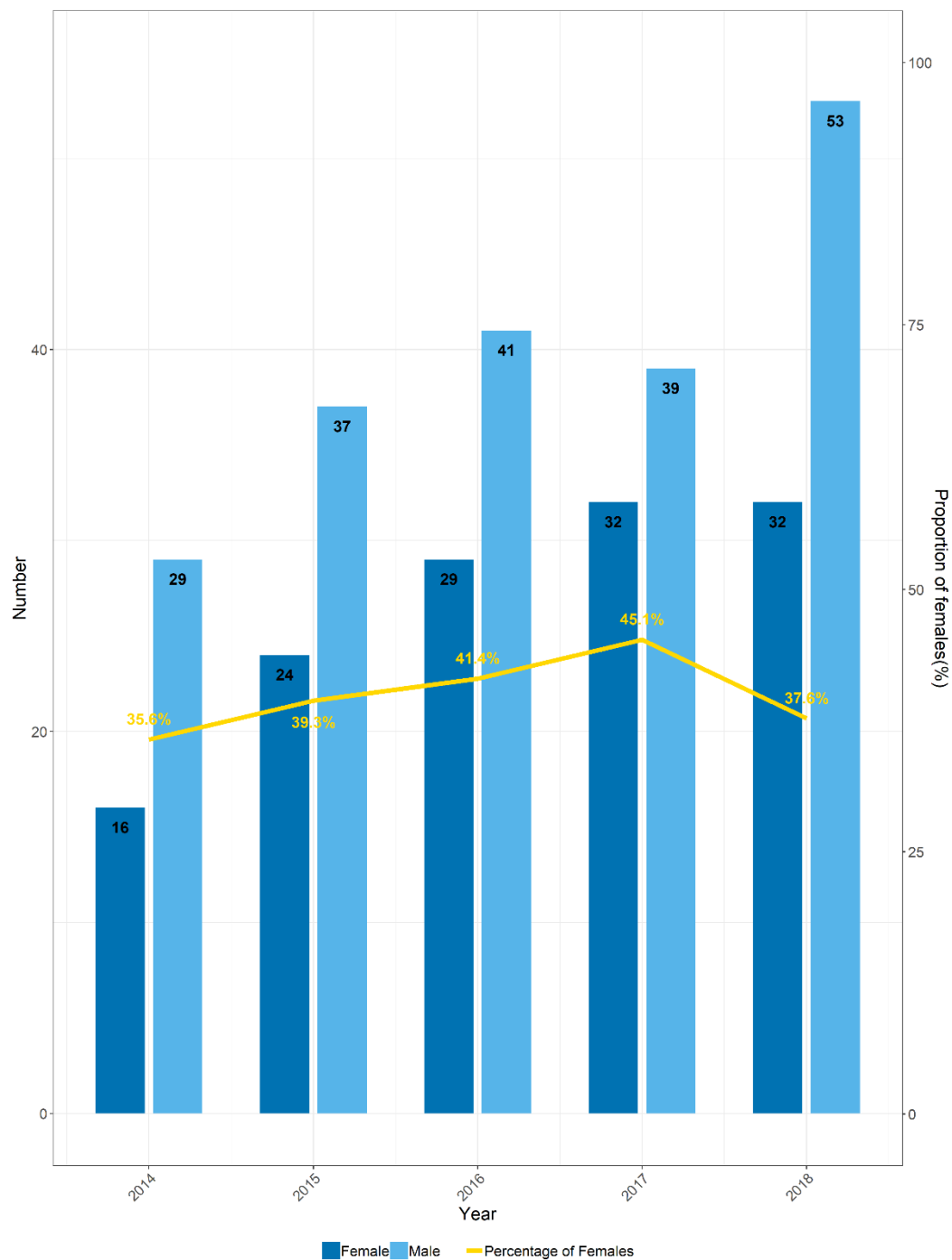
LMs and team leaders are encouraged to think proactively about which members of their team need experience on external committees to help build their CV. Opportunities are discussed in research teams and SMT. Circulating data on committee membership has raised awareness of available opportunities, encouraging staff to consider their suitability for a role as well as prompting those who have such responsibilities to share them more widely.

Between 2014-2018, CHE staff participated in 116 external committees (Figure 14):

- Including: government decision bodies, e.g. NICE (25% female), steering committees, e.g. trials (50% female) and funding bodies, e.g. NIHR (30% female)
- attended by 30 members of CHE staff (43% female)

- average number of committees each staff member participates in is 2.5 (female) and 3.0 (male)
- Currently 38% of participation in committees/bodies is undertaken by female staff
- The proportion of female staff participating has risen by nine percentage points from 2014-2017
- The decrease in the proportion of female participation in 2018 is due to a male Professor who joined CHE in 2018 (a 15% FTE appointment) who participates in 11 external committees. Numbers would otherwise look similar to 2017 with 43% female participation.

Figure 14: Participation on external committees by gender, 2014-2018

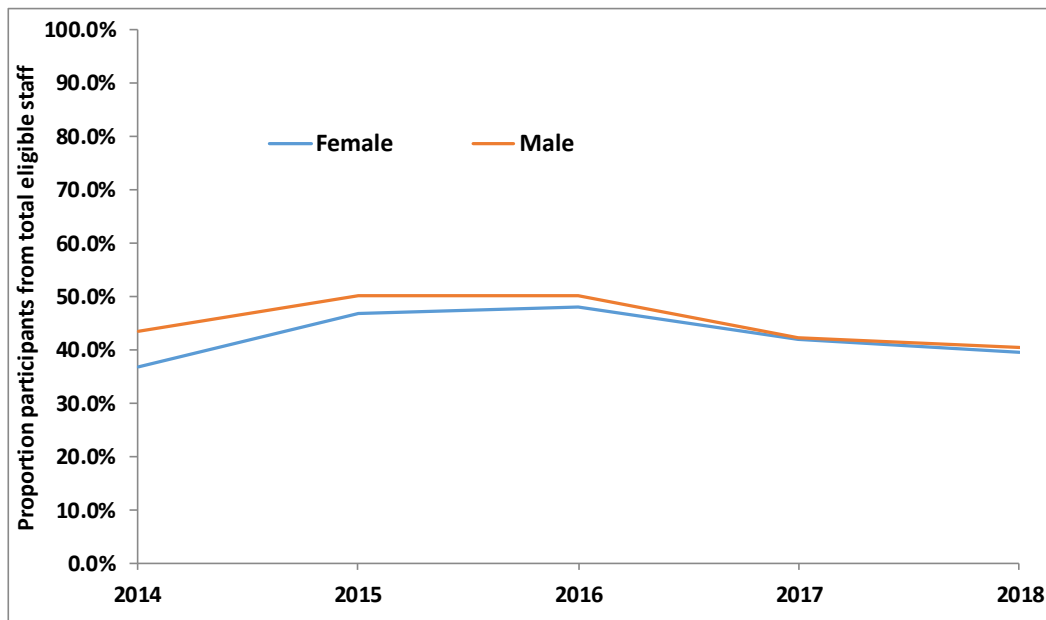


IMPACT

As a result of EDAT actions to encourage proactive consideration of external committee membership, the proportion of female staff participating in influential external committees has risen by 9 percentage points between 2014 and 2017.

Differences in male and female participation rates in external committees has decreased from seven percentage points to less than one percentage point since 2014 (Figure 15). The increase in female participation is driven by senior female staff (since 2017, 100% of senior female staff participate in committees).

Figure 15: Proportion of staff participating on external committees/bodies by gender over the last five years



Action 6: Maintain or, where relevant, improve gender balance across all committee participation.

6.4 Use data on gender mix on external committees to inform LMs of opportunities and to promote equal access to them

(v) Workload model

Describe any workload allocation model in place and what it includes. Comment on ways in which the model is monitored for gender bias and whether it is taken into account at appraisal/development review and in promotion criteria. Comment on the rotation of responsibilities and if staff consider the model to be transparent and fair.

As a non-teaching department⁶ CHE has no formal workload model that trades-off different types of activity. However, in 2018 we chose to explicitly recognise three “citizenship” roles that are cross-departmental and particularly substantive: EDAT chair (F), Data Governance lead (F) and DRC chair (M). Our expectations of research workload and funding are tempered by recognising the time required to meet the demands of these roles. The EDAT chair role is assigned a 10% FTE citizenship “allowance”.

Allocation of research workload is undertaken by team leaders and LMs usually at “Resource Meetings” where analyses of spreadsheets show commitments aligned with available funding over time and where data from staff on their available capacity is also considered which helps monitor workload and enable re-alignment where required.

Allocation of support staff workload is undertaken by the CM and LMs.

The UoY survey showed:

- 90% of staff agreed “My Departmental Management Team/Senior Management Team manage workloads fairly” (up 8 percentage points since 2014; 29 percentage points above FSS and 43 percentage points above UoY)

The SCS found:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
In CHE work is allocated on a clear and fair basis irrespective of gender	83%	92%	94%	11%	2%

(vi) Timing of departmental meetings and social gatherings

Describe the consideration given to those with caring responsibilities and part-time staff around the timing of departmental meetings and social gatherings.

All formal department meetings are held during core hours of 10am-4pm.

Since 2015 the meeting with summer placement MSc students was moved to 14.00 (from 17.00) to enable people with caring responsibilities to attend.

School holidays and PT staff working days are considered when meetings are planned. Meeting dates are circulated well in advance to allow people to plan ahead.

⁶ Ad hoc teaching undertaken voluntarily by a few staff is not substantive (see 4.1).

The majority of CHE social activities are held within core hours. A few events are early evening, and participation is high e.g. 50 people attended the last Summer Social. Team social events are usually held the same day as the team meeting and staff are consulted regarding where/when to hold events.

Social activities organised by members of staff take place during core hours, usually lunch time: running group; meditation session; book club; the film club is the exception which takes place after working hours.

The SCS found:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
The main meetings in CHE are completed in core hours (10am - 4pm) to enable those with caring responsibilities to attend	89%	93%	96%	7%	2%

We also sometimes need to adapt and be respectful of our partners in other countries (time zones) and their caring responsibilities too.

Research Fellow (Gender = prefer not to say)
2018 SCS

(vii) Visibility of role models

Describe how the institution builds gender equality into organisation of events. Comment on the gender balance of speakers and chairpersons in seminars, workshops and other relevant activities. Comment on publicity materials, including the department's website and images used.

We ensure that CHE's main webpage always includes diverse images of staff and events. E&D has its own section, including six case studies (5F/3M - two joint).

CHE organises two seminar series: department (CHE) and economic evaluation (EE); each has a regular monthly slot plus ad hoc additions for visitors. All staff are asked for suggestions for speakers with a pro-active request for consideration of diversity. We have been successful in ensuring a better gender mix in both seminar series (Table 23) since 2014.

Table 23: Number and proportion of female presenters in CHE and Economic Evaluation seminar series

Year	CHE Seminar		EE Seminar	
	Number of Speakers	% of Female Speakers	Number of Speakers	% of Female Speakers
2014	13	31%	14	21%
2015	13	39%	13	39%
2016	13	39%	16	44%
2017	13	39%	14	57%
2018	11	64%	14	43%

IMPACT

As a result of proactive requests by EDAT to consider diversity, there has been an increase in the proportion of female speakers in our two external seminar series, from 31% to 64% (CHE seminar) and from 21% to 43% (Economic Evaluation seminar) between 2014 and 2018.

I have been pleased to see positive action on seminar speakers to ensure a better balance between male and female presenters. I know that the economic evaluation seminars have noticed that they get more self-invited speakers who are male, and that female speakers are more likely to have to cancel, and so they aim to invite an even greater proportion of female speakers to counter this bias.

Senior Research Fellow (F)
2018 SCS

Staff meetings often include a presentation, in 2017 there were 12 presenters (4M/8F) and in 2018 there were eleven (3M/8F).

CHE issues internal and external newsletters three times a year. The external newsletter focuses on short summaries of research, and lists outputs such as presentations and publications, for which gender balance is checked (by CM and HoD). Female representation was on average 43% in the external newsletter and 56% in the internal one between 2017-2018. We produce an Annual Report and take care to ensure gender balance in the stories and images included.

(viii) Outreach activities

Provide data on the staff and students from the department involved in outreach and engagement activities by gender and grade. How is staff and student contribution to outreach and engagement activities formally recognised? Comment on the participant uptake of these activities by gender.

Since CHE isn't a teaching department we do not engage in outreach activities with young people/schools. However, we host an annual reception to introduce all MSc students to CHE staff, the department, and placement topics on offer and ensure both genders are represented as role models and present about their experiences of studying and working at CHE.

6. CASE STUDIES: IMPACT ON INDIVIDUALS

Two individuals working in the department should describe how the department's activities have benefitted them. The subject of one of these case studies should be a member of the self-assessment team. The second case study should be related to someone else in the department.

Beth Woods, Senior Research Fellow

Picture 12: Beth Woods



I joined CHE as a Research Fellow in 2014 having previously held the position of Director in a private health economics consultancy in Oxford. When I joined CHE I had extensive experience in obtaining funding, and performing and reporting research to a high standard, however this was all done in a private sector setting. My team leader and LM therefore worked with me to ensure I had the opportunity to demonstrate these skills within an academic setting. This involved many different aspects of support such as introducing me as an experienced researcher to clinical collaborators with whom I was able to put together successful grant applications, allowing me flexibility to work on unfunded but high-value publications, and inviting me to lead projects within major programmes of work of national and international policy relevance. Gaining experience and improving my profile in this way, ultimately led me to be invited to present at key policy meetings including the World Health Organisation in Switzerland and World Bank in Washington DC.

I applied for promotion to G8 in 2016. The CHE culture and senior leadership was very supportive and I obtained promotion in 2017. Whilst preparing my application I was able to review a bank of CVs which had been successfully submitted by colleagues for promotion (to which my own has now been added). This was incredibly useful in demonstrating how the type of work done within CHE is demonstrative of the promotion criteria, and in seeing how very different achievements and experiences are legitimate pathways to promotion. I received multiple rounds of detailed comments from the HoD, my team leader and my LM. These helped me to shape my application to show how my achievements in the private sector and since joining CHE met the promotion criteria.

I took an 8-month period of maternity leave in 2018. In preparation for my maternity leave my team leader and LM met with me to ensure there was a succession plan in place for ongoing projects and publications. CHE's flexible approach to returning to work meant I was able to use accrued annual leave to work initially 3 days per week and I have recently been supported in my request to work at 0.8 FTE. My team leader, LM and co-workers have been very accommodating of my changing working patterns which has allowed me to manage a smooth transition back whilst comfortably fulfilling childcare needs. Throughout the process the CM ensured I had information on the choices available e.g. SPL and flexible working, and provided facilities so that I could express breast milk. This supportive environment has ensured that my return to work has been as stress-free as possible, allowing me to focus on my research again.

Pedro Saramago Goncalves, Research Fellow (member of EDAT – see Section 3 (i))

Picture 13: Pedro and Marta's daughter Alice



My partner Marta Soares and I have been part of the UoY since 2007. Marta started as a Research Fellow at DoHS, moving to CHE in 2009 and was promoted to Senior Research Fellow in 2014. I did the MSc in Health Economics and started my PhD in CHE in 2008. Following my doctoral studies, I then became a CHE Research Fellow in 2012.

Our daughter Alice was born in November 2013. CHE supported Marta throughout her pregnancy, by allowing flexible working hours around the common 'side effects' of pregnancy – in this way Marta managed to happily work throughout her pregnancy and started her leave a couple of days before the due date. It was only after baby Alice was born that we realised how important it is to have support and flexibility at work, especially when family isn't close by. A key aspect was that I was able to complement the usual two weeks of OPL with annual leave, returning to work only in the beginning of January 2014. It was important that we were together in this early stage of Alice's life. Marta took six and a half months of maternity leave, returning to work in June 2014. At that point I started my three months of APL. I was the first dad to ask and have APL granted by UoY. This time was very special for Alice and I. Marta and I both returned to full time work in September 2014, although, we were both able to use annual leave flexibly to accommodate a smooth start at nursery (and also to account for the sickness

that often follows) until December 2014. Marta decided to start 2015 on a part time basis (80%) so that she spends more time with Alice. CHE was very supportive of this decision.

We are now delighted to say that we are expecting our second baby – due in late March 2019. Again, CHE has been very supportive throughout the pregnancy. We have similar parental leave plans as before, now taking advantage of the SPL policy. We plan to have discontinuous periods of leave, sharing between us up to eleven months of leave in total. This flexibility is much appreciated and will certainly alleviate the demands of baby and Alice. CHE helped us again on navigating our way through the UoY policy, clarifying all queries and filling in forms.

Overall CHE was key in supporting and promoting a healthy start to our family life and in obtaining a suitable work/life balance over the years – we are extremely grateful for this.

7. FURTHER INFORMATION

Please comment here on any other elements that are relevant to the application.

CHE has sought to reduce the gender pay gap by:

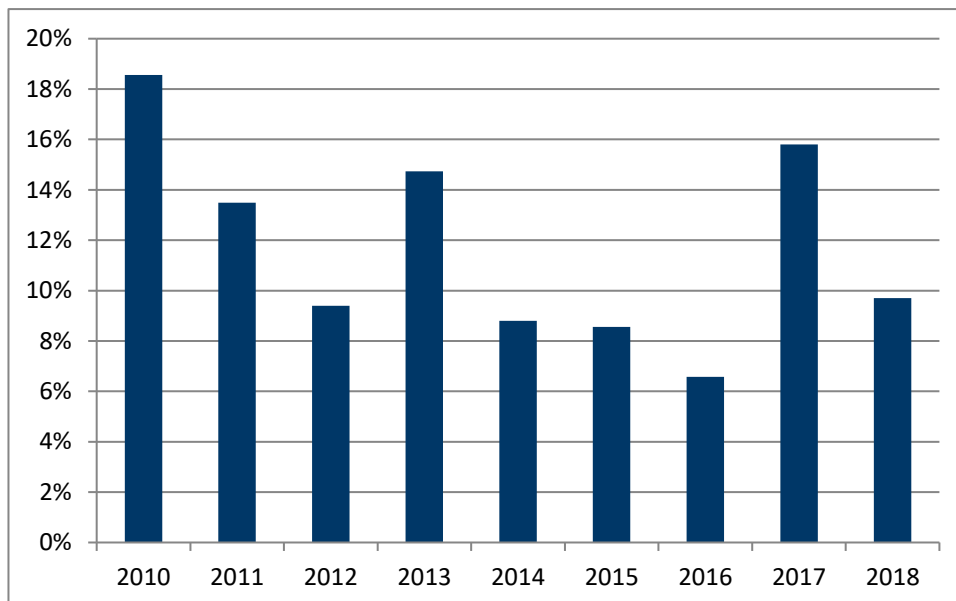
- Introducing, in 2015, a policy on the determination of starting salary which involves all recruitment chairs consulting with the HoD prior to making salary offers to ensure consistency and transparency.
- Ensuring progression through the career pipeline via sustained efforts to increase the proportion of female research staff at G8, G8R and Professorial levels (see 5.1(i) and (iii)).

Example:

PI recommended a specific point on incremental scale for new G6 appointment (female). HoD requested more details and after comparing with CVs of other recent appointments (both male and female), recommended a higher point.

As a result, we see a notable decline over time in the pay gap (Figure 16), even though it is still positive (9.7%). For G6 staff (Figure 17) where we have more control over starting salary, the pay gap is almost negligible. In comparison, the mean (hourly) pay gap for all UoY staff in 2018 was 19.3% and for the sector was 15.9%.

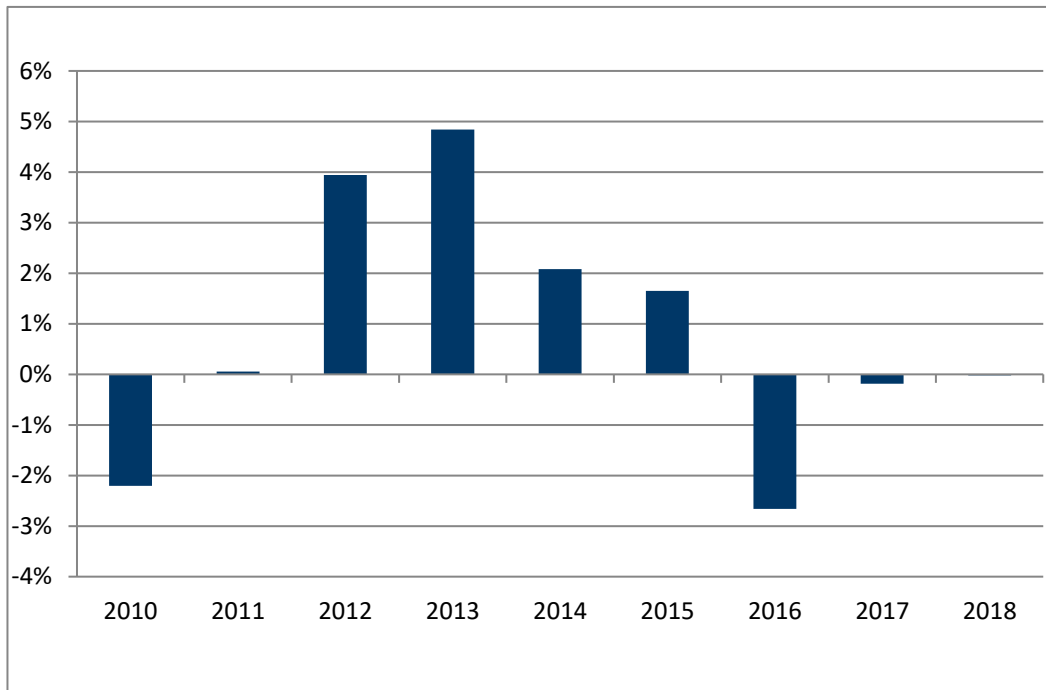
Figure 16: Pay gap for all research staff in CHE, 2010-2018



Note: Paygap = ((Male staff mean salary - Female staff mean salary) / Female staff mean salary) summed over each research grade

Census date: 15 October

Figure 17: Pay gap for G6 research staff in CHE, 2010-2018



Note: Paygap = ((Male staff mean salary - Female staff mean salary) / Female staff mean salary)
 Census date: 15 October

IMPACT

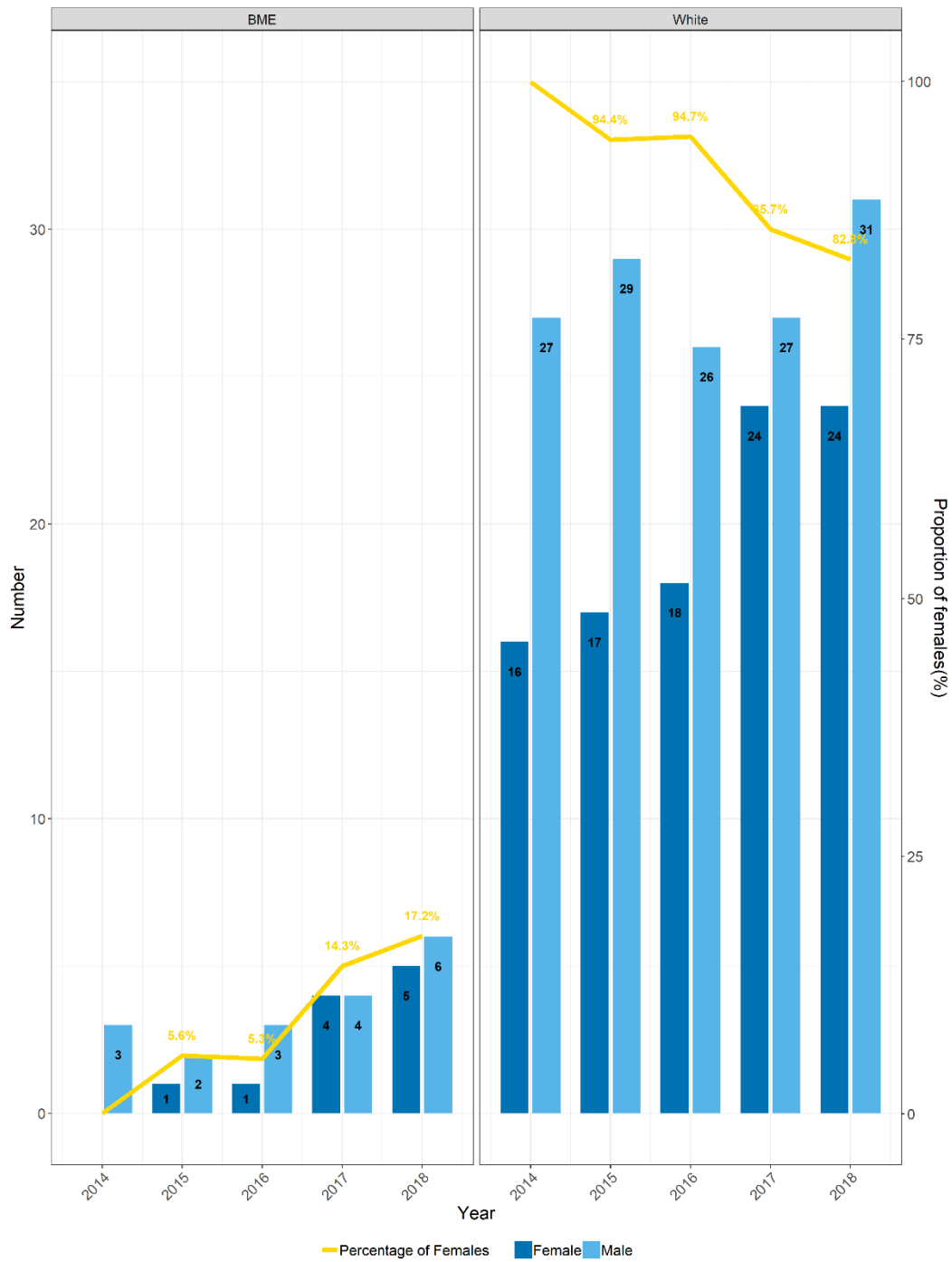
As a result of CHE's policy on starting salary and actions to improve the career pipeline for female staff, the paygap for CHE has dropped from 18.6% in 2010 to 9.7% in 2018.

The SCS found:

Question	2013	2016	2018	2018 vs 2013	2018 vs 2016
I believe that in CHE, individuals are paid an equal amount for doing the same work or work of equal value, regardless of gender	85%	86%	93%	8%	7% ↑

Our actions to improve diversity in our recruitment (see 5.1(i)) are having an impact. Figure 18 shows an increase in the ethnic diversity split by gender in CHE over the last five years.

Figure 18: Histogram of each gender by ethnicity, 2014-2018



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8. ACTION PLAN

The action plan should present prioritised actions to address the issues identified in this application. Please present the action plan in the form of a table. For each action define an appropriate success/outcome measure, identify the person/position(s) responsible for the action, and timescales for completion. The plan should cover current initiatives and your aspirations for the next four years. Actions, and their measures of success, should be Specific, Measurable, Achievable, Relevant and Time-bound (SMART).






	Critical
	Important
	Longer-term


Table 24: Silver Athena SWAN Action Plan for the next four years


Priority	Issue identified	Action number	Relevant section of report / Rationale	Planned action / objective to address issue	Impact evaluation	Responsibility (person - job title)	Timeframe for planned action (start / end)	Success criteria / outcome measures
	Address imbalance of gender in professoriate and encourage further advancement of female members of research staff through internal promotion	1.1	4.2 (i) and 5.1 (iii) Need to continue to pursue 'growing our own' policy and ensure strong female representation through the pipeline to senior positions through promotion	Run focus groups with research staff in G8 and G8R using UoY network of trained facilitators to explore any barriers to progression, produce SMART action plan with oversight on delivery by EDAT and SMT	Develop questionnaires to send to participants of focus group in Jan 2023 to assess if action plan has had an impact	EDAT Chair, UoY facilitator	Run focus group in Jan 2020, develop action plan from focus groups by Apr 2020	Increase in the number of women at G8, G8R and Professorial levels towards gender parity. Overall target for Action: Minimum increase of two more female Profs by 2023
		1.2	5.1 (iii)	Audit the "readiness for promotion" forms to check the pipeline to female representation at senior levels and ensure plans in place with LMs and being delivered to achieve advancement. As part of presenting		LMs, HoD	Oct 2019 - Oct 2020 PR cycle	Audit undertaken. At least three additional females at G8, G8R and Professorial levels by 2023

Priority	Issue identified	Action number	Relevant section of report / Rationale	Planned action / objective to address issue	Impact evaluation	Responsibility (person - job title)	Timeframe for planned action (start / end)	Success criteria / outcome measures
				audit to LMs, have discussion around how gaps in CVs could be filled.				
		1.3	5.1 (iii)	Include length of time on grade on “readiness for promotion” forms to ensure realistic timescales are considered in discussions with LMs on promotion readiness	Re-run RPS in Feb 2023	CM, LMs	Oct 2019 - Oct 2020 PR cycle	Forms amended. At least three additional females at G8, G8R and Professorial levels by 2023
		1.4	5.1 (iii)	Monitor time on grade before promotion, especially at the Reader/Professor level		EDAT Lead on Promotion	Dec 2020 – Dec 2021 after promotion rounds	Differences between males and females in time on previous grade are reduced to no more than one year for all grades
		1.5	5.1 (iii) Strengthen promotions process (Picture 4)	Encourage further sharing of draft promotion applications outside of research team and outside of department where appropriate, to get a range of perspectives	Re-run RPS in Feb 2023	LMs, Team leaders	Oct 2019 – Jul 2020	At least three additional females at G8, G8R and Professorial levels by 2023
		1.6	5.1 (iii) Action based on feedback from 2018 RPS	Lobby the University to consider a faster or more frequent promotions process with quicker implementation of the higher grade	Re-run RPS in Feb 2023	HoD	By Jul 2020	Biannual promotion round at UoY
		1.7	5.1 (iii) Action based on feedback from Action Plan survey	Lobby the University to be explicit about the promotions criteria around how it deals with maternity / extended parental leave / PT staff		EDAT Lead on promotion	By Jul 2020	University criteria are made more transparent / examples provided
		1.8	5.1 (iii) and 5.3 (ii) Increase understanding of staff perceptions about range of skills considered for promotion and PR	Survey research staff after the 2020 PR round (see Action 2.2) to explore views further around skills considered for promotion and PR, and devise an action plan based on the findings. Discuss at SMT and LMs’ meetings.	Re-run SCS in Feb 2023 to assess if response on this question has improved	EDAT Leads on promotion and surveys, LMs	Run survey winter 2020, devise action plan by Jan 2021	Actions identified, added to Action Plan, and implemented to achieve higher satisfaction with full range of skills being considered

Priority	Issue identified	Action number	Relevant section of report / Rationale	Planned action / objective to address issue	Impact evaluation	Responsibility (person - job title)	Timeframe for planned action (start / end)	Success criteria / outcome measures
●	Encourage the career development of PSS	2.1	5.2 (ii) Strengthen the role review process for PSS. Raise awareness with PSS LMs. Action based on suggestion from 2018 RRS	Promote career development information and guidance on the EDAT website, and generic job descriptions on HR website to increase awareness of resources available and opportunities e.g. secondments and how to plan / navigate processes. Promote further work shadowing, secondment opportunities. Add to PSS meeting agenda, routinely circulate all links to PSS, ensure all LMs of PSS are aware of information	Re-run RRS in Feb 2023	EDAT Leads on career development, CM, LMs	By Jan 2020	One more successful role review for PSS by 2023
		2.2	5.1 (iii) and 5.3 (ii) Increase understanding of staff perceptions about range of skills considered for role review and PR	Survey PSS staff after the 2020 PR round (see Action 1.7) to explore views further around range of skills considered for PR and role review and devise an action plan based on the findings. Discuss at SMT and LMs' meetings.	Re-run SCS in Feb 2023 to assess if response on this question has improved	EDAT Leads on PSS and surveys, LMs	Run survey in winter 2020, devise action plan by early 2021	Actions identified, added to Action Plan and implemented to achieve higher satisfaction with full range of skills being considered
		2.3	5.2 (ii) Action based on feedback from Action Plan survey and anonymous online suggestion box	Analyse PSS recruitment data and recruitment processes to identify any actions to support future improvement in the gender mix of PSS staff. Data and processes scrutinised and an action plan developed to support future recruitment rounds	Positive feedback on recruitment process from new PSS recruits (see Action 4.1)	CM, EDAT Lead on PSS	By Jan 2020	Overall target for Action: Increase of one more male PSS member of staff by 2023
●	Further encourage the advancement of female members of research staff through supporting	3.1	5.3 (iii)	Promote mentoring programmes to all staff: <ul style="list-style-type: none"> • New scheme being set up within UoY • New scheme being set up by HESG Monitor take-up of UoY scheme by mentors and mentees, by gender and gain feedback on its usefulness. Discuss and encourage participation 	Obtain written feedback from those who have participated to assess impact by Dec 2022.	CM, Research Concordat Liaisons, EDAT Deputy Chair	Oct 2019 - Dec 2019	Presentation at staff meeting in Autumn 2019. Promote in EDAT Corner newsletter Oct 2019. On agenda for Oct 2019 LM meeting. At least six females participating in mentoring scheme in next four years.

Priority	Issue identified	Action number	Relevant section of report / Rationale	Planned action / objective to address issue	Impact evaluation	Responsibility (person - job title)	Timeframe for planned action (start / end)	Success criteria / outcome measures
	their career development			through LM meetings and at staff meeting.				
		3.2	5.3 (i), (iii)	Encourage annual conference contributions and monitor uptake, by gender. Discuss findings at LM meeting and if discrepancies by gender, agree action plan e.g. offer alternative ways of 'attending' conferences e.g. video-conferencing.	Re-run SCS in Feb 2023 and include question to ask staff if caring responsibilities prevent them from attending conferences	LMs, Team leaders	Collect data each Dec starting Dec 2019. Action plan agreed by Dec 2020.	Discussion at LM in Dec 2020. Equitable uptake of conference attendance by gender. Uptake monitoring incorporated into annual data monitoring cycle.
	Strengthen recruitment practices	4.1	4.2 (i), 5.1 (i) Need to continue to improve diversity at start of pipeline	Interview candidates who have been recently appointed, within two months of start date, and assuring confidentiality, to obtain their views on the recruitment process, using semi-structured interview process. Comments to be reviewed by EDAT and feedback incorporated into subsequent recruitment rounds	Look at patterns over time in feedback from those recently recruited to assess impact.	EDAT Lead on recruitment.	Start interviews from Oct 2019.	Overall target for Action: At least 50% of new appointees (all grades) over the next four years are female. Collated feedback incorporated into annual data monitoring cycle. Positive feedback on process from new recruits and record of actions taken in response to any identified issues.
		4.2	5.1 (i)	Undertake an audit of shortlisting decisions in 2020 (e.g. were all panel members present at shortlisting meeting, did panel draw up a spreadsheet of all members' choices, how did final decision deviate from original choices) and where appropriate, discuss justifications for deviations with recruitment chairs to understand decisions	Re-run snap-audit in 2022 to assess improved consistency in decision-making	EDAT Chair	Summer 2020 (or nearest recruitment round)	Enhanced understanding of shortlisting issues to underpin production of guidance
		4.3	5.1 (i)	Expand the pool (to G8s and above) from whom suggestions are sought for candidates for senior appointments and encourage		Team leaders, CM, Recruitment panel Chairs	Whenever a senior recruitment is	Views of G8s and above obtained one month before advertisement goes live and record

Priority	Issue identified	Action number	Relevant section of report / Rationale	Planned action / objective to address issue	Impact evaluation	Responsibility (person - job title)	Timeframe for planned action (start / end)	Success criteria / outcome measures
				consideration of diversity. Make a list of who will be contacting which candidates for the recruitment round. Involve UoY senior appointments adviser ('head-hunter') in pro-active search for candidates when appropriate with a brief to consider diversity			undertaken (infrequent)	wider consultation and potential candidate long list. Achieve/maintain gender balance in candidate lists for senior appointments (current baseline around 50% F in long list)
		4.4	5.1 (i) Action based on suggestion from 2018 RCS	Introduce a bank of work sample tests for interviews across all grades for research staff and PSS and monitor its use	Re-run RCS in Feb 2023	Team leaders, CM, Recruitment panel Chairs	Jul 2019 – Jul 2020	Bank of work sample tests for interviews is set up and monitor its use as part of annual data monitoring cycle.
		4.5	Further strengthen recruitment practices	Review wording in all recruitment documentation for elimination of bias, embed process for checking content of job descriptions to avoid seldom-used skills, embed process of consideration of PT hours, embed new process of scoring candidates on panels, ensure all members of panel participate in shortlisting process, ensure one of contacts for post is female	Re-run RCS in Feb 2023	Team leaders, CM, Recruitment panel Chairs	Jul 2019 – Jul 2020	Positive feedback on process from new recruits (from action 4.1)
	Improve support for staff taking parental / any extended leave	5.1	5.5 (i), (ii), (iii), (iv), (v) Action based on suggestion from 2018 PLS	Offer staff taking maternity / any extended leave mentors before going on leave to discuss research needs whilst on leave and on return	Re-run PLS in Feb 2023	CM, LMs	Jan 2020 – Dec 2020	100% staff taking extended leave offered a mentor
		5.2	5.5 (i), (ii), (iii), (iv), (v) Action based on suggestion from 2018 PLS	Agree with LM / CM beforehand what expectations are of going on parental leave with respect to communication whilst away and establish process for LM to know if/how/when to keep individual in the loop and on what topics, to ensure staff are kept informed on key items if they choose e.g. minutes of	Re-run PLS in Feb 2023	CM, LMs	Jan 2020 – Dec 2020	Improved satisfaction with communications during parental leave by staff as evidenced by qualitative feedback in 2023 PLS

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				meetings, grant proposals. Also discuss whether they would like to be invited to social events.				
		5.3	5.5 (i), (ii), (iii), (iv), (v) Action based on suggestion from 2018 PLS	Keep a routine record of KIT / SPLIT days and advertise KIT / SPLIT days usage, lobby Uni to expand HR webpages showing further examples / case study, point staff to leave calculator on website	Re-run PLS in Feb 2023	CM	Jan 2020 – Dec 2020	Monitor KIT / SPLIT day usage over time as part of annual data monitoring cycle. UoY webpages expanded on KIT / SPLIT days. Greater uptake of KIT / SPLIT days by staff
		5.4	5.5 (v) Action based on suggestion from 2018 PLS	Ask fathers going on paternity leave if/how they would like CHE to alert others to their news and plans, as is done for mothers	Re-run PLS in Feb 2023	CM, LMs, Team leaders	Jan 2020 – Dec 2020	Improved satisfaction with communications prior to parental leave by staff as evidenced by qualitative feedback in 2023 PLS
		5.5	5.5 (v) Action based on suggestion from 2018 PLS	To offer 'buddy' system to those going on paternity leave in the future to support new fathers	Re-run PLS in Feb 2023	CM, LMs	Jan 2020 – Dec 2020	100% fathers offered a 'buddy'. Improved satisfaction with parental leave arrangements by staff as evidenced by qualitative feedback in 2023 PLS
		5.6	5.5 (i), (ii), (iv) Action based on suggestion from 2018 PLS	Discuss cover arrangements for parental leave with line managers (at LM meeting) to ensure consistency in future. Ensure a planning meeting with LM is formalised in parental leave process e.g. three months and one month before leave to discuss workload before going on leave and realistic expectations	Re-run PLS in Feb 2023	HoD, CM, LMs	By July 2020	On agenda for Apr 2020 LM meeting. Cover arrangements discussed at LM meeting and 100% of issues / actions raised, followed up
	Maintain or, where relevant, improve	6.1	5.6 (iii), (iv) Ensure opportunities for committee roles as part of career	Proactively consider diversity for membership of groups / committees when replacing / rotating members. Set fixed terms of office prospectively	Use data to monitor gender mix on internal and external	SMT, CHE Committee Chairs, LMs	Oct 2019 - Oct 2020	Overall target for Action: 50% female participation across all internal groups / external committees

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	gender balance across committee participation		development is shared equitably	for substantive administrative roles in CHE, where appropriate, so they can rotate	committees annually (see action 6.4), assess changes over time at EDAT (Leads for committees) and develop further actions if required			where under-represented by 2023. 100% roles considered for rotation, and rotation introduced where relevant. Record of roles, terms of office and interests (see action 6.3) maintained.
		6.2	5.6 (iii), (iv)	Introduce deputy chair roles where appropriate and develop succession planning; promote training courses at UoY for chairing meetings	Re-run SCS in Feb 2023 and assess impact on perceptions of female role models and committee participation	CHE Committee Chairs	Oct 2019 - Oct 2020	100% of committees have considered and advertised (where appropriate) deputy roles and deputies appointed. Updated committees document showing deputy roles. Training advertised, included in staff development plans, with at least six females trained by 2023.
		6.3	5.3 (ii), (iii), 5.4 (iii) Action based on suggestion from Athena SWAN Initiative Award	Develop stronger process for supporting sharing of citizenship roles. Ask staff at PR if they would like to be considered for CHE and / or University role as part of career development. Those who indicate yes are entered onto list which is maintained by CHE. Individuals responsible for assigning roles will have access to list and will be asked to consider diversity and what other roles candidate already hold. Monitor administrative roles if roles change and introduce additional roles where needed		CM, LMs, Chairs of committees	By Jan 2020 for 2020 PR cycle.	Register maintained of candidates interested in citizenship roles. 50% female participation across all internal groups / external committees where under- or over-represented by 2023 (see action 6.1).



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		6.4	5.6 (iv)	Use data on gender mix on external committees to inform LMs of opportunities and to promote equal access to them. Ensure discussion of consideration of female workload as a consequence of committee participation		EDAT Lead on committees, LMs	Oct 2019 - Oct 2020	Overall target: Participation of women on external committees increased to 50% by 2023
	Strengthen our AS and E&D activities in CHE and within UoY	7.1	2, 3 (ii), (iii)	Hold Athena Initiative Award biennially and promote via staff meetings and CHE newsletter / EDAT Corner		EDAT Chair and Deputy Chair	Autumn 2021	100% of ideas generated by Award are followed up and, where appropriate, incorporated into action plan for EDAT by Jan 2022
		7.2	2, 3 (iii) Strengthen communication of EDAT	Strengthen profile for our activities internally and externally, using the website, social media, and ensure biannual presentations/updates by EDAT members at staff meetings. Provide updates in EDAT Corner on progress against action plan and promote upcoming events and forums		All EDAT	Biannual presentations in March and Sept.	Include EDAT Corner column in all three issues of the newsletter per year. Social media presence for EDAT created, UoY E&D events tweeted
		7.3	3 (i), (iii)	Review workings of EDAT to ensure it remains a high functioning team, including discussion on meetings (regularity, agenda, minutes, length, chairing), information flow (in & between meetings) and workload (timelines and division of labour). Review membership annually, and ensure succession planning for EDAT Chair and Deputy Chair		EDAT Chair and Deputy Chair	Biennial, review in Dec 2019	Biennial agenda item for discussion at EDAT, follow up 100% of action points arising. Continued high engagement evidenced by staff volunteering for the role when terms of office of current members end. Maintenance of high scores on SCS e.g. 95% agree EDAT has had positive impact on raising awareness of E&D


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		7.4	Ongoing routine data collection from whole of AS submission document	Establish annual cycle of review for routine monitoring of updated data sources and review recommendations for action plan, feedback to staff and students on trends	Re-run SCS and CSS in Feb 2023 and check continued improvements in response rates	EDAT Leads for each section	By Oct 2019	Routine systems in place and continued high engagement from staff and students in our activities (e.g. minimum 85% response rates on future SCS and CSS surveys)
		7.5		Establish formal annual review of action plan where actions are signed off, ongoing actions updated, and new actions added, and publish new action plan to the intranet, feedback to staff and students		EDAT Chair	Jul 2020 – Jul 2021	Action Plan amended and posted to intranet and staff and students provided with feedback
		7.6	3 (iii)	Establish an additional annual budget (beyond departmental spending on general E&D activities) for EDAT Committee members to spend on initiatives (e.g. training for EDAT members, books, Athena Initiative Award)	Arrange an E&D Away Day / workshop with external speaker on E&D topic and evaluate feedback afterwards	HoD, CM, EDAT Chair	Jul 2019. Event in summer 2022	Gain approval for additional £500 budget per year, use budget for specific EDAT initiated activities and events
		7.7	Promote E&D activities in UoY and improve physical access to CHE. Action based on suggestion from Athena SWAN Initiative Award	Improve disabled access by lowering diplocks in corridors. Produce E&D posters for toilets e.g. on bullying, harassment, mental health and wellbeing	Request feedback on impact of changes through EDAT Corner	CM	Oct 2019 – Mar 2020	Works carried out by Estates to lower diplocks and paid for by CHE. Posters produced for toilets. Staff notified through EDAT Corner of improvements to facilities
		7.8	Feedback from UoY 2017 Staff survey suggested need to address work-related stress. Action based on suggestion from	Manage expectations of staff in terms of responding to emails out of hours by e.g. recommending email management system for automatically sending emails in certain hours or providing a bank of options for using in email signature e.g. <i>We work flexibly - so whilst it</i>	Improvements to questions on work-related stress questions in next round of UoY staff survey	HoD	Oct 2019 – Mar 2020	Email management system investigated and options offered to staff (e.g. Boomerang). Email signature options explored and offered to staff on intranet.

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			Athena SWAN Initiative Award	<i>suits me to email now, I do not expect a response or action outside of your own working hours</i>				
		7.9	Action based on suggestion from Athena SWAN Initiative Award	Lobby UoY senior management for more financial support with respect to visa application costs for international staff / Tier 2 visa holders to be in line with other Russell group Universities	Re-run SCS in Feb 2023 and specifically assess views on this	HoD, CM	By Dec 2020	Discussion had with HR partners around lack of consistency with other Russell Group Universities and potential impact on retention of staff. UoY improves support for staff with respect to visa costs
	Strengthen career development support for students in CHE	8.1	5.3 (iv) Action based on suggestion from 2018 CSS	Provide greater support for students with respect to career development e.g. encourage uptake of careers seminars already run in DERS, by providing information to supervisors in CHE on dates in academic year. Circulate information on UoY training and development opportunities for students	Re-run CSS in Feb 2023 and check if questions on support for career development have improved	CHE PhD supervisors, EDAT Lead for students	Sept 2019 – Sept 2020	Information on careers seminars passed onto students and supervisors. Incorporated into annual cycle.
8.2		5.3 (iv) Action based on suggestion from 2018 CSS	Circulate information to all of CHE and encourage attendance at PhD student upgrade seminars in DERS and DoHS held at end of first year of registration for students to receive feedback. Also circulate information on Health Econometrics and Data Group (HEDG) and DERS workshops	Obtain feedback from students about attendance through PhD student rep by Sept 2020. Re-run CSS in Feb 2023	CHE PhD supervisors, EDAT Lead for students	Sept 2019 – Sept 2020	Information on upgrade seminars routinely circulated and incorporated into annual cycle.	
8.3		5.3 (iv)	Ensure inclusion of students on committees where appropriate (see action 6.1) to enhance career development opportunities	Re-run CSS in Feb 2023	CHE Committee Chairs	Oct 2019 - Oct 2020	Record of all committees' consideration of student representation reported to EDAT and students appointed to relevant committees	

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		8.4	5.3 (iv) Action based on suggestion from 2018 CSS	Increase training allowance budget from £1,000 to £1,500 over three years, to be applied prospectively from Oct 2019 academic year and retrospectively for remaining time of existing students	Re-run CSS in Feb 2023	HoD, Finance Officers	Oct 2019 - Sept 2020	Training allowance increased and to be supplemented where required with additional funds, as before, e.g. DERS, Royal Economic Society
●	Increase in the number of grant applications submitted by female PIs and CIs towards gender parity	9.1	5.3 (v) Research is our main activity and grant acquisition is a key promotion criterion	Prospectively collect and monitor PI and CI grant application rates and proportion of applications submitted by gender, including amount requested, acting on trends and changes	Analyse trends in PI and CI applications and size of grant awarded, by gender to assess impact	Finance Officers, HoD	By Dec 2020	Process in place and part of routine business, annual monitoring by EDAT and increase in proportion of grant applications submitted by female PIs to at least 50% by 2023
		9.2	5.3 (v)	Encourage CHE PIs to routinely use the UoY process, lobbied for by CHE, whereby non-CIs can be given credit for their input to applications, by ensuring it is part of the routine process of grant applications		Finance Officers	By Jun 2020	100% of grants request PI to consider non-CIs being given credit where appropriate
		9.3	5.3 (v) Action based on suggestion from Athena SWAN Initiative Award	Devise a data repository of which staff have had success with particular funders, whereby CHE research finance staff can routinely inform potential applicants about previous grant applications to a particular funder from within the department, in order for the applicants to liaise and gather intelligence from other members of staff		Finance Officers	Jan 2020 – Dec 2020	Process introduced and database of funders maintained across all research teams, updated annually
		9.4	5.3 (v)	Monitor uptake of pilot pump-priming scheme in CHE to support grant applications and impact activities not covered by other UoY schemes, by gender		Finance Officers	Jul 2019 – Jun 2020	Pilot pump-priming scheme introduced and information on uptake monitored and reported to EDAT

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●	Encourage more females to take up supervisory opportunities	10.1	5.3 (iii) Supervisory experience is important aspect of promotion	Promote MSc supervision as useful career development opportunity at the staff meeting once a year and regularly at LM meetings. As there is a large degree of joint supervision for placements, we need to monitor the designated "lead" supervisor and encourage more females to lead.		CM, HoD	By Dec 2019 ahead of 2020 placement cycle (Feb 2020)	35% of lead supervisors for MSc placements are female by 2022
		10.2	5.3 (iii)	Be more proactive in encouraging females to supervise PhD students (e.g. becoming TAP members first). Pool of potential supervisors already widened by clarifying criteria for supervision and obtaining expressions of interest. Encourage existing supervisors to share opportunities; discuss at LM meeting		LMs, CHE PhD supervisors	By Jul 2020 ahead of Oct 2020 academic year	At least two more female PhD supervisors by 2022
		10.3	5.3 (iii), (iv)	Encourage CHE PhD supervisors to ensure that at least one member of supervisory team / TAP is female		CHE PhD supervisors	Oct 2019 – Sept 2020	At least one member of each supervisory team / TAP is female
●	Further refine and improve the induction process	11.1	5.1 (ii) and 5.2 (i)	Introduce induction checklist which when complete is signed off by the new starter and their line manager. The checklists should be collected and checked by CM	Re-run the CIS in Oct 2022 to assess changes over time; continue to achieve high levels of satisfaction; 100% report they feel welcome	EDAT Leads for PSS, CM	Jan 2020 – Jun 2020	Induction checklist designed and introduced and collected by CM

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		11.2	5.1 (ii) and 5.2 (i)	Consider best way to match 'buddies' for new senior staff	Re-run the CIS in Oct 2022 to assess changes over time; continue to achieve high levels of satisfaction; 100% report they feel welcome	CM, HoD	Whenever a senior recruitment is undertaken (infrequent)	100% of senior staff are offered a buddy. Ongoing updates to induction materials and yearly review of all materials. 100% staff have an induction
		11.3	5.1 (ii) and 5.2 (i)	Ensure the nature of the contract and renewal process is discussed with the new staff member at induction if this has not been done before	Re-run the CIS in Oct 2022	CM, LMs	By Dec 2019	Contractual arrangements and expectations are routinely and consistently discussed with 100% of new staff.
		11.4	5.3 (iv) Action based on suggestion from 2018 CSS	Include in induction document information on career seminars for PhD students (see action 8.1)	Re-run the CIS in Oct 2022	EDAT Leads for PSS, CM	Jan 2020 – Jun 2020	Information included and updates maintained as required
	Ensure we understand why staff / students leave CHE	12.1	4.2 (iii)	Use new exit information questionnaire designed by EDAT to track grade, gender, full/PT status, reasons for leaving, destination. System in place for routine monitoring and discussed annually at EDAT. Review of any issues and identification of improvements to be made and actions followed up		EDAT Lead for leavers	Jan 2020 – Jul 2020	Record of leaver characteristics (grade and gender) created and maintained, 90% response rate in exit questionnaire data. Greater understanding of reasons for departures and 100% of identified issues addressed
	Ensure consistent approach by line managers to managing staff	13.1	Action based on findings from 2018 SCS	Have discussions at LMs' meetings about dealing with both formal and informal requests for flexible working and dealing with any complaints about harassment, bullying or offensive behavior.	Re-run SCS in Feb 2023 to assess if improvement in response to questions	HoD, CM, LMs	By Oct 2019	Survey results discussed and minuted at LM meeting and any actions followed up

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				Include presentation by Harassment Advisers. Keep staff informed (see action 7.2)				
	Encourage high participation in appropriate training activities for all staff	14.1	5.3 (i), 5.4 (i)	Lobby UoY for more dates for popular training courses (e.g. chairing meetings), or organise CHE specific versions of UoY training courses when oversubscribed, consider hosting external courses at CHE, promote external training courses more, including on-line courses to improve access to training, check PT staff can access training and encourage completion of training record	Evaluate success by adding question to SCS 2023 on whether training opportunities are adequate	CHE Training officer	Jan 2020 – Dec 2020	Monitor changes in UoY training offerings over time
		14.2	5.3 (i), 5.4 (i)	Refresh PR training every five years		CHE Training officer	Spring 2020	Record maintained of whom has undertaken PR training and when and reminders sent to those who need refresher training