



Department Application
Silver Award



Name of institution	University of York (UoY)
Department	Centre for Health Economics (CHE)
Focus of department	STEMM
Date of application	April 2017
Award Level	Silver
Institution Athena SWAN award	Date: 2015 Level: Bronze
Contact for application	Professor Rowena Jacobs
Email	rowena.jacobs@york.ac.uk
Telephone	01904 321425
Departmental website	http://www.york.ac.uk/che/

CONTENTS

List of tables.....	iii
List of figures	iv
List of pictures	v
Glossary	vi
Explanation about staff grades	vii
Data sources	vii
1. Letter of endorsement from the head of department.....	1
2. Description of the department	3
3. The self-assessment process.....	6
4. A picture of the department	11
4.1. Student data	11
4.2. Academic and research staff data	18
5. Supporting and advancing women’s careers	28
5.1. Key career transition points: academic staff	28
5.2. Key career transition points: professional and support staff	35
5.3. Career development: academic staff	36
5.4. Career development: professional and support staff	42
5.5. Flexible working and managing career breaks	45
5.6. Organisation and culture.....	49
6. Case Studies: Impact on Individuals.....	59
7. Further information	61
8. Action plan	65

LIST OF TABLES

Table A: Grades and job titles used in CHE	vii
Table 1: Membership of Equality and Diversity Action Team (EDAT).....	7
Table 2: Percentage of female PGR students in CHE, benchmarked against FSS and UoY	14
Table 3: Gender split of research staff across all grades, 2012-2016	18
Table 4: Comparing gender balance by grade with UoY overall in 2016	21
Table 5: Leavers by gender	27
Table 6: Recruitment to Research Posts, 2011/12 – 2015/16	28
Table 7: Applications for promotion by grade and gender divided by number of eligible research staff applicants (percentages in brackets), by ‘success’ year	32
Table 8: Eligible and submitted staff in CHE in the RAE in 2008: WTE included for joint appointments	34
Table 9: Eligible and submitted staff in CHE in the REF in 2014: WTE included for joint appointments	34
Table 10: Grant applications submitted and successful by gender	41
Table 11: Maternity return data in CHE by full-time / part-time status on return, 2012-2016	47
Table 12: Number of male staff in CHE taking paternity leave by grade, 2012-2016	47
Table 13: Composition of CHE internal committees in 2014 and 2017	52
Table 14: List of CHE’s representatives on University committees by gender, staff type and grade in 2016.....	53
Table 15: Proportion of female presenters in CHE and Economic Evaluation seminar series	57
Table 16: Applicants and awards for Alan Williams Fellowships by gender	58
Table 17: Comparison of CHE Culture Survey results for 2013 and 2016 for all staff and students	62
Table 18: Submission and action plan survey results for all staff and students (continues on next page)	63
Table 19: Silver Athena SWAN Action Plan for the next four years	65
Table 20: Progress on delivery of Bronze Athena SWAN Action Plan.....	83

LIST OF FIGURES

Figure 1: Staff and student numbers in CHE, by gender, 2016	3
Figure 2: University of York (red) and CHE (blue) Athena SWAN Governance Structures.....	10
Figure 3: Number of postgraduate taught students by gender in the residential MSc in Health Economics and CHE summer placements, by academic year	12
Figure 4: Number of postgraduate taught students by gender in the Distance Learning Programme (DLP)	13
Figure 5: Student outcomes from Distance Learning Programme (DLP), 2012-2016.....	13
Figure 6: Postgraduate students on research degrees (FT and PT) who are located in CHE and supervised by CHE staff	14
Figure 7: Funding arrangements for CHE research students, headcount	16
Figure 8: CHE funded studentship applicants and awardees, male and female numbers.....	17
Figure 9: Proportion of each grade over time by gender	19
Figure 10: Histogram of each grade by gender.....	20
Figure 11: Histogram of each gender by grade.....	20
Figure 12: Pay gap for all research staff in CHE, 2010-2016	22
Figure 13: Proportion of each gender over time by FT vs PT	23
Figure 14: Histogram of each gender by FT vs PT	23
Figure 15: Proportion of each gender over time by ethnicity.....	24
Figure 16: Histogram of each gender by ethnicity.....	24
Figure 17: Proportion of each gender over time by contract type	26
Figure 18: Histogram of each gender by contract type	26
Figure 19: Average time (years) in previous grade and average age at promotion, numbers in brackets, data from 2006-2016.....	33
Figure 20: Placement supervisors in CHE, by gender.....	39
Figure 21: Number of committee members and gender breakdown of CHE committees	51
Figure 22: CHE committee membership by grade	52
Figure 23: Participation on external committees by gender, 2012-2016	54
Figure 24: Proportion of staff participating on external committees by gender and by grade over the last five years	55

LIST OF PICTURES

Picture 1: Example excerpt from internal CHE newsletter	5
Picture 2: Launch issue of EDAT Corner	6
Picture 3: Members of the EDAT	9
Picture 4: CHE PHD students' Christmas party	15
Picture 5: Example of template forms to prompt and report on discussions on promotion (for research staff) and role review (for support staff)	31
Picture 6: Webpage excerpt on support staff development	43
Picture 7: Shortlisted CHE staff nominees at Professional@York conference celebrating achievements of Professional and Support Staff at York.....	44
Picture 8: CHE award winner (left) at Professional@York conference	44
Picture 9: CHE Maternity, Paternity and Adoption leave document	45
Picture 10: Array of international foods made by CHE staff for annual International Food and Wine event.....	50
Picture 11: CHE staff at the annual International Food and Wine event.....	50
Picture 12: CHE staff at lunchtime Yogilates class	56
Picture 13: Kerry at the long service awards ceremony at the University of York	59
Picture 14: Pedro and Marta's daughter Alice.....	60

GLOSSARY

AS	Athena SWAN
BME	Black and Minority Ethnic
BOS	Board of Studies
CHE	Centre for Health Economics
CI	Co-Investigator
CM	Centre Manager
CS	Culture Survey
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
ECR	Early Career Researcher
ECU	Equality Challenge Unit
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
GRS	Graduate Research School, University of York
HE	Higher Education
HEFCE	Higher Education Funding Council for England
HES	Hospital Episodes Statistics (HES) data
HESG	Health Economists' Study Group
HoD	Head of Department
HR	Human Resources
HYMS	Hull York Medical School
IT	Information Technology
KIT	Keeping in Touch (KIT) days during maternity leave
LM	Line Manager
MSc	Master of Science
MRC	Medical Research Council
NGO	Non-Governmental Organization
NHS	National Health Service
NICE	National Institute for Health and Care Excellence
NIHR	National Institute for Health Research
PGC	Postgraduate Certificate
PGD	Postgraduate Diploma
PGR	Postgraduate Research
PhD	Doctor of Philosophy
PI	Principal Investigator
PR	Performance Review
PT	Part-time
RAE	Research Assessment Exercise
RCUK	Research Councils UK
REF	Research Excellence Framework
SAT	Self Assessment Team
SMT	Senior Management Team in CHE
STEMM	Science Technology Engineering Maths and Medicine
TAP	Thesis Advisory Panel
UoA	Unit of Assessment as part of RAE / REF
UoY	University of York
VC	Vice-Chancellor
WTE	Whole Time Equivalent

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. Our staff grades in CHE are outlined in Table A below.

Table A: Grades and job titles used in CHE

Job title	Grade	Spine points on pay scale
Research staff		
Professor	Prof / Chair	Prof bands 1 to 3
Reader	G8R	44 - 51
Senior Research Fellow	G8	44 - 49
Research Fellow	G7	36 - 43
Research Fellow	G6	29 - 36
Career Development Internships	Internship Grades*	Level 2: 2.1 – 2.3
Support staff		
Support staff	G7	36 - 43
Support staff	G6	29 - 36
Support staff	G5	21 - 28
Support staff	G4	15 - 20

*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 '2012' refers to the period 1 Nov 2011 - 31 Oct 2012. We have aggregated data with very small numbers in some categories to maintain anonymity.

We have analysed data drawn from:

1. the University of York (UoY) staff survey for 2014 (46 respondents out of 48 eligible - 96% response rate, 26 female (54%));
2. the HE STEM CHE Staff and Student Culture Survey (CS) conducted in December 2016 (60 respondents out of 74 eligible – 81% response rate, 29 female (55%), 7 prefer not to say), full results in Section 7;
3. the CHE staff and student Induction Survey conducted in December 2016 (25 respondents out of 30 eligible – 83% response rate, 12 female (55%), 3 prefer not to say); and
4. the Submission and Action Plan Survey conducted in March 2017 (33 respondents out of 63 eligible – 52% response rate, 13 female (39%), 6 prefer not to say), full results in Section 7.

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 Faculty of Social Sciences (FSS) and rest of University of York (UoY).

Overall: 11,998 / 12,000 maximum words

1. LETTER OF ENDORSEMENT FROM THE HEAD OF DEPARTMENT

THE UNIVERSITY *of York*



Alcuin A Block
University of York
Heslington, York, YO10 5DD

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

Dear Equality Charters Manager

I am writing to provide my strongest support for our application for an Athena SWAN silver award. I am personally committed to ensuring that the culture, policies and practices in the Centre for Health Economics (CHE) reflect the Athena SWAN principles, creating an inclusive environment in which everyone can flourish regardless of role, grade or personal characteristics.

Achieving the Bronze gave us a terrific boost and provided a major impetus for action which has continued over the three years since our submission. We have achieved all the actions from our plan and have begun to tackle the new challenges arising out of them. For example, our Bronze application highlighted that whilst we had excellent promotion success rates for women and 100% return to work following maternity leave, this did not translate into a balanced outcome at senior grades. We have increased the proportion of females in senior grades from 31% to 38% since the Bronze application (and if promotion applications made last year succeed, this will further improve), as well as reducing the size of the pay gap, these outcomes linking to completion of actions such as formalisation of policies for promotion preparation and support for females in committee membership. However, our Silver application shows that analysis of time on grade before promotion and recruitment rates identifies the further work required on the pipeline to support the advancement of our goals, especially in terms of other protected characteristics. Another example of impact relates to the improvement in gender balance on external committees which linked to our audit of participation rates and pro-active consideration of opportunities by line managers, which we seek to sustain.

Other highlights include:

- ongoing 100% return rate after maternity leave;
- University's first case of additional paternity leave;

- flexible working arrangements in place to respond to needs such as caring responsibilities, disability;
- complete overhaul of induction process with very high satisfaction rates achieved;
- marked improvement in gender mix of recruitment panels and external seminar speakers;
- better processes for recognition of co-applicant contributions to grant proposals;
- major strides in embedding equality and diversity into the department.

The impact of the latter is reflected both in the high participation rates for the Culture (81%) and Induction (83%) surveys, undertaken in December 2016; and also in the responses, e.g. almost 100% of respondents agreeing “CHE is a great place to work for women and men”.

The engagement of senior staff with the Athena SWAN agenda remains strong: four of the members of our expanded Equality and Diversity Action Team (EDAT) are on the Senior Management Team including myself, and we have increased the number of male members. Challenging some of our assumptions about our department has been enlightening, and this application and action plan show we have the ambition to improve further and build upon the enthusiasm and motivation that exists across the department.

I confirm the information in the application is accurate and honest.

Yours sincerely



Professor Maria Goddard
Director of CHE

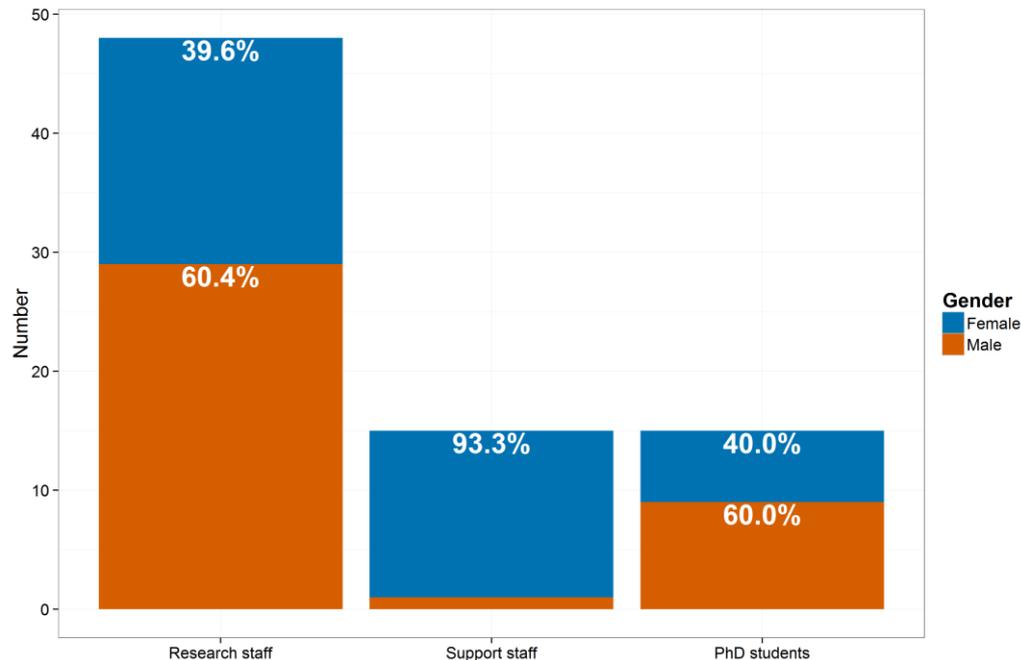


(484 words)

2. DESCRIPTION OF THE DEPARTMENT

CHE is a research centre with 48 research staff, 15 support staff and 15 PhD students (Figure 1) and our main activity is applied health research. We have departmental status within the FSS in the UoY.

Figure 1: Staff and student numbers in CHE, by gender, 2016



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 Queens Anniversary Prize in 2008) and internationally (the only UK institution appearing in a “Top 25” listing of influential health economics institutions).²

We were:

- ranked equal 1st for health services research in RAE 2008
- ranked equal 7th in REF 2014 (both cases with other UoY departments)
- rated on the three case studies we provided in REF 2014 in the confidential feedback as “outstanding”

Feedback from the UoY’s Chancellor and Chair of NHS England, Sir Malcolm Grant, after visiting CHE in 2016, supports the UoY’s regard for the department: “although of course I had long known of the great reputation of the Centre, I was blown away by the impact it has had on health policy in the UK and internationally”.

We are externally funded with an annual research income of over £4 million predominantly from health funders.

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.

As a research centre, CHE does not engage in significant teaching activities. Our PhD students, supervised by CHE staff, are located in and form an integral part of CHE, but are registered with Department of Economics and Related Studies (DERS) or Department of Health Sciences (DoHS), since these departments have a Board of Studies (BOS), which CHE does not. 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 courses which attract over 300 people annually from over 36 countries.

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

In addition to an external newsletter for stakeholders, CHE circulates an internal newsletter three times a year which celebrates achievements and provides news e.g. marriages, babies and awards. We have launched an E&D newsletter (EDAT Corner) and will have a regular column in future newsletters.

Picture 1: Example excerpt from internal CHE newsletter

CHE News February 2017

Staff news

Well done to...



Hyacinthe Kankeu who successfully defended his thesis on informal payments for health care in African countries and obtained his PhD at Aix-Marseille University (France) in October.

Miqdad Asaria who successfully defended his PhD thesis on the economics of health inequality, in December.



Chen Chen, who also successfully completed her PhD in January 2017 with her thesis entitled health economic analysis of China's health insurance system.

Congratulations to...

Alex Rollinger who won the Outstanding Collaborative Working-Individual Award at the Professional@York conference awards ceremony.



Gill Forder, Gillian Robinson, Trish Smith, Vanessa Wood and of course **Alex** were all short-listed for awards at the conference.



Jessica Ochalek, Nils Gutacker and **Mark Wilson** who all received Making the Difference Awards. The awards recognise Jessica's achievements with the

Ministry of Health in Malawi and Nils and Mark's complete overhaul of our data protection arrangements which underpinned CHE's award of 97% achievement of the standard required for the NHS Information Governance Toolkit.



Welcome to new staff...



Idaira Rodriguez Santana, a PhD student in CHE, was appointed as a Research Fellow and joined the Health Policy team in November.

Jemimah Ride from Monash University in Australia was appointed as a Research Fellow, and joined the Health Policy team, in January.



Picture 2: Launch issue of EDAT Corner

EDAT Corner

November 2016



**Athena SWAN
Bronze Award**



CHE
Centre for Health Economics

Hello from the Equality and Diversity Action Team (EDAT). We seek to make CHE a fair, welcoming and supportive place to work for everyone.

We are launching a new update section - EDAT Corner - within the regular CHE internal newsletter to keep you abreast of all our activities. This first EDAT Corner is a dedicated newsletter to provide you with a full update of what we've been doing.

What have we done?

1. Revamped our website
2. Analyzed our activities
3. Baby-changing facilities
4. Improved our induction
5. Athena Award Initiative
6. Support for promotion
7. Improved our recruitment
8. Line managers' meetings
9. Reviewed policies
10. Seminars
11. Roles within CHE

1. Revamped our website

We significantly revamped the Equality & Diversity website and now have a suggestion box whereby staff can anonymously send feedback and ideas - get in touch! And we have some great case studies on the website. From both research and support staff - take a look!

<https://www.york.ac.uk/cbe/equality-and-diversity>

The case studies now cover flexible working for maternity leave, paternity leave, caring responsibilities and disability.




Collin with her mother on Cheak's 5th birthday
Bury at the long service awards ceremony

9. Reviewed policies

We have reviewed a range of policies e.g. flexible working; maternity/paternity/parental leave. These are on the intranet. We have introduced CHE-specific initiatives e.g. a buddy system for women returning from maternity leave. We have a 100% record of returners from maternity and paternity leave on flexible working arrangements.

10. Seminars

Seminar organisers have worked hard to increase the proportion of female presenters in CHE and economic evaluation seminar series. Their hard work is paying off!

Seminar		
Year	CHE	EE
2010	27.3%	30.0%
2011	11.1%	33.3%
2012	27.3%	33.3%
2013	14.3%	25.0%
2014	30.8%	28.6%
2015	38.5%	33.3%
2016	44.4%	62.5%

2. Analyzed our activities

We have analysed a range of our activities e.g. Alan Williams fellowships, PhD studentships, MSc and PhD supervision, to examine gender balance and have acted to address any potential imbalances e.g. encouraging more female MSc supervisors.

3. Baby-changing facilities

We lobbied the University for baby-changing facilities in the Ascuta A block and those have been installed in the disabled toilets.

4. Improved our induction

We have significantly improved our induction documents and processes for new staff including pairing them with a 'buddy'.

6. Support for promotion

To enhance the support for staff development and advancement we have significantly amended our internal processes. Readiness for promotion/re-grading is now considered annually as part of performance review and line managers now formally provide summaries of the potential timelines for promotion of all staff to the CHE Director. A bank of CVs is available to research staff considering promotion. We have collated information for support staff on career development on the website. Staff successes on promotion and re-grading are collated in the staff meetings and newsletters.

What are our next steps?

1. We currently hold an Athena SWAN Bronze award which recognises our commitment to gender equality. We will submit for a Silver Athena SWAN Award in April 2017.
2. We plan to survey all new/recent starters so that we can learn whether CHE is a welcoming place and if there are aspects we can further improve.
3. We plan to survey all staff on CHE's culture and how we do on equality.

If there are other priorities you think we should address, please do let us know.



Florena Jacobs receives the Athena SWAN Bronze Award on behalf of CHE from Professor Dame Julia Higgins, Athena SWAN patron

Thank you for your participation in and support of our activities!

IMPACT

Unsolicited feedback from male Prof on launch of EDAT Corner newsletter:

“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”.

See Table 19 in Section 8 for a full list of activities and targets under each main action. We provide examples below of the relevant activities under each action.

Action 5: Continue to promote our AS and E&D activities internally and within the University. For example:

1. Continue to maintain and develop the E&D website
3. Integrate EDAT Corner into CHE newsletter

(437 words)

3. THE SELF-ASSESSMENT PROCESS

(i) a description of the self-assessment team

Following our Bronze award in 2014, we expanded the remit of our SAT and set up the EDAT (Table 1) which considers all protected characteristics. It functions to examine data, scrutinise policies and ensure processes are fair and transparent. The EDAT oversees the AS submission and has the authority to ensure delivery on the action plan.

In expanding the membership we have taken into account feedback from our Bronze application to include a higher proportion of males. We invited staff to express an

interest in joining EDAT or nominate others. The group includes representation from women (seven) and men (four); PhD students, early-, mid-career and senior staff, CM, HoD; research and support staff; FTC and open contracts; FT and PT; and staff with an interest in the range of protected characteristics.

IMPACT

Male representation on the EDAT has increased from 20% in 2014 to 36% in 2017.

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

Research Staff and Students	
 <p>María José Aragón, Research Fellow</p> <ul style="list-style-type: none"> • joined 2013 after completing PhD in Spain • originally from Chile • organiser of CHE Seminar Series 	 <p>Miqdad Asaria, Research Fellow</p> <ul style="list-style-type: none"> • joined 2010 • research focusses on health inequalities • external equality roles with Joseph Rowntree Foundation and Muslim Council of Britain
 <p>Laura Bojke, Senior Research Fellow</p> <ul style="list-style-type: none"> • joined 1999 • three maternity leaves, works PT (60% WTE moving to 80%) • partner also worked in CHE PT, shared childcare 	 <p>James Gaughan, Research Fellow</p> <ul style="list-style-type: none"> • joined 2010 • began PhD 2012, worked PT then FT • born with visual impairment from optic nerve hypoplasia, provides sensory deprivation perspective



Maria Goddard, Professor; HoD

- chaired Dignity at Work and Study Committee
- long-term member Equality and Diversity Committee
- external equality roles e.g. City of York Fairness and Equality Board



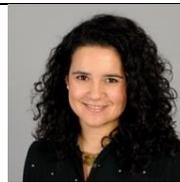
Pedro Saramago Goncalves, Research Fellow

- see Case Study (Section 6)
- joined 2008 as PhD student
- became Research Fellow 2012
- brings perspective as working parent, EU citizen



Rowena Jacobs, Professor; Chair of EDAT

- joined 1999
- two maternity leaves, worked PT since first leave
- departmental Equality Champion
- UoY Women's Forum
- AS panellist for ECU



Idaira Rodríguez Santana, Research Fellow

- joined as FT PhD student 2013
- funded by CHE studentship
- joined as Research Fellow 2016
- works PT to finish PhD
- offers student perspective



Marc Suhrcke, Professor

- joined 2014
- research interest in socioeconomic aspects of disability
- voluntary support to Non-Governmental Organisations in disability

Support staff



Trish Smith; Centre Manager (CM)

- appointed FT, reduced hours to help work/life balance, then returned FT
- before joining CHE, was senior administrator for Learning Support department for students with disabilities



Kerry Atkinson, Administrator

- see Case Study (Section 6)
- joined 1990
- two children
- diagnosed with Multiple Sclerosis in 2002, provides disabled person's perspective

(ii) an account of the self-assessment process

The EDAT has met quarterly since our Bronze and we have completed all actions from our plan (Table 20). Since April 2016 we have met monthly in preparation for the Silver with sub-groups meeting more often. The application has been a collaborative responsibility by all members of EDAT. All minutes are placed on the staff intranet. We have scrutinised our data on an annual basis, developing additional actions based on evidence, and feedback from staff, e.g. the Athena Initiative Award for which we invited ideas that could address equality issues. The winner and runner-up received gift vouchers paid for by CHE and we acted on the ideas generated. We have introduced an anonymous on-line suggestion box where staff and students can raise issues.

Picture 3: Members of the EDAT



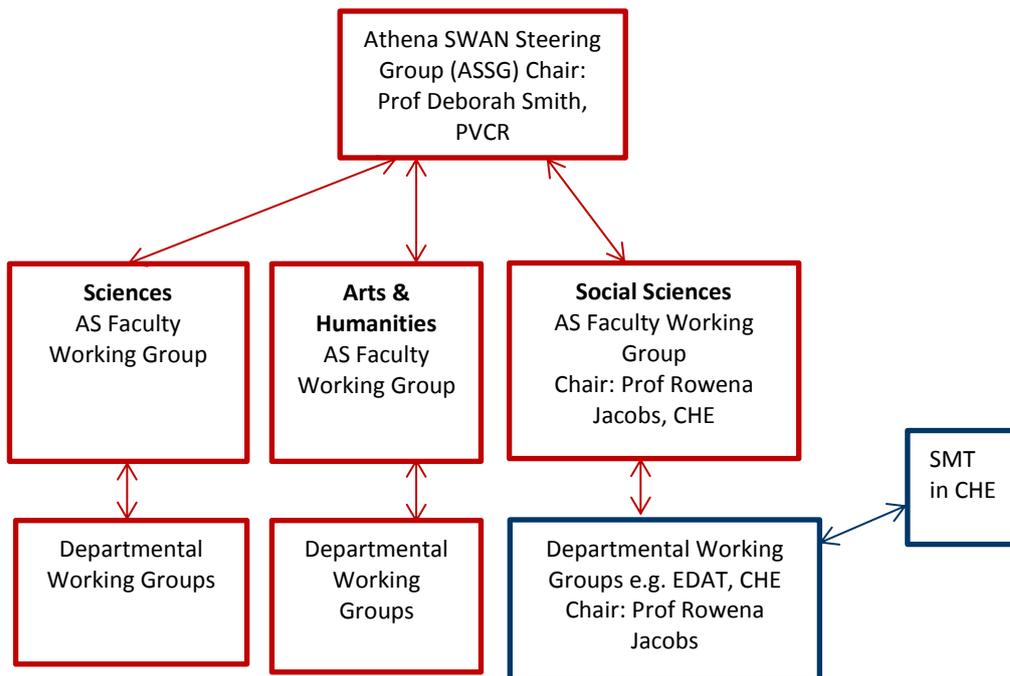
Staff completed the Culture Survey (CS) which reflected the expanded remit of EDAT. New starters in CHE also completed an Induction Survey.

Staff were updated at monthly meetings and recently through EDAT Corner. The EDAT regularly reported on progress to SMT and the final submission was approved by SMT. We shared the draft submission and action plan at a staff meeting and sought feedback through an online survey and incorporated views. The survey included responses to the question “do you think the submission document reflects the work practice and environment in CHE” with 100% of staff agreeing.

IMPACT
 100% of staff and students agreed or strongly agreed in our Submission and Action Plan Survey that this submission document “reflects the work practice and environment in CHE”.

The EDAT sits within UoY governance structures (Figure 2). The submission was reviewed by ECU panellists within UoY.

Figure 2: University of York (red) and CHE (blue) Athena SWAN Governance Structures



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

The EDAT reviewed its workings in July 2016. This included meetings (regularity, agenda, minutes, length, chairing), information flow (in & between meetings) and workload (timelines and 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, monitor progress and meet quarterly.

See Table 19 in Section 8 for a full list of activities and targets under each main action. We only list those relevant to the particular section.

Action 5: Continue to promote our AS and E&D activities internally and within the University. For example:

2. Hold Athena Initiative Award again
4. Review / audit workings of EDAT again to ensure it remains a high functioning team
5. Set up annual rota for routine monitoring of different data sources from Bronze award and feedback to staff and students
6. Enable and encourage more members of EDAT to give presentations externally (e.g. provide slides and data)
7. Establish an annual budget for EDAT (e.g. training for EDAT members, books, Athena Initiative Award)

Action 4: Ensure E&D is incorporated into all workings of CHE.

1. Have E&D as a standing item on the SMT agenda
2. Have E&D / EDAT as a standing item on the LMs' meeting agenda
3. Include E&D in all the terms of reference of the groups / committees in CHE as appropriate
4. Integrate E&D into how groups/committees operate and decisions are made, e.g. website group consider language, images, news items used

Action 3: Improve gender balance across all committee participation. For example:

1. Proactively consider diversity for membership of groups/committees when replacing /rotating members
2. Ensure inclusion of students on committees where appropriate
3. Set fixed terms of office for substantive administrative roles in CHE, where appropriate, so they can rotate (including EDAT)
4. Maintain a list of staff and students' interests in participating in various groups/committees
5. Consider deputy chair roles where appropriate; encourage women to train and prepare for chairing roles

(430 words)

4. A PICTURE OF THE DEPARTMENT

4.1. Student data

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

N/A

(ii) Numbers of undergraduate students by gender

N/A

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

CHE does not run a postgraduate taught course, but does contribute to the residential MSc Health Economics course and the DLP in Health Economics for Health Care Professionals, both run by DERS. CHE has no control over student recruitment for the MSc, but does for the DLP. CHE staff lead modules on the DLP and give lectures on both programmes. CHE also offers around 6-8 summer placements to MSc students drawn from the overall MSc pool, however the allocation of students to CHE is undertaken by DERS. Whilst CHE does not run these courses nor allocate places, we still consider gender balance of students, since the MSc course serves as a potential recruitment pool for CHE staff and PhD students.

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

Figure 3: Number of postgraduate taught students by gender in the residential MSc in Health Economics and CHE summer placements, by academic year

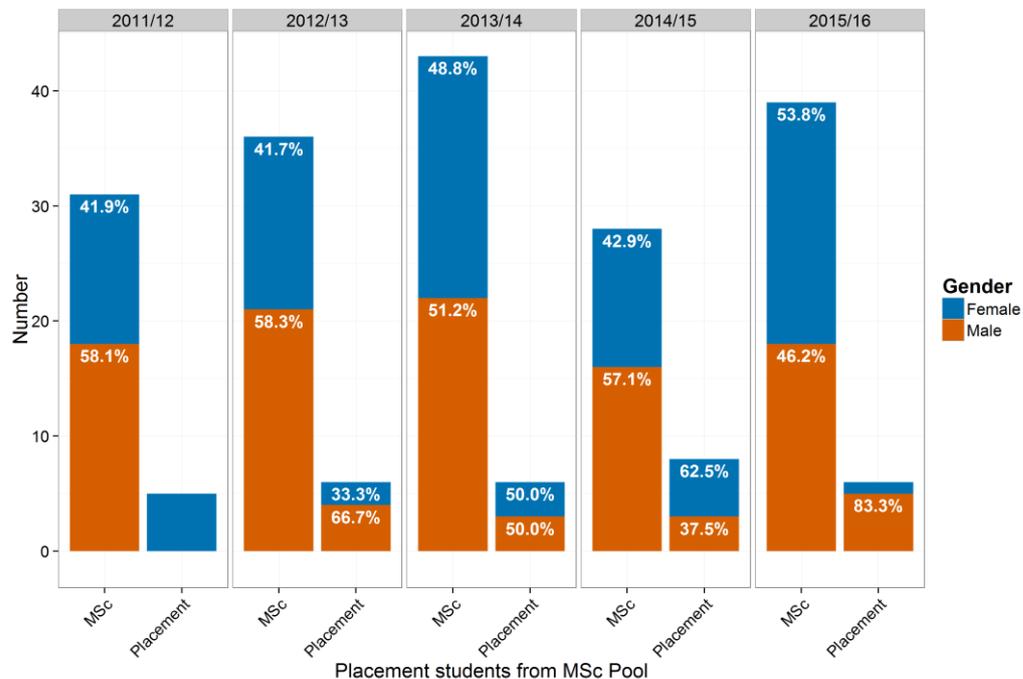
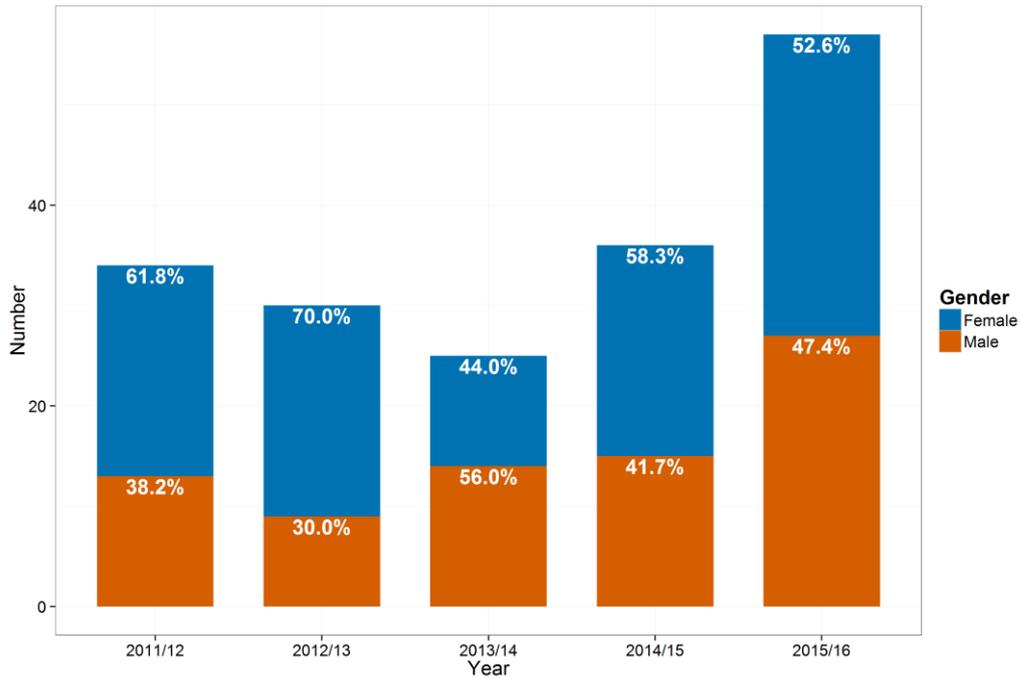


Figure 3 shows that the gender mix in the pool of students registered on the MSc varies from year to year, with no obvious long term trend. Since 2012, the number of female students in the MSc pool has ranged between 40% and 54%, (46% average). Undergraduate degrees which may feed into the MSc pool are too varied to assess gender balance nationally e.g. economics, medicine, pharmacy. The number of students who choose placements in CHE every year also varies and may depend on the competing topics offered by other institutions.

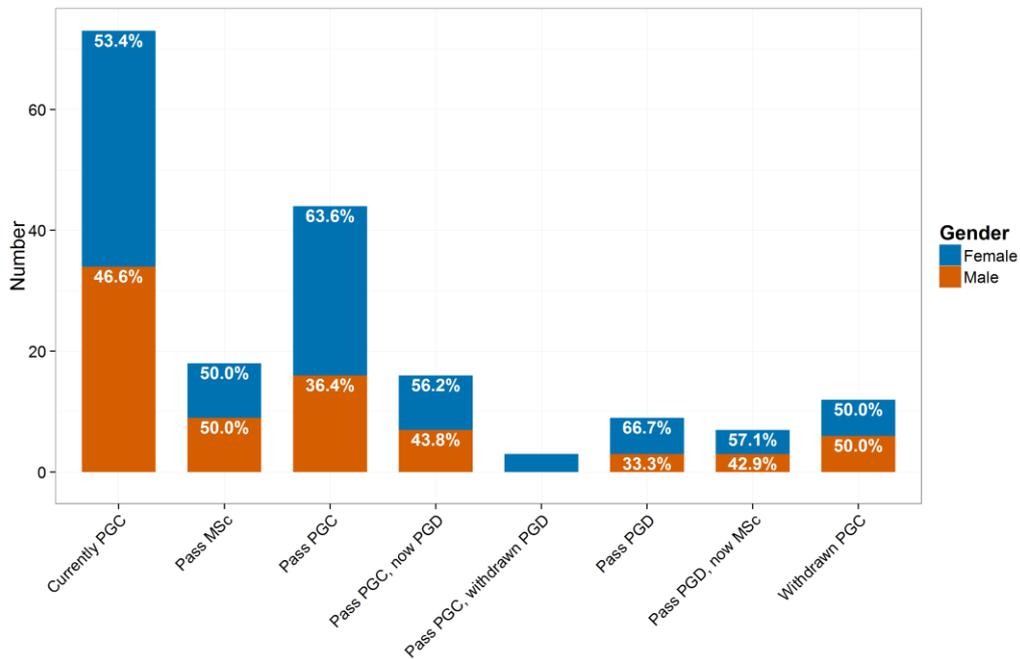
Figure 4 shows student numbers by gender on the DLP. With the exception of 2014, the number of female students exceeds the number of males. The programme is flexible to fit around work and personal commitments, and as the course has expanded, a more stable gender balance has been achieved.

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), postgraduate diploma (PGD) or an MSc and can transition between them. Figure 5 shows that women usually have slightly better outcomes.

Figure 5: Student outcomes from Distance Learning Programme (DLP), 2012-2016



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

CHE PhD students are recruited by DERS or DoHS (see 4.1 (v)). CHE's involvement is via: i) supervision by CHE staff (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 there is no discernible overall trend in the number of PhD students supervised by CHE staff, by gender, but in 2014/15 and 2015/16 there was a dip in the proportion of male students. Numbers are small and year to year fluctuations should not be over-interpreted.

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

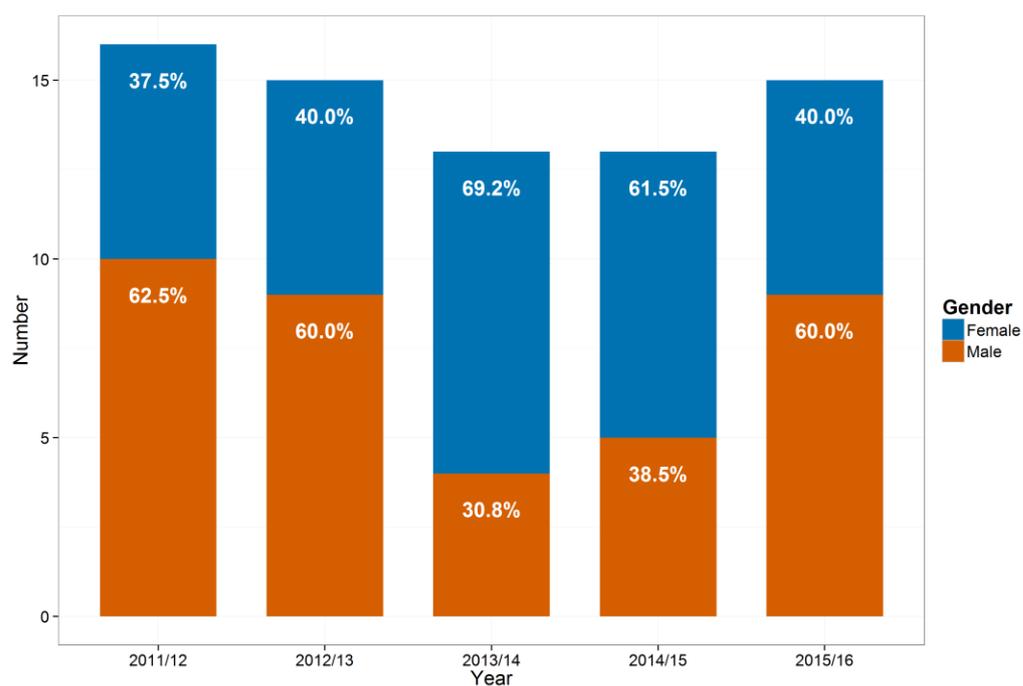


Table 2 shows that the percentage of females in a PGR program in FSS is fairly constant at approximately 50%. The average percentage of female PGR students for the UoY is 47%, slightly lower than for CHE.

Table 2: Percentage of female PGR students in CHE, benchmarked against FSS and UoY

	2011/12	2012/13	2013/14	2014/15	2015/16	Overall
FSS	51.3%	49.9%	50.3%	52.5%	50.6%	50.9%
UoY	45.7%	45.9%	45.9%	47.8%	48.7%	46.8%
CHE	62.5%	40.0%	69.2%	61.5%	40.0%	54.6%

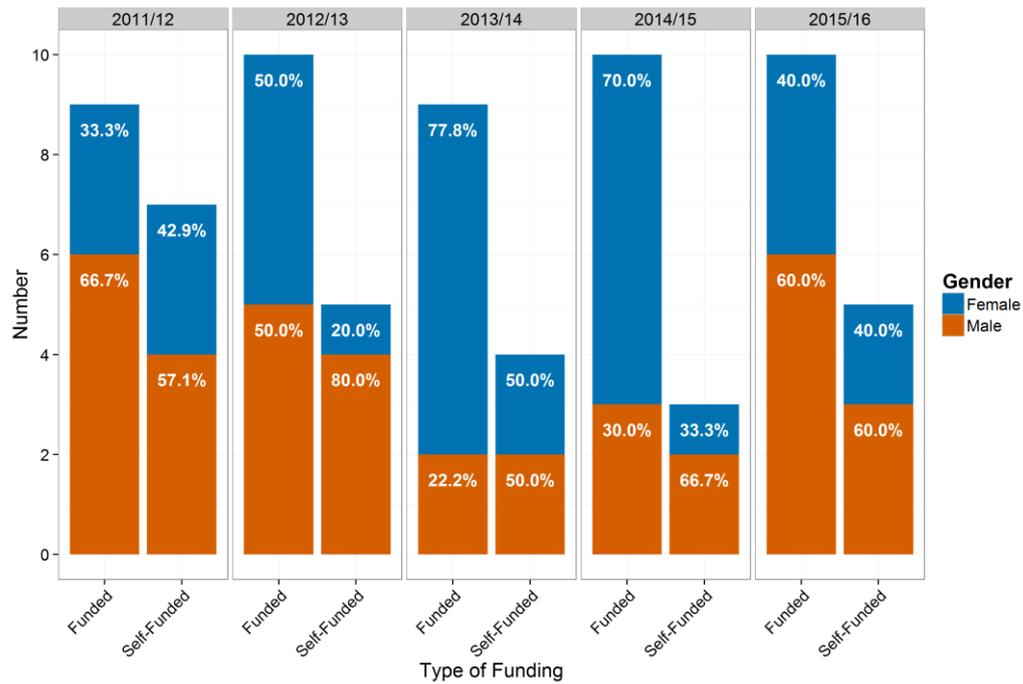
Picture 4: CHE PHD students' Christmas party



In terms of PT PGR students, over the period we have had no female PT students and the number of male PT students has remained constant (at two) since 2013. Nonetheless, the proportion of PT students out of the total number of PGR students is greater for CHE (16%) than for FSS (10%) in the period 2012-2016. These figures reflect CHE's flexible working policies that allow students to combine their studies with work and/or family commitments.

We considered if there is gender bias in allocation of funding and find no evidence of this. The proportion of female funded students has increased from 33% in 2012 to 40% in 2016 (Figure 7). There is volatility due to small numbers. For the years 2014 and 2015 the proportion of funded PhD females was 78% and 70%. This is in line with the increase in female PGR students in these two years (Figure 6) and suggests funding runs in line with the overall gender balance. The reduction in the proportion of funded female students in 2016 reflects the fact that some are in their fourth year which is usually unfunded.

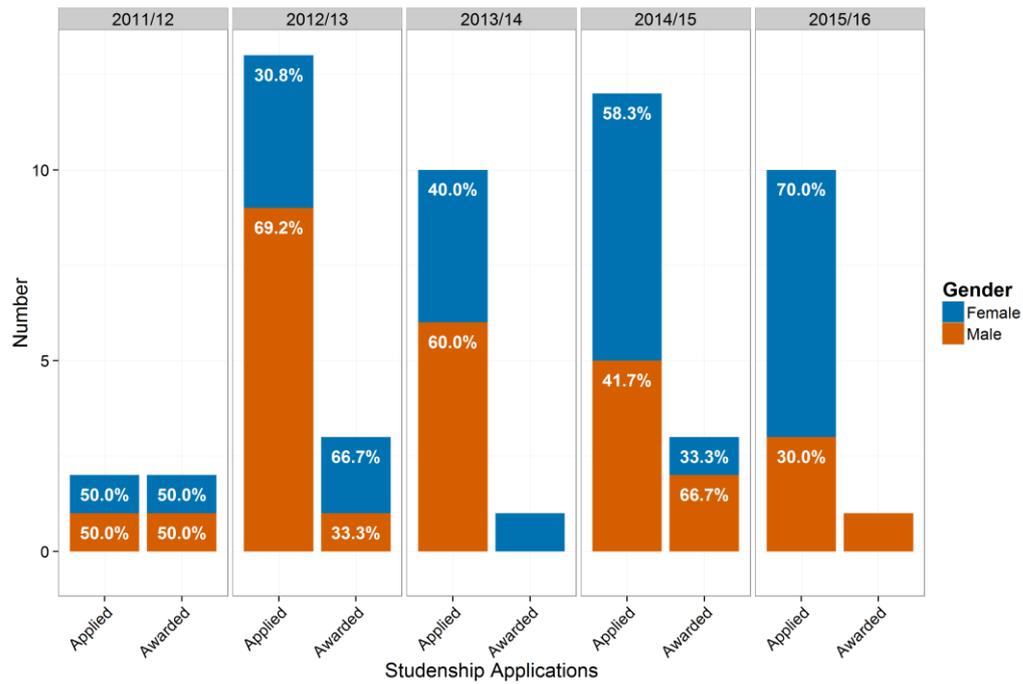
Figure 7: Funding arrangements for CHE research students, headcount



Self-funded students may bring funding from their own countries. Seven funded PGR students hold studentships awarded by CHE (4 female/3 male). We advertise a range of topics with a gender mix of supervisors. Whilst the final admission decision still rests with the departments in which students are registered (DERS and DoHS), CHE has a greater involvement in the selection of students to whom it awards a grant.

Figure 8 displays studentship applicants and awardees. Numbers are small and there is no clear pattern or trend. Overall, the aggregate for these years, (49% of applications female; success rate 50% female), suggests gender balance of awardees and applicants.

Figure 8: CHE funded studentship applicants and awardees, male and female numbers



The EDAT has implemented changes to advertisements for CHE studentships, which since 2015 has included 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
 On average in the last five years, CHE PhD Studentship applications and awards have been gender balanced.

(v) Progression pipeline between undergraduate and postgraduate student levels

Undergraduate and postgraduate taught degrees are not applicable to CHE.

Potential PhD supervisors may be approached by prospective students with an interest in their research area. If students and topics are deemed a suitable match by the supervisor, students are asked to apply through DERS or DoHS. Alternatively, these departments may circulate project proposals by prospective students to potential supervisors. Since CHE is a small department and the pool of supervisors is relatively small, the process is informal.

For MSc students, CHE staff with an interest in supervising students and with a suitable project, are asked to put forward a brief proposal. CHE hosts an annual reception to introduce all MSc students to CHE staff, the department, and placement topics on offer. At this event, we ensure both males and females are given opportunities as role models to present about their experiences of studying and working at CHE. The event offers

opportunity for students to talk to placement supervisors. Students then apply and DERS allocates students to projects according to the student's preferences and skills.

Since 2006, 50% (56%) of the total number of PGR students come from the MSc in Health Economics (all MSc's in York). If CHE PhD studentship or job opportunities arise these are advertised amongst the MSc students.

(1012 words)

4.2. Academic and research staff data

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

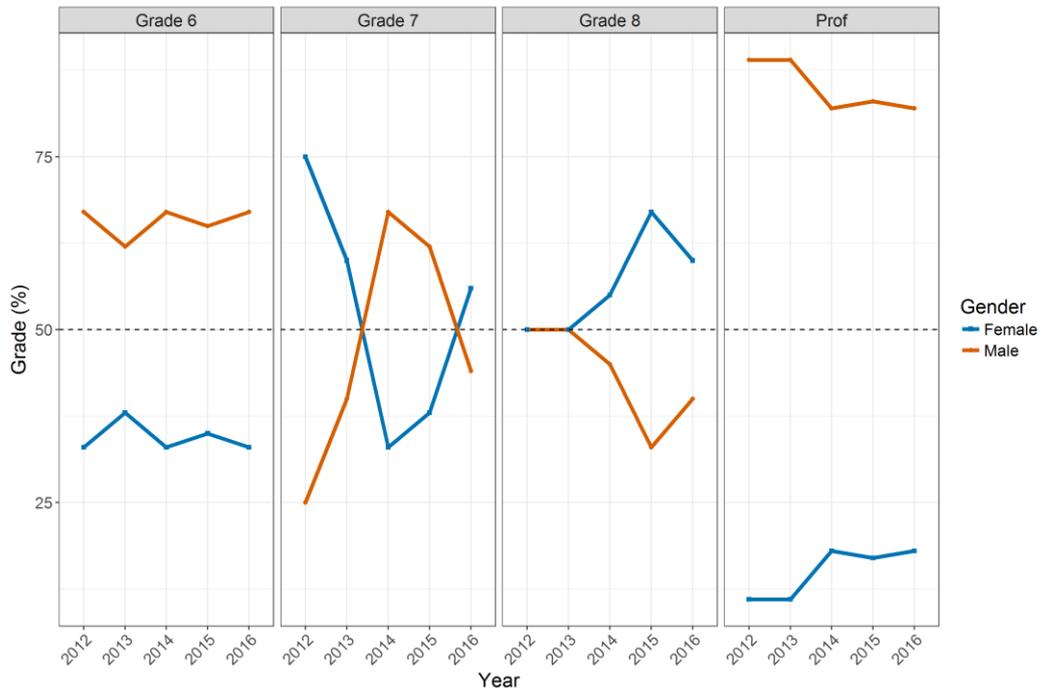
Table 3 shows the gender split of research staff. While overall numbers have increased, the gender mix has remained relatively constant, ranging between 35% (2014) and 40% (2016) female.

Table 3: Gender split of research staff across all grades, 2012-2016

Year	Female N (%)	Male N (%)	Total N
2012	15 (37%)	26 (63%)	41
2013	15 (38%)	25 (62%)	40
2014	16 (35%)	30 (65%)	46
2015	18 (37%)	31 (63%)	49
2016	19 (40%)	29 (60%)	48

We are interested in gender mix by grade (Figures 9 and 10).

Figure 9: Proportion of each grade over time by gender



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.

Male staff outnumber female staff at G6 and have done so systematically between 2012 and 2016, making up between 62% and 67% of all G6 posts (Figure 9). There are more staff at G6 than any other grade (Figure 10) and this forms the beginning of the pipeline. Since our Bronze, we have focused our efforts on getting better gender balance at senior levels, but this analysis has revealed we need to also focus our efforts on the start of the pipeline, including recruitment.

There have historically been small numbers of staff at G7, hence the volatility in the gender balance reflecting each new hire or promotion – the number of staff at G7 increased from four in 2012 to nine in 2016 (Figure 10). G7s are approximately balanced in terms of gender.

In 2012 and 2013 the gender split at G8 was 50:50. Since then a larger number of female staff have been promoted to G8, compared with male staff (two male G8 staff have left).

Figure 10: Histogram of each grade by gender

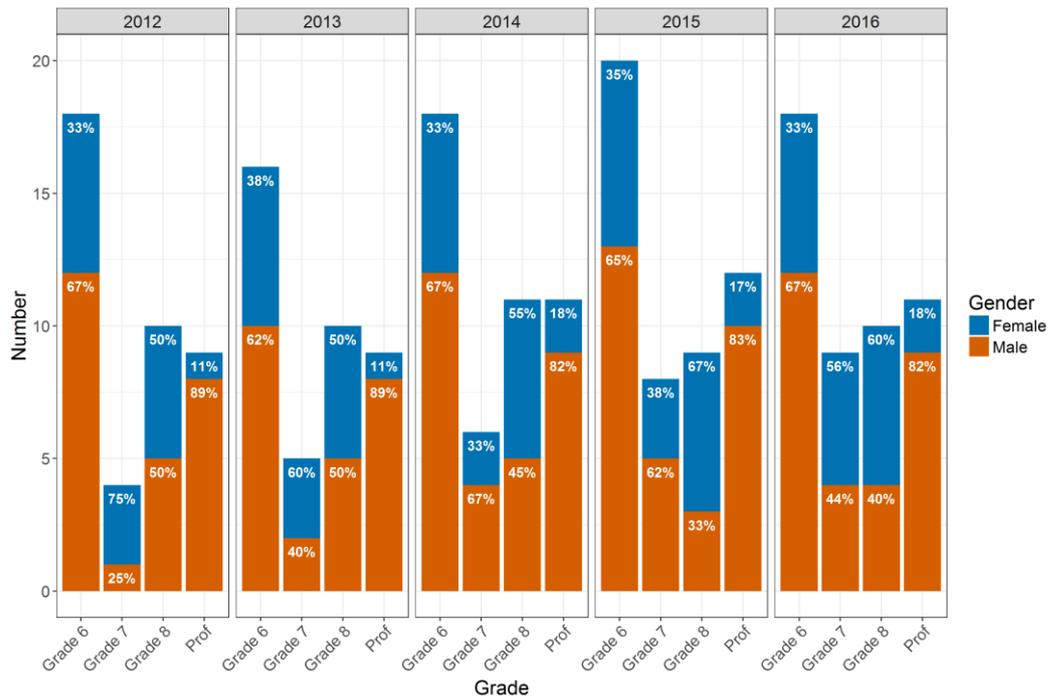
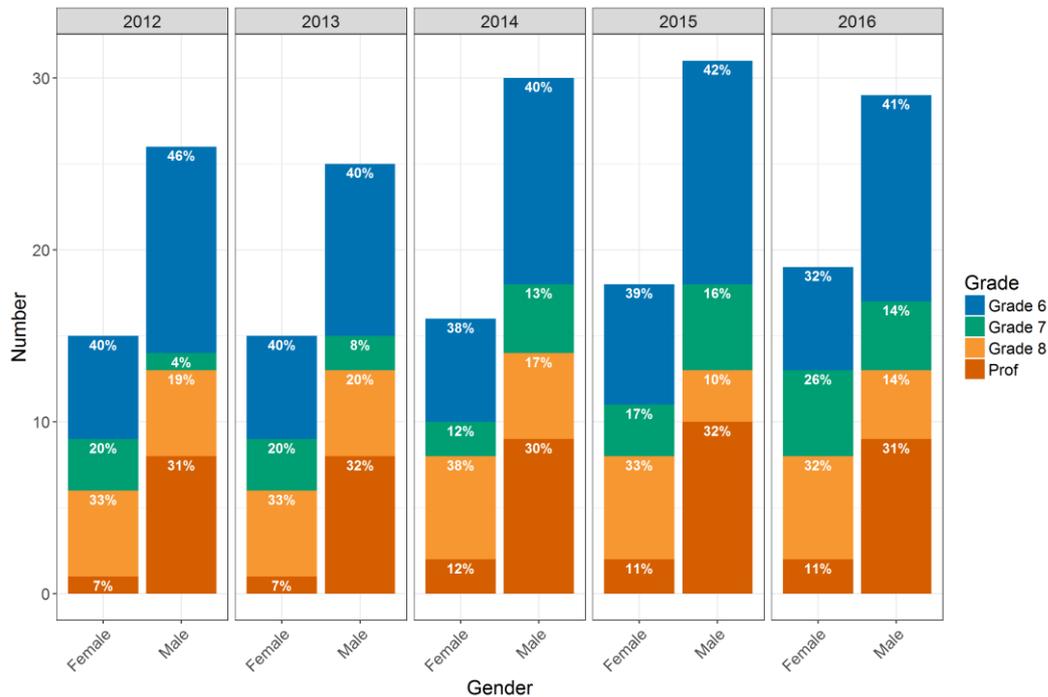


Figure 11: Histogram of each gender by grade



Following from our Bronze actions, in 2014 the female professoriate doubled (through promotion) from one to two. Yet the largest difference in male and female staff in terms of both proportions and absolute numbers remains at Professorial level (Figure 11). This imbalance has a number of causes. In part it is a historical position and we have been tackling this in a number of ways, 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. Therefore, 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 efforts to increase the proportion of female senior staff have involved active encouragement and support for females at G7 and G8 to be PIs, lead and supervise staff, and provide opportunities that help to improve CVs.

IMPACT

The overall proportion of female staff in senior grades (G8 and Chair) has increased from 31% in 2012 to 38% in 2016.

Table 4 compares the percentages of female staff at each grade in CHE against UoY. This emphasises the gaps at G6 and Professorial levels whilst demonstrating our ‘growing our own’ strategy at the intermediate grades which eventually will filter through to higher grades.

Table 4: Comparing gender balance by grade with UoY overall in 2016

Grade	Percent female	
	CHE	UoY
Grade 6	33%	46%
Grade 7	56%	46%
Grade 8	60%	40%
Professor	18%	25%

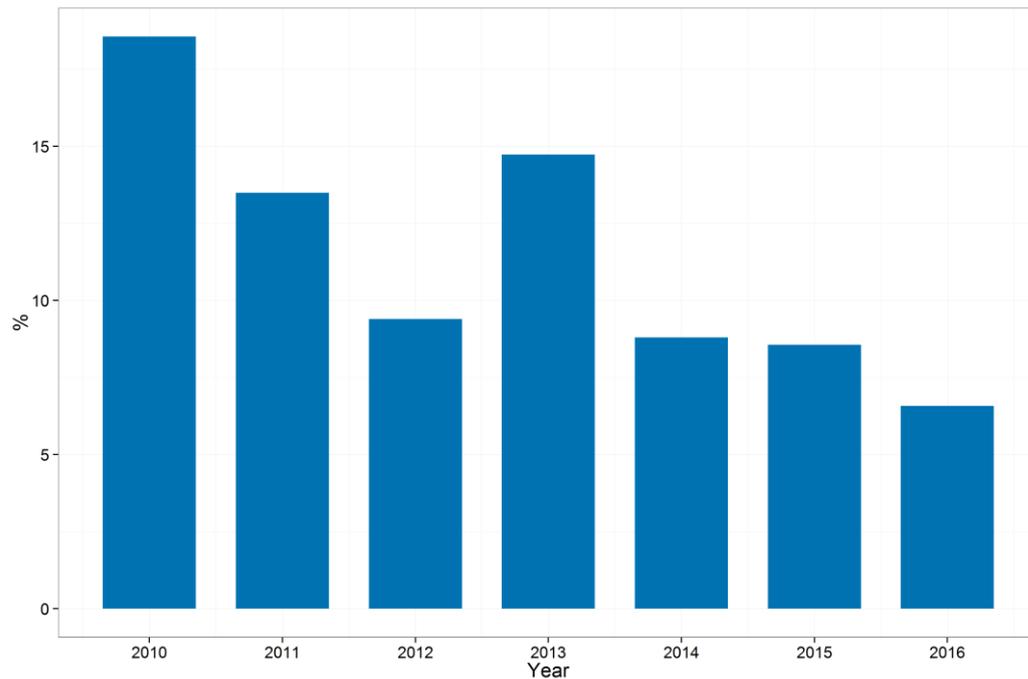
Figure 12 shows the trend in the pay gap. Whilst the pay gap is still positive (6.6%), there is a notable decline over time, having dropped by two-thirds. In comparison, the mean pay gap for all academic staff in England reported in 2013 was 12.4%³ and for UoY for all staff in 2016 was 19.7%⁴. We attribute the decline in pay gap for CHE to the increase in female research staff at G8 and Chair levels and to CHE’s policy on the determination of starting salary.

85% of staff in the CS agreed that individuals are paid an equal amount for doing work of equal value regardless of gender.

³ Source: “Equality Challenge Unit Equality in higher education: statistical report 2013 Part 1: staff”, pages 58-62, England average is for 2011/12.

⁴ Source: “Equal Pay Review 2016: All Employees”, University of York, April 2017.

Figure 12: Pay gap for all research staff in CHE, 2010-2016



Note: Paygap = ((Male staff mean salary - Female staff mean salary) / Female staff mean salary) summed over each research grade
Census date: 15 October

IMPACT

The paygap for CHE has dropped from 18.6% in 2010 to 6.6% in 2016.

The split of PT versus FT staff is presented in Figures 13 and 14 and these show an increasing proportion of female staff, and a relatively steady proportion of male staff, working PT.

In the CS, 78% (up from 66% in 2013) of staff agreed (18% neutral) that staff working PT are offered the same career development opportunities as those working FT.

Figure 13: Proportion of each gender over time by FT vs PT

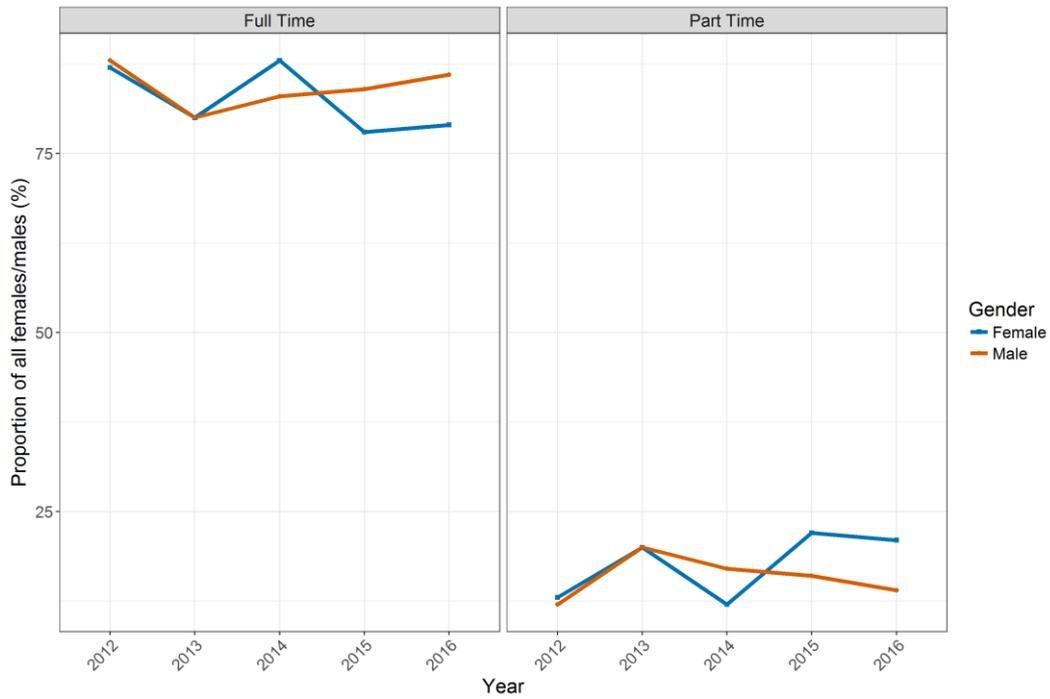
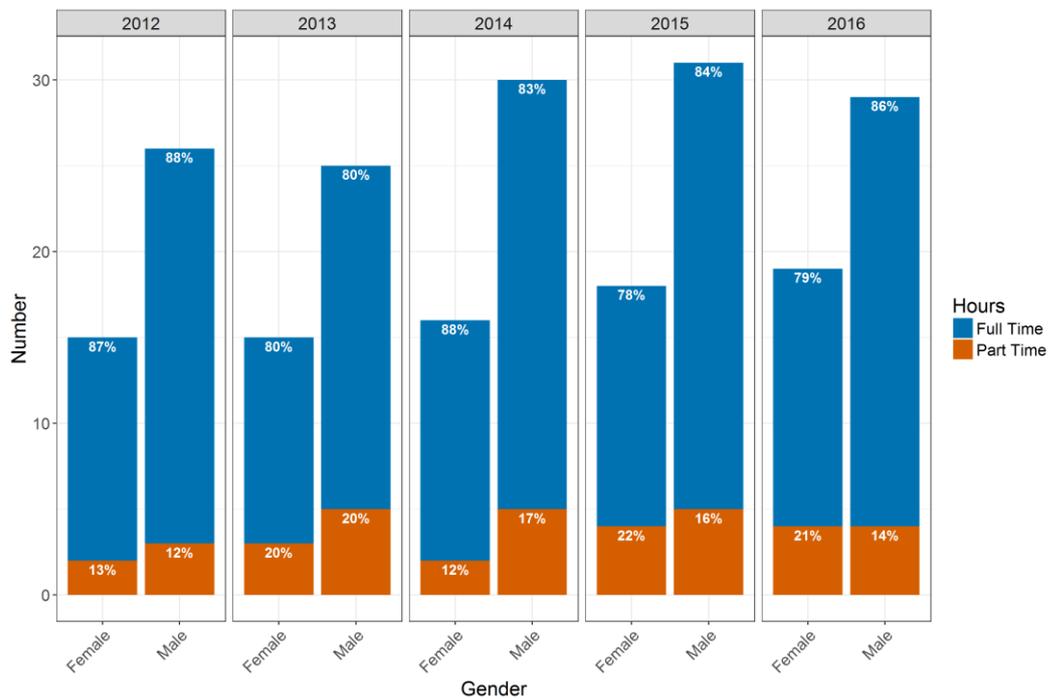


Figure 14: Histogram of each gender by FT vs PT



Figures 15 and 16 show the ethnic diversity split by gender in CHE over the last five years. One non-white female member of staff was hired in 2015, and between 2012-2016, the number of non-white male members of staff increased by two.

Figure 15: Proportion of each gender over time by ethnicity

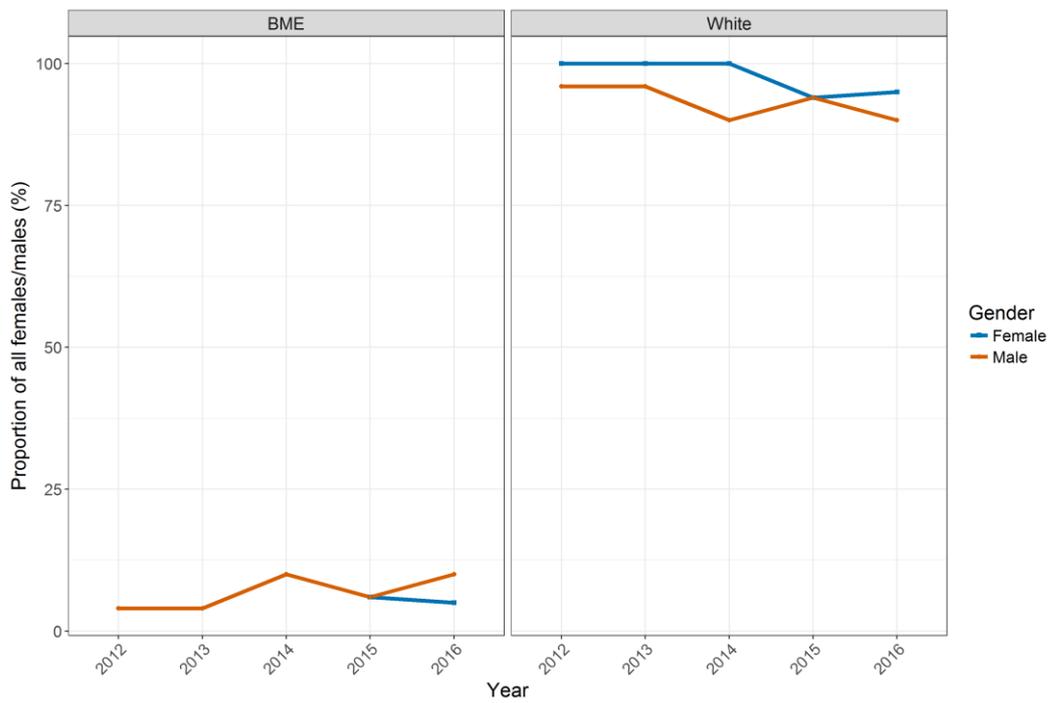
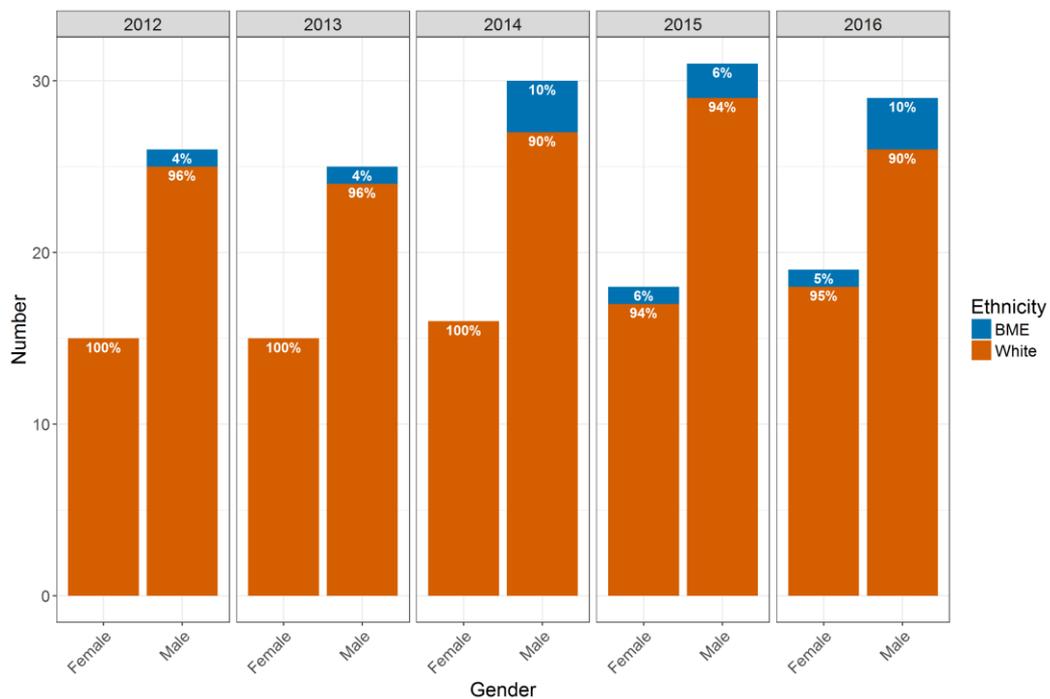


Figure 16: Histogram of each gender by ethnicity



Action 1: Continue to increase the proportion of women at G8, G8R and Professorial levels through internal promotion. For example:

1. Run focus groups/meetings with research staff in G8 to explore any barriers to progression and then generate an action plan

2. Audit the “readiness for promotion” forms to check the pipeline to female representation at senior levels
4. Offer staff taking maternity / extended leave mentors before going on leave to discuss research needs while on leave and on return

Action 2: Ensure we address diversity by strengthening recruitment practices. For example:

1. Interview candidates who have been recently appointed to obtain their views on the recruitment process
2. Review the wording in all job advertisements and recruitment documentation for elimination of any bias in regard to protected characteristics
3. Institute formal process for checking the content of job descriptions to avoid inclusion of seldom-used skills and reduce use of ‘desirable’ characteristics where possible
4. Institute process of formal consideration of feasibility of PT hours or specifying a minimum PT WTE on recruitment for all positions
5. Undertake a snap-audit of shortlisting decisions
6. Include an enhanced inclusivity and diversity statement as routine on all recruitment materials and lobby University for positive action statement
7. Pilot a process whereby one member of the interview panel scores all candidates on the same criteria for interviewing and shortlisting stage, prior to discussion
8. Ensure all members of the panel participate in the shortlisting process
9. Ensure at least one of the contacts provided for further details of the post, is female and ensure purpose of the informal conversation is clear
10. Seek to base assessment on a structured interview with a work sample test
11. Specifically ask candidates to write in the cover letter how they meet the criteria
12. Provide written guidance to Chairs of panels on best practice (including expectations about shortlist panels where no candidates include protected characteristics and checking results of shortlisting); only invite Chairs from outside CHE who have completed unconscious bias training (G7 and above posts require Chairs external to CHE)
13. Ensure at least two members of all shortlisting and interview panels are female

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

Figures 17 and 18 show trends in contract type by gender over time. Only G6 staff and some Professors have FTCs, the latter because they have chosen to return PT after (early) retirement. The greater proportions of male staff at G6 and Professorial level explain why male staff are more likely to be on FTCs. There do not appear to be any trends of concern. The proportion of open contracts has increased for both genders.

Figure 17: Proportion of each gender over time by contract type

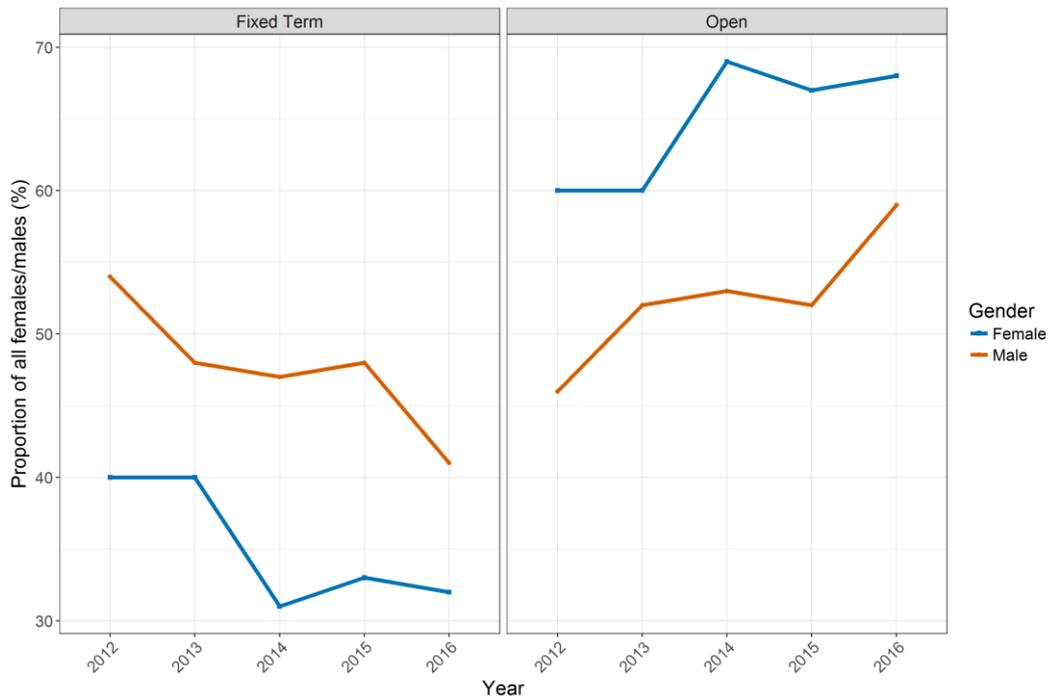
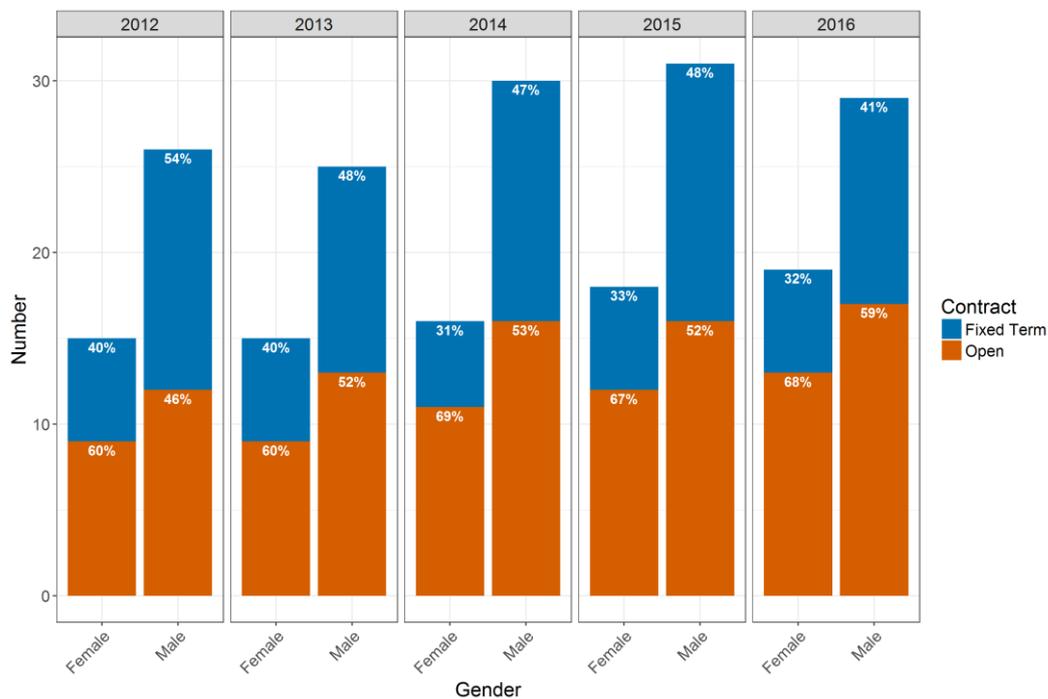


Figure 18: Histogram of each gender by contract type



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 therefore plan new projects and funding applications with this in mind and will provide bridge funding to support staff between contracts. Once

staff are promoted to G7, they are automatically offered an open contract. This is a CHE policy which goes beyond UoY or EU 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:

- In the 2014 UoY survey, CHE performed 11% above the FSS average, scoring 100% positive feedback on 'I feel safe and secure in my job'.

IMPACT

100% of staff reported 'I feel safe and secure in my job' in the University staff survey in 2014 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 small number of hours to a maximum of 12 weeks FT. Casual workers comprise staff who are already employed PT, PhD students, and occasionally external specialists. From 2012-2016, 10 PhD students were engaged as casual workers (six males, four females), in line with the gender balance of PGR students; and four externals (one female, three males).

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

Our staff turnover is low (5%) compared to FSS (17%) (2015). Between 2012 and 2016, 18 staff left CHE (Table 5). Of the 18 leavers, two were PT and the remaining were FT. There were 13 leavers at G6 (as expected given this is the early stage of research careers), two at G7 and three at G8. 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. Only one individual has left CHE in the first year (after 3 months) due to personal reasons. The number of leavers and reasons for leaving raise no particular issues of concern. Nevertheless, we will continue to monitor this.

Table 5: Leavers by gender

Year	Female	Male	Total
2012	2	2	4
2013	2	2	4
2014	1	0	1
2015	1	2	3
2016	1	5	6
Total	7	11	18
	(39%)	(61%)	(100%)

Action 12: Ensure we understand why staff / students leave CHE.

1. Set up process to monitor staff leavers by grade and gender and full/PT status
2. Create exit process in CHE which includes feedback on reasons for leaving
3. Monitor leavers' destinations
4. Review exit interview information from HR

(1107 words)

5. SUPPORTING AND ADVANCING WOMEN'S CAREERS

5.1. Key career transition points: academic staff

(i) Recruitment

Table 6 shows recruitment numbers by gender and grade.

Table 6: Recruitment to Research Posts, 2011/12 – 2015/16

Year	Grade	Female			Male		
		Applicants	Interviewed	Appointed	Applicants	Interviewed	Appointed
2012	G6	28	6	1	29	5	3
2013	G6	5	3	1	5	0	0
	G7	1	1	1	6	0	0
2014	G6	28	3	0	47	8	3
	G6/7/8	22	4	1	29	2	2
	Prof	1	0	0	4	3	1
2015	G6	15	5	0	12	4	2
	G7/8	11	1	0	19	2	0
2016	G6	31	7	3	41	5	0
	G7	5	1	1	12	2	0
	G8	1	0	0	1	1	1

Notes: 2012 G6: three applicants did not disclose gender and are not included

2013 G6, G7: three applicants did not disclose gender and are not included

2014 G6/7/8: One post advertised at three grades. The female Professor applicant was shortlisted but withdrew before interview date

2015 G6: One applicant did not disclose gender and is not included

2014/15 G7/8: One of the G6 posts was advertised at both grades and was offered to the one female interviewed, but was turned down

2016: One applicant did not disclose gender and is not included

It is difficult to interpret trends due to small numbers, especially at higher grades. At G6, where numbers are larger, generally a lower percentage of female than male applicants were appointed (4.6% versus 5.9%). However, this may be shifting (9.6% of female applicants appointed vs 0% males) in 2016. At G7, female applicants have a higher chance of appointment than males (33% versus 0%). At G8 and above, only two appointments have been made in this period, both males. In 2014, one female applied for the only Professorial post we offered in this period, but withdrew her application after being shortlisted in order to accept an overseas job offer.

The low numbers of applicants in higher grade appointments reflects the tight labour market for health economists at senior levels. Our recruitment process for higher grades follows a structured approach. We ask a large number of senior staff for suggestions and share out (between males and females) the task of contacting individuals, providing the opportunity to discuss flexible working arrangements to fit with caring and other commitments. For Chair posts, UoY also helps with the task of identifying and contacting potential applicants.

All research shortlisting and appointment panels have a gender mix (minimum one female) and 100% have received training on 'Recruitment & Selection' and 'Unconscious

Bias Awareness in Recruitment & Selection'. We offer interviews via Skype for candidates who are unable to attend in person.

IMPACT

All our research shortlisting and appointment panels have a gender mix and all members have received training.

For recent administrative and research internship appointments we have specified a PT option. Although constraints of research funding make it difficult to routinely advertise research posts as PT, we will develop a process where we formally consider this for every post. Our adverts link to case studies on our website, which illustrate a range of flexible working and we have received positive feedback on this from applicants.

Action 2: Ensure we address diversity by strengthening recruitment practices. This action covers the full set of 15 specific activities, set out in Table 19 in Section 8, including:

14. Expand the pool (to G8s and above) from whom suggestions are sought for candidates for senior appointments

Action 1: Continue to increase the proportion of women at G8, G8R and Professorial levels through internal promotion. For example:

5. Monitor the effect of recruitment (Action 2) on outcomes at senior levels

(ii) Induction

Our induction process is tailored to the specific needs of each individual. PhD students receive an induction from the department in which they are registered, though a number choose to take up induction at CHE involving:

- A face-to-face meeting with the CM on their first day, a tour around CHE, introductions to their team, visits to HR and other relevant departments.
- A comprehensive induction document (regularly updated and recommended by UoY HR Department to other departments as a good practice example). Covers staff development and support, training, performance review, conference attendance, E&D policies, code of practise on harassment, harassment advisor network, E&D online learning modules, and relevant HR policies, e.g. flexible working.
- Use of 'buddy' system (someone from same grade for first six months of appointment to provide support and friendly point of contact; buddy role shared out across male and female staff).
- 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.

No-one has failed probation and the induction process helps to support retention.

IMPACT

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

Feedback from our induction survey, showed:

- 100% of staff have an induction.
- 100% of staff reported that when they started they felt welcome by CHE and 96% of staff felt welcome in their team.
- 93% of staff found the buddy system useful.
- Induction is viewed as a positive experience (e.g. "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").
- Suggestions for improvement included: extension of the buddy system to PhD students and providing further details on contracts at the induction meeting.

IMPACT

Our induction survey shows that the uptake of induction is 100%.

Action 9: Extend induction process to cover all staff and students.

1. Ensure all PhD students are allocated to a research team
2. Offer a 'buddy' for PhD students within their research team
3. Consider how to match 'buddies' for senior staff
4. Ensure the nature of the contract and renewal process is discussed at induction
5. Facilitate a meeting with the HoD after 2-3 months for all support staff and students
6. Re-run the Induction survey to assess any changes over time

(iii) Promotion

Following our Bronze, CHE has moved from an informal system where team leaders and LMs were encouraged to discuss promotion with those they manage, to a more formal process. Annually, each LM is sent a template (Picture 5) with the grade and spine point of every member of staff they manage. They are required to complete this form and it is returned to the HoD, several months in advance of the promotions deadline. 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. This system ensures that readiness for advancement is actively considered for every individual, rather than being driven by individuals coming forward to state their interest in promotion.

Picture 5: Example of template forms to prompt and report on discussions on promotion (for research staff) and role review (for support staff)

	A	B	C	D	E	F
1	Line Manager: name of line manager					
2						
3	Staff names	Current grade	Spine point	increment date	Update on progress towards next grade	Likely to be ready for promotion application this year?
4	names of all staff who report to the line manager listed here (grouped by grade)				summary of progress, if discussions have taken place, info on any timescales for achievements, actions taken to support development	if 'Yes' meeting will take place with line manager and HoD if 'No' provide timescale
5						
6						
7						
8						
9						
10						
11						
12	link to University of York payscale information: https://www.york.ac.uk/admin/hr/resources/pay_scales/grading_structure/#tab1					
13						

	A	B	C	D	E	F	G	H	I
1	Line Manager: name of line manager								
2									
3	Staff names	Current grade	Spine point	Increment date	Update on role	Likely to be ready for role review application this year?	Put forward for Rewarding Excellence Scheme?	Nominate for Making the Difference scheme?	Nominate for Prof@York award?
4	names of staff who report to the line manager listed here (grouped by grade)				comment if role has changed during year, if changes are equivalent of skills required for the grade or above, any opportunities, development, adding interest and variety	if 'Yes' meetings take place to prepare role review application			
5									
6									
7									
8									
9									
10									
11									
12	Link to University grading structure: http://www.york.ac.uk/admin/hr/resources/pay_scales/grading_structure/#tab-2								
13									

For those identified as potentially ready, intensive support is provided, consisting of meetings (with LMs, team leaders and the HoD) and iterations of the application and CV between all the above parties. It is possible that during this process it is mutually agreed that someone is not ready to apply. In these cases, the team leader, LM and HoD will help identify and plan to fill any gaps in experience and skills. The decision to apply is ultimately for the individual, but we provide as much information as possible to inform the decision.

Since our Bronze, we have created a bank of CVs from successful applicants in CHE to assist new applicants in preparing, which currently consists of 17 CVs (all grades represented). Since its creation in 2014, this has been used by nine applicants (100% of G8 and 33% of G7 applicants in 2016 and 100% of G7 applicants in 2015).

IMPACT

We proactively assess every member of CHE staff every year, in terms of readiness for advancement and support them through the application process.

UoY's promotion system explicitly takes account of career breaks and personal circumstances.

Between 2012-2016, 16 research staff applied for promotion and 15 were successful (10 males – 90% success; five females – 100% success). Four of these applications were at Chair level (three males; one female – 100% success). No applications were made at

Reader level (G8R) (Table 7). Since our Bronze we have successfully promoted two females to G8 and one to Professor.

IMPACT

Our promotion success rate is 94% over five years (90% men, 100% women).

IMPACT

We have an increasing proportion of female staff at G8 and Professorial level through successful promotions.

We celebrate promotion successes in staff meetings, newsletters and annual reports, engendering a sense of pride as well as offering positive role models.

UoY offers feedback to unsuccessful promotion applicants; in CHE the HoD discusses this with the individual and LM to develop a forward-looking plan.

Given the high success rate for promotion, we look at numbers applying as a proportion of the eligible pool, to check for differences in application rates by gender (Table 7).

Table 7: Applications for promotion by grade and gender divided by number of eligible research staff applicants (percentages in brackets), by 'success' year

	2012		2013		2014		2015		2016		Total applications	
	F	M	F	M	F	M	F	M	F	M	F	M
G7	0/6 (0%)	0/10 (0%)	0/6 (0%)	1/12 (8%)	0/5 (0%)	1/9 (11%)	1/6 (17%)	1/12 (8%)	1/7 (14%)	3/12 (25%)	2	6
G8	0/3 (0%)	1/2 (50%)	0/3 (0%)	0/1 (0%)	2/3 (67%)	0/2 (0%)	0/2 (0%)	0/4 (0%)	0/3 (0%)	1/5 (20%)	2	2
Above G8	0/5 (0%)	1/5 (20%)	0/5 (0%)	1/5 (20%)	1/5 (20%)	0/5 (0%)	0/6 (0%)	1/5 (20%)	0/6 (0%)	0/3 (0%)	1	3
Total applications	0	2	0	2	3	1	1	2	1	4	5	11

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 staff are able to apply for a Chair from either role. We do not account for the time at which individuals joined the eligible pool, i.e. it includes those recently promoted who are in practice not eligible.

Table 7 illustrates that for promotion to:

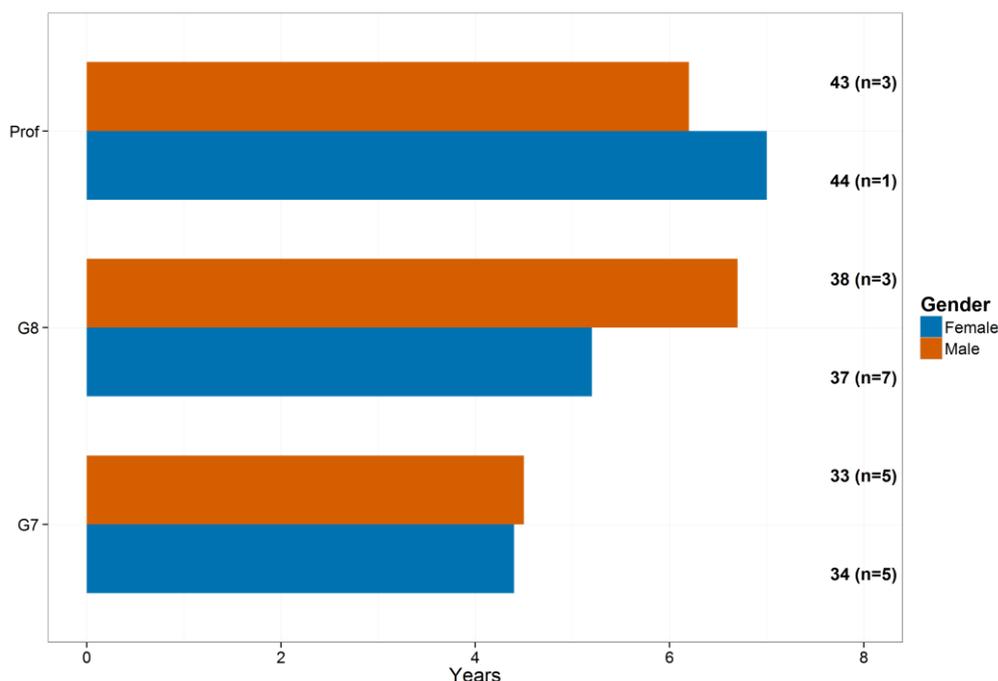
- G7, a higher proportion of
 - males applied in 2013, 2014 and 2016
 - females in 2015
- G8, a higher proportion of
 - males applied in 2012 and 2016
 - females in 2014, this figure is the highest proportion within all years and grades
- Above G8, a higher proportion of
 - males applied in 2012, 2013 and 2015

- females in 2014

At all levels, the numbers are small and only one application above G8 level has been made in any one year.

There is a long lead time to support staff through the pipeline to senior grades, where females are most under-represented. We examine whether the apparent lack of gender imbalance in promotion success is not hidden by an imbalance in the duration at grade before promotion (Figure 19).

Figure 19: Average time (years) in previous grade and average age at promotion, numbers in brackets, data from 2006-2016



Small numbers make interpretation difficult, but key points are:

For promotion to

- G7, both average time in previous grade: females (4.4 years), males (4.5 years), and age at start of grade are broadly similar;
- G8, average time in previous grade for females was lower (5.2 years) than for males (6.7 years); age at start of new grade was similar;
- Professor, it appears there is a longer wait for females.

At G7 and G8 level, females and males are around the same age when promoted and at G8 females are generally waiting shorter than males. Reasons for this are likely to be complex, e.g. differences in research projects undertaken, or the area of health economics which may provide different opportunities for publication.

Action 1: Continue to increase the proportion of women at G8, G8R and Professorial levels through internal promotion.

This action covers the full set of 5 specific activities, set out in Table 19 in Section 8.

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

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: one male and two females (2008); two males and three females (2014).

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

Table 8: Eligible and submitted staff in CHE in the RAE in 2008: WTE included for joint appointments

	Eligible		Submitted		% staff submitted as proportion of eligible staff	
	Headcount	WTE	Headcount	WTE	Headcount	WTE
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 WTE - females: 3.2 WTE; males: 3 WTE).

Table 9: Eligible and submitted staff in CHE in the REF in 2014: WTE included for joint appointments

	Eligible		Submitted		% staff submitted as proportion of eligible staff	
	Headcount	WTE	Headcount	WTE	Headcount	WTE
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: total 2 (2 WTE – females: 2 WTE).

Submission rates for CHE (Tables 8 and 9) are high but numbers are small. Submission rates were equal in 2008 and males had a higher chance of being submitted than females in 2014 (one FT female was not submitted). However, the proportion of the total staff submitted who were female has increased between 2008 and 2014, from 25% (4.4F out of 17.48 submitted) to 38% (6.35F out of 16.65 submitted), reflecting an increase in women at G8 and above. There are FT and PT staff in both male and female figures. PT staff have as much chance as FT staff of being submitted.

In both rounds, HEFCE eligibility criteria related to research independence and it was possible to make a case for those not automatically eligible due to grade to be included if objective evidence could be provided of their research independence. The cases made for staff to be included as exceptions followed HEFCE guidelines and related to leadership of grants which is not expected at G7. This could suggest those staff submitted as “exceptions” had not been promoted in a timely way and the higher number of females included in this category may raise questions about fairness in promotion processes. On further investigation, we note that all those at G7 who were exceptions in 2008 - aside from one person who left - were promoted soon afterwards to G8 (males and females) and one (female) has been promoted further since then. Similarly, the two exceptions (both females) in 2014 were also promoted to G8 shortly after. Thus it is likely these staff were already on the cusp of promotion and although

grant leadership is not expected at G7, we might anticipate some staff start to meet the criteria of independence quite quickly, given research is their main activity.

CHE wrote three impact case studies (2014). All of these drew together work across a number of departments over considerable periods of time, into broad themes. As such, none of them had a single PI. However, analysing the individuals involved in the research from York (not just CHE), reveals that one included males only; another included nine males and six females; the third included seven males and four females. All the 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 and recent changes would not have made a difference in time for impact case studies, all based on previous research.

Action 11: Keep abreast of developments in REF and monitor submission data for next round of REF.

1. Keep abreast of developments following Stern Review and potential implications of changes in REF on E&D
2. Monitor submission data for next round of REF

(1859 words)

5.2. Key career transition points: professional and support staff

(i) Induction

Induction for support staff 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.

(ii) Promotion

UoY has a role review policy in place for support staff. Advancement relies on the current role changing significantly, such that an increased level of skills and knowledge is required. If a role has changed, the role review procedure is followed by updating the job description and submitting a role review application. Between 2012-2016, three applications (one to G4, two to G6) have been submitted from CHE with 100% success. All applicants were female (one FT, two PT).

The process is pro-active and the LM ensures all candidates are considered by completing a template (see 5.1 (iii)) to update the HoD on each support staff member's development. This also helps identify opportunities for nominations for awards. Staff can also 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 CM who drafts the application, holds meetings with individuals and liaises with HR.

Some staff have been supported through multiple successful role reviews and progressed through several grades within CHE. CHE no longer has any staff on G2 or G3. We changed the role title of Secretary to Administrator for the G4 positions to reflect the changing nature of the roles and to reduce stereotypical connotations, thus possibly helping attract candidates of both genders.

(254 words)

5.3. Career development: academic staff

(i) Training

Training needs are identified at probationary review, PR and 1:1 meetings with LMs, which may necessitate attendance at training courses. In addition, staff are encouraged to develop skills through participating in projects, attending and presenting at meetings and conferences. When appropriate we have organised bespoke training for staff e.g. media training in 2015 and 2016.

Staff have access to an extensive catalogue of free training courses offered by UoY promoted by a 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 hours arrangements.

UoY offers specialist training courses tailored to specific groups of staff in different roles and career stages, from soft skills to technical training to leadership and management development.

There are compulsory training courses in health and safety procedures, information security requirements, E&D (CHE has 100% completion). CHE has decided to make unconscious bias awareness training mandatory (100% completion) even though this is not required within UoY. 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.

IMPACT

100% of CHE staff have completed on-line training modules on Unconscious Bias and Diversity in the Workplace. CHE has made this training mandatory even though this is not the case within the University.

Between 2012-2016, 58% of research staff completed at least one internal training course, with a greater proportion of female staff (72%) completing training compared to males (50%).

Over the same period, 33 staff (52% male/ 48% female) attended our short courses (see Section 2). These provide a significant training opportunity, often planned as part of induction for new starters but also for staff wanting to develop skills in a new area.

CHE staff are financially supported to undertake external training courses. Since August 2015, 16 research staff (eight male, six female, two undisclosed) completed external courses.

After completing any training course, CHE staff are encouraged to complete a review of their experience. Feedback is collated and published on the intranet.

Action 2: Ensure we address diversity by strengthening recruitment practices. For example:

15. Monitor that training on unconscious bias is renewed for all staff

(ii) **Appraisal/development review**

Uptake of PR in 2016, by those eligible for review, was 100% (28 males, 16 females). Staff in their probationary period (first nine months) are not eligible and have probationary review meetings instead.

The UoY scheme was updated in 2015. The review 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 also covers career aspirations and development needs, and longer term goals. Staff rate their own performance (e.g. objectives met / partially met) and the reviewer 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 and it was discussed at CHE staff meetings. UoY provided training for all *reviewers* and 100% (20 reviewers: 10 male / 10 female) attended the training. UoY recently made available an on-line training module for *reviewees* to support form completion which we have brought to the attention of staff. To date seven out of 48 have completed the reviewee training (three male / four female).

IMPACT

100% of performance reviewers undertook reviewer training (20 reviewers: 10 male / 10 female).

The HoD met with all reviewers ahead of the first round of the new scheme to discuss a consistent approach and also met again after, to give and receive feedback. The HoD sees all the forms and raises any issues of consistency with reviewers. The Dean of FSS has oversight of all ratings and discusses any issues with the HoD.

Meetings take place in a confidential environment and are at least 1.5 hours in duration.

IMPACT

100% of eligible staff had a performance appraisal in 2016.

Survey results show that:

- 97% of staff report they receive 'a helpful annual appraisal' (2016 CS)
- 91% valued the opportunity to have a PR (UoY 2014 survey, increase from 86% in 2011, 14% above FSS average)
- 91% find it useful in identifying strengths and achievements (19% above FSS average)
- 91% find it useful in providing constructive feedback for areas of development (30% above FSS average)

Of some concern was the 2016 CS finding that only 67% report they agree or strongly agree (lower than in 2013 CS), while 23% of staff disagree or strongly disagree that CHE values the full range of an individual's skills and experience when carrying out performance appraisals (e.g. research, citizenship, administration). It is unclear to what extent these results reflect the new UoY PR system.

As well as the annual PR meeting, staff are offered informal interim meetings to discuss PR and LMs are routinely reminded to offer these to reviewees. Staff also receive feedback during regular 1:1 meetings with LMs.

Action 10: Increase understanding of staff perceptions about range of skills considered for promotion and performance review.

1. Survey staff after the promotion round to explore views further and devise an action plan based on the findings
2. Discuss at SMT and LMs' meetings

(iii) Support given to academic staff for career progression

In the 2016 CS, 87% of research staff agreed (13% neutral) they are actively encouraged to take up career development opportunities. Since our Bronze we have amended our processes to support individuals going for promotion (see 5.1 (iii)).

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 which is sometimes expressed in PRs.

In 2014 there were five LMs (two female, three male) and following a review this was increased to 20 LMs (11 female, nine male) by 2015, creating more opportunities for line management 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.

IMPACT

We have increased the number of line managers in CHE and ensured the proportion of females remains around 50%.

Two CHE staff are members of the Research Concordat to support career development and regularly provide feedback on key developments at staff meetings. CHE has contributed to the action plan of UoY's Concordat and UoY is one of eight UK Universities to hold the prestigious European Commission HR Excellence in Research award for six years.

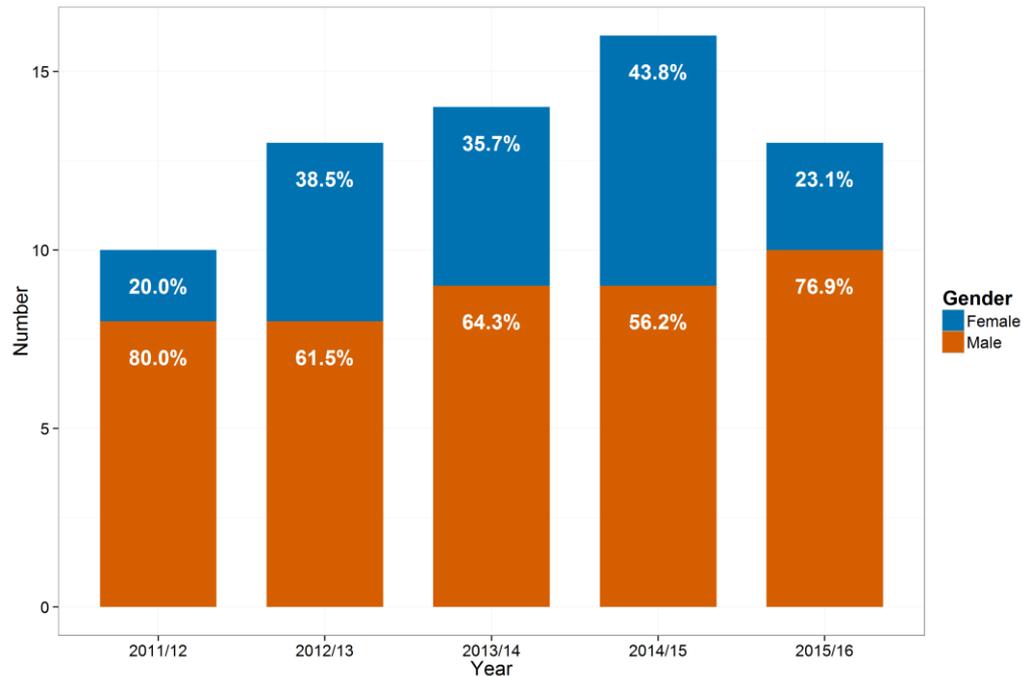
We actively promoted the UoY coaching scheme to all staff via presentations at staff meetings. Two G8s (one male, one female) took up coaching, both finding it very useful. Two Professors (one male, one female) trained as coaches as part of leadership courses, as did one member of support staff (female), and all use it in their roles as LMs.

The EDAT have circulated information on funding for PGR students to CHE staff to make them aware of opportunities to attract students and gain supervisory experience. The

supervision of an MSc student is encouraged for staff with little experience in order to enhance their CV and previous supervisors have provided feedback at staff meetings to encourage participation. The EDAT has ensured that LMs inform staff they manage about opportunities for supervision.

Figure 20 displays the gender breakdown of placement supervisors in CHE. 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 20: Placement supervisors in CHE, by gender



Action 8: Encourage more females to take up supervisory opportunities. For example:

1. Continue to promote MSc supervision as useful career development opportunity
2. Collect data on potential supervisors and compare to volunteers
4. Be more proactive in encouraging females to supervise PhD students (e.g. becoming TAP members first); discuss at LM meeting and devise action plan

Action 1: Continue to increase the proportion of women at G8, G8R and Professorial levels through internal promotion. For example:

3. Promote the new mentoring programme being set up within UoY to all staff and monitor take-up

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

There is a range of support and guidance available for CHE students: 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 student's research area. The

student meets the TAP at least every six months to receive feedback and discuss research plans. The discussion also centres on training and development needs. The TAP advises on appropriate dissemination and facilitation of professional contacts. 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 £1000 over three years to each student⁵ and DERS also has financial support available for training.

Between 2012-2016, 16 students (63% male/ 38% female) attended our short courses. Since August 2015, six students (male) completed external training courses.

IMPACT

CHE PhD students without other financial support are allocated a training budget of £1000 over three years.

The GRS at UoY has a career service that provides information and advice. The GRS also has the Research Excellence Training Team that offers workshops and training and CHE encourages participation, along with other events (e.g. 3 minute thesis challenge). UoY also belongs to the White Rose University Consortium⁶ which offers students (mostly free) training and skill enhancement sessions, and a doctoral conference that enables PGR students to establish collaborations with other member institutions.

Since 2006, 14 PhD students have become members of staff. Existing staff members are also supported to do PhDs alongside their research careers.

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

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 initiative was rolled out by UoY to other departments as it was very successful. One of the aims was to demonstrate that rejection is experienced by everyone, and can be used positively to improve future applications.

We have resources on our intranet to assist with applications e.g. institutional CV, a list of members of CHE on funding panels, a “fellowships” database (details of opportunities for fellowships across funders, deadlines, criteria, success rates and copies of successful CHE applications), and presentations from meetings/training to aid grant writing. We provide mock interviews for shortlisted candidates of fellowships, drawing on expertise within CHE and across UoY.

CHE staff prepare grant applications collaboratively with more experienced staff taking a lead, and opportunities for junior staff to contribute. Whilst males are more frequently named as PIs than females, this reflects the higher number of senior male staff, and over time the balance has started to shift as more females are promoted (Table 10).

⁵ Except if they have other financial support / fellowship.

⁶ The White Rose University Consortium is a strategic partnership between three research universities: Leeds, Sheffield and York: <https://www.whiterose.ac.uk/>

Table 10: Grant applications submitted and successful by gender

Year	Applications		Successful	
	Female PI	Male PI	Female PI	Male PI
2012	6 (11%)	46 (89%)	0 (0%)	15 (33%)
2013	7 (13%)	45 (87%)	4 (57%)	10 (22%)
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%)

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

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

In 2016, success rates exclude 11 applications that are pending a decision (four led by females, seven by males)

IMPACT

The proportion of grant applications with female PIs in 2016 is more than double that in 2012.

There are no discernible trends - in some years the success rates for females is higher than for males (2013; 2015), whilst this is reversed in other years. Over the last five years, success rates are similar (36% for females and 34% for males). The numbers are too small to interrogate differences in PT and FT staff in a meaningful way but as many of our senior female staff are PT (37%), they are regularly appearing in application rates, 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.

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 the funder allows). We encourage ECRs to take advantage of UoY pump-priming funds, which allows them to be sole PI on a small grant. 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 same process is applied for staff who made a contribution but cannot be listed as CIs. We have no departmental system for automatically retrieving lists of CIs (rather than PIs) for grants and as 40-50 applications are made each year, we cannot produce the data on CI gender at present. However, we will amend our processes to ensure this is collected prospectively.

IMPACT

CHE helped lobby the University to put systems in place to ensure that CIs now get personal credit for their input on grant applications.

Following consultation with staff we reviewed and updated our internal grant review system in 2016. At least two senior staff review each draft application. Guidance on the review system is on the intranet, including notes for reviewers about the importance of communicating comments in a constructive manner. We also request a “resource form”

to be completed which allows reviewers and finance staff to: (a) monitor which staff members' input is ear-marked for projects, to provide early warning of potential overload for individual staff if bids are successful and allows us to plan for potential recruitment; and (b) check that adequate funds for training, conferences and open access are requested, thus facilitating career development.

Action 6: Continue to increase the proportion of grant applications submitted by female PIs and CIs.

1. Set up process to monitor PI grant application rates and proportion of applications submitted by gender, including amount requested
2. Devise a process for the prospective routine collection of CI information internally that will facilitate interrogation of patterns and trends in applicants
3. Liaise with University to find an automated process for non-CIs to be given credit for their input to applications

(1993 words)

5.4. Career development: professional and support staff

(i) Training

In the CS, 86% of support staff agreed (14% neutral) they are actively encouraged to take up career development opportunities e.g. training (through 1:1, PR, probationary review and LM meetings). Training for support staff is available in three ways:

- Personal development and IT courses provided by UoY's Learning and Development office. Uptake is recorded on the UoY Learning Management System.
- CHE supports staff on external training courses, e.g. one of the Finance and Research Support Officers achieved the AAT (Accounting) qualification through York College.
- Support staff train each other in how to use particular systems and have recently compiled a list of expertise and access to software programmes to share amongst one another.

Over the period 2012-2016, 63% of support staff completed at least one internal training course per year. 14 out of 15 support staff are female, however there is no proportional difference in the uptake of training by gender.

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 support staff at UoY).

(ii) Appraisal/development review

Support staff take part in the same annual PR process with their LM as research staff. 100% of support staff have the annual PR every year. PR meetings include discussion of achievements, training, career development and worklife balance. Interim review meetings are offered as well as 1:1 meetings. To date six out of 15 support staff have completed the *reviewee* online tutorial (five female / one male) (see 5.3 (ii)).

In the UoY Staff survey, nine out of 11 agreed (two neutral) that the PR was useful in identifying training needs and development opportunities. All agreed/strongly agreed that their LM provides regular and constructive feedback on their performance. In the CS, 93% agreed that CHE provides them with a helpful annual appraisal.

Of some concern again is the finding that only 64% of support staff agree or strongly agree (21% disagree/strongly disagree), that CHE values the full range of an individual's skills and experience when carrying out performance appraisals.

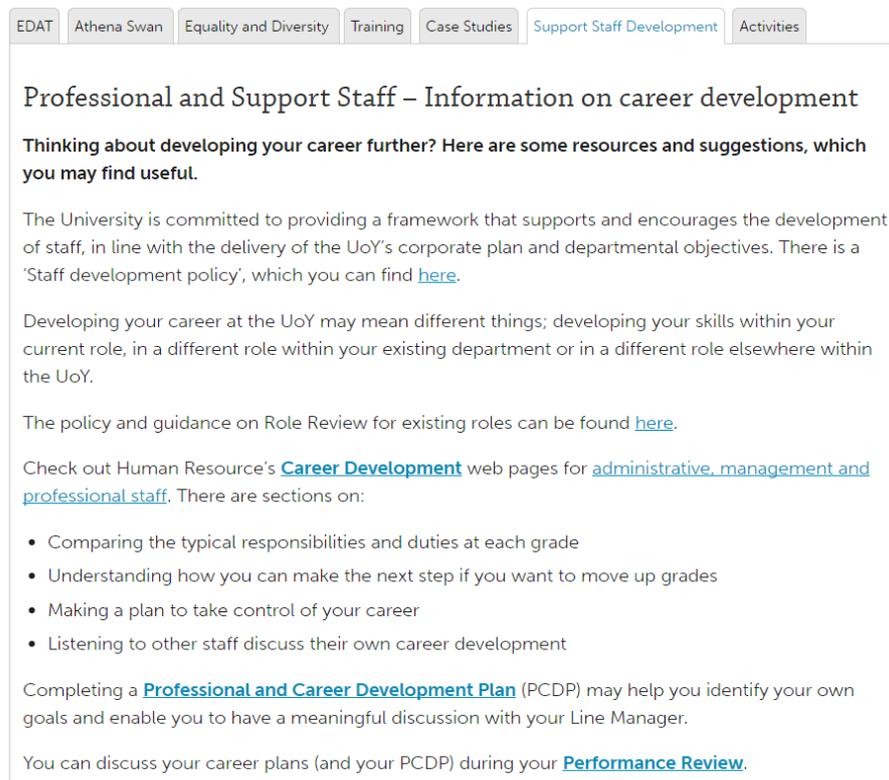
Action 10: Increase understanding of staff perceptions about range of skills considered for promotion and performance review.

1. Survey staff after the promotion round to explore views further and devise an action plan based on the findings
2. Discuss at SMT and LMs' meetings

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

The CM provides support for staff wishing to pursue opportunities for advancement. The policy on role review and information on career development is promoted via induction materials, PR meetings, and the EDAT have added a section on the website for support staff development (Picture 6). Opportunities for developing experience in line management have been taken up by two members of support staff. UoY supports staff who wish to apply for roles on a higher grade by providing training courses for internal candidates and advertising internal only posts and secondment opportunities.

Picture 6: 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 is titled "Professional and Support Staff – Information on career development". It includes a sub-heading "Thinking about developing your career further? Here are some resources and suggestions, which you may find useful." followed by text about the University's commitment to staff development, a link to the "Staff development policy", and text about developing a career at the UoY. It also mentions "Role Review" and provides a link to the policy and guidance. A section titled "Career Development" lists resources for administrative, management, and professional staff, including a list of bullet points: "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". It concludes with text about completing a "Professional and Career Development Plan (PCDP)" and discussing career plans during a "Performance Review".

Note: Available at <http://www.york.ac.uk/che/equality-and-diversity/>

The CM has promoted the Professional@York programme and encouraged participation in these activities including the Professional@York Conference. Five members of support staff were nominated and shortlisted for Awards for the 2016 Conference, one of these received an award. 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.

Picture 7: Shortlisted CHE staff nominees at Professional@York conference celebrating achievements of Professional and Support Staff at York



Picture 8: CHE award winner (left) at Professional@York conference



The UoY Making the Difference Award Scheme provides recognition to staff for exceptional contributions. CHE has developed its own departmental scheme. Four members of support staff have been nominated for CHE's Making the Difference Awards and all have been successful.

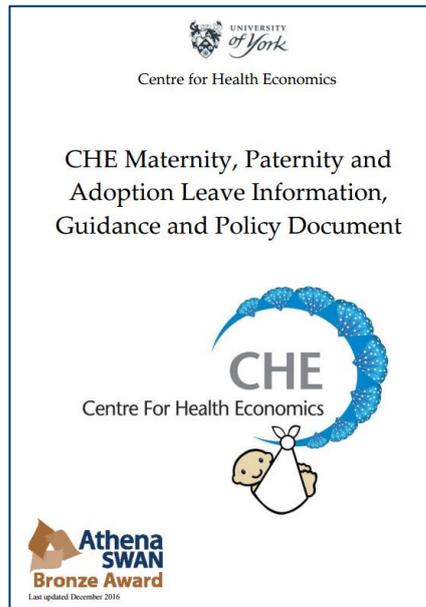
(549 words)

5.5. Flexible working and managing career breaks

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

We have developed a comprehensive (84-page) CHE Maternity, Paternity and Adoption leave document for staff. 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 9: CHE Maternity, Paternity and Adoption leave document



Staff inform their LM and the CM when pregnant. We warmly congratulate staff and share in their excitement. We ensure they have the information and support they need to plan for maternity leave:

- 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 start planning how the 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 of 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 arising. 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 other team members if this does not cause overloading.
- Arrangements are made to cover citizenship roles.
- For support staff we advertise a maternity cover post and allow an overlap for a full handover.
- Before staff go on leave we arrange a gathering in the staff 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 new PhD students and there is a link from the CHE E&D webpages. We have not received any requests in this regard.

(ii) Cover and support for maternity and adoption leave: during 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. We asked UoY to install baby changing facilities and we now have those in our building and have received positive feedback.

IMPACT

CHE lobbied the University 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 days which e.g. research staff have used to meet with collaborators or a potential PhD student.

At the end of maternity leave, any request to reduce hours or make a staged return to work, is agreed in discussion with the LM. All requests to reduce hours have been approved.

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

Staff are warmly welcomed back, and have meetings with LMs and others to bring them up to speed. Review meetings take place to clarify objectives and help with reintegration. Arrangements are made to resume citizenship roles.

Since 2014, we have offered those returning a 'buddy' who has previously been on maternity leave and can offer support (e.g. applying for childcare vouchers). Our guidance document includes information on returning to work as well as facilities for expressing milk, breast feeding and baby changing (in our own or adjacent buildings). We realise that 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.

(iv) Maternity return rate

Table 11 shows maternity return data. Six research staff and two support staff have taken ten periods of maternity leave with a 100% return rate. On average, staff have taken 271 days (7.4 months) of maternity leave.

Table 11: Maternity return data in CHE by full-time / part-time status on return, 2012-2016

Maternity return 2012-2016	Support staff		Research staff		
	Grade 4	Grade 6	Grade 6	Grade 7	Grade 8
FT			1		2
PT	1	1		3	2

IMPACT

100% return rate from maternity leave over the past five years (all on flexible arrangements where requested) and all have remained in post.

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

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 current staff and potential job applicants.

IMPACT

CHE provided the first case of APL granted by the UoY.

All requests for paternity leave have been granted. Requests for flexible working following paternity leave receive a positive response including changing from FT to PT hours. Another case study on our website provides an example of this.

Between 2012-2016 CHE has had seven instances of paternity leave (Table 12). Six instances were two week OPL, one was APL. We have one instance of SPL (female G7). There have been no requests to take adoption or non-shared parental leave.

Table 12: Number of male staff in CHE taking paternity leave by grade, 2012-2016

Paternity leave 2012-2016	Grade 6	Grade 7	Grade 8	Total
FT	4	1	2	7

(vi) Flexible working

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 flexible working requests have been approved. Examples of flexible working arrangements approved include creation of a job share post and working from home for people with health problems. The above policies apply to all staff. In addition, support staff 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.

IMPACT

100% of flexible working requests between 2012 and 2016 have been approved in relation to returning from maternity leave, paternity leave, disability, caring responsibilities and changes in working hours.

In the UoY staff survey, CHE staff provided a 100% positive response to the question 'as long as I get the job done, I have the freedom to work in a way that suits me'. In the CS 97% of staff agreed that their LM/supervisor is supportive of requests for flexible working. A higher proportion of support staff make use of flexible working (15 staff = 10.5 WTE).

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

The most frequent example of a "career break" occurs when staff go on maternity leave (see 5.5 (iv)). We have had one request for a staged return to work and this was approved. This involved returning 2 months on PT hours and increasing to FT.

We have accommodated smaller changes to working hours, e.g. temporary reduction in hours for a support staff member to allow for childcare duties, as well as facilitating a secondment for a member of research staff.

(1203 words)

5.6. Organisation and culture

(i) Culture

Staff survey results found:

- 92% on 'strong sense of belonging to the department' (28% above FSS average) (UoY 2014 survey)
- 88% on Employee Engagement Index - a measure of employee commitment and discretionary effort (up from 86% in 2011) (8% above FSS average)
- 100% on 'I feel that CHE is a great place to work for men' and 98% '... for women' (2016 CS)

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

There is a monthly "CHE day" where the SMT meets, followed by a full departmental meeting (researchers, support 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. 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 at staff meetings that we value all regardless of where they are from, she also asked that people were sensitive to the range of viewpoints people held. In the UoY staff survey, 98% of CHE staff agreed the SMT were approachable (2% neutral); were open and honest in their communications (94% agreed, 6% neutral); and listen and respond to peoples' views (96% agreed, 4% neutral). These were between 24-34 percentage points ahead of the FSS average.

The CS showed that 95% of all staff agreed (5% neutral) that 'Work related social activities in CHE are likely to be welcoming to staff with different protected characteristics.'

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 members of staff and students. We check that venues have wheelchair access.

CHE also runs a regular running group, weekly Yoga/Pilates class and a book club. We hold an annual International Food and Wine event which is an inclusive social event where people bring food to share that reflects the culture of their country, often making it themselves. The events are attended by around 30 people and the feedback is always positive.

Picture 10: Array of international foods made by CHE staff for annual International Food and Wine event



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



(ii) HR policies

CHE has expanded the number of LMs over the past two years (see 5.3 (iii)). To ensure consistency of approach in application of HR policies we now hold two LM meetings per year (an action from our Bronze). In the first meeting in 2015, we set out all policies and training required for LM's, as well as sources of support. Recent meetings have discussed the interpretation and implementation of policies, including updates on UoY policies e.g. dealing with flexible working requests, return from maternity leave, PR,

disability in employment, guidance regarding confidentiality and legal issues relating to transgender.

HR policies and updates are discussed at SMT, EDAT, and staff meetings.

The intranet provides links to all HR and E&D related policies. We have produced a document outlining what staff can expect from their LM in terms of support if they are suffering from pressures and anxieties and where to go for further support e.g. CM, counselling support, and HR.

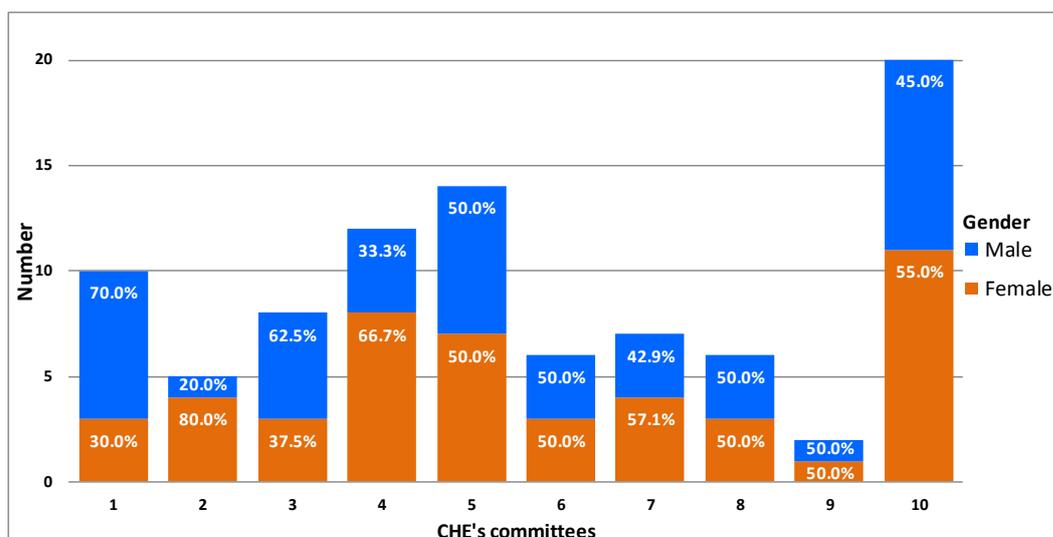
The HoD and CM have a long track-record in UoY’s harassment advisor network, providing support for cases outside the department. In the CS, 97% of research (and 93% support) staff agreed that CHE makes it clear what its policies are in relation to equality.

(iii) Representation of men and women on committees

The majority of committee chairs in CHE are female (7 females (63.6%); 4 males (36.4%); one committee co-chaired) and women chair some of the more influential committees. In terms of influence, some of the committees are small and operational, focusing on an issue such as one type of data (e.g. HES committee); some meet infrequently (e.g. Finance; Alan Williams committee which decides on allocation of fellowships). In terms of strategic focus, the most influential are SMT, Teaching & Learning, EDAT, Data Governance and LM (Figure 21).

80% of CHE internal committees have 50% or more female members of staff participating. Of 45 staff members participating in CHE committees, there are 25 females (14 research/11 support staff) and 20 males (19 research/one support staff). The gender mix of the SMT reflects the staff profile at senior grades, although seniority is not the sole criteria for membership. As females progress through the grades in CHE this mix will change over time.

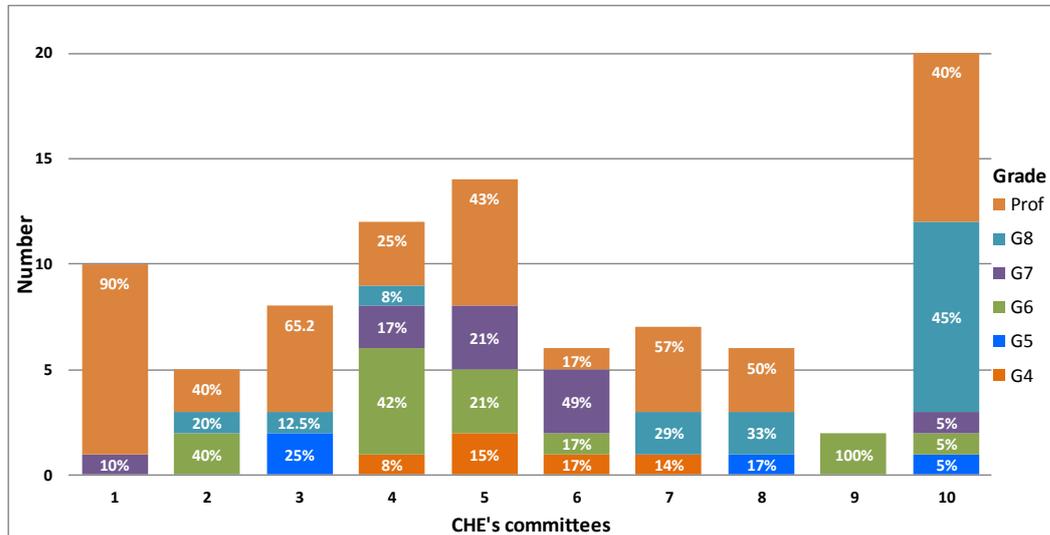
Figure 21: Number of committee members and gender breakdown of CHE committees



1-SMT; 2-Finance; 3-Teaching & Learning; 4-EDAT; 5-Data Gov; 6-Website; 7-Alan Williams; 8-PPI; 9-HES; 10-Line Manager

Overall, 63% of CHE internal committee participation is from G8 or above. CHE committees with a large participation (> 57%) of G7 or lower are the EDAT, Data Governance, Website and HES (Figure 22).

Figure 22: CHE committee membership by grade



1-SMT; 2-Finance; 3-Teaching & Learning; 4-EDAT; 5-Data Gov; 6-Website; 7-Alan Williams; 8-PPI; 9-HES; 10-Line Manager

Membership of committees is either selected by functional area of responsibility (e.g. team leaders, those who use specific data sources) or by specific interests and skills (e.g. website group). Roles are advertised / staff can nominate themselves (see 5.6 (v)). Efforts are made to ensure gender balance. Since our Bronze, we have improved our processes with regard to membership in two ways. First, we have a regularly updated document on the intranet, detailing all committees and groups, their terms of reference and membership, to provide transparency about roles on committees and opportunities available. Second, we now advertise roles by circulating information to staff (and students where relevant), inviting expressions of interest from individuals as well as nominations from LMs. The final decision on new members is made by the committee concerned or the SMT, bearing in mind the skills needed and the fair allocation of opportunities for citizenship. The SMT have oversight of workload management.

Since our Bronze, we have addressed gender imbalances on some committees (Table 13).

Table 13: Composition of CHE internal committees in 2014 and 2017

	2014	2017	2014	2017
	Female		Male	
Committee 1 (SMT)	3 (33%)	3 (30%)	6	7
Committee 4 (EDAT)	8 (80%)	8 (66%)	2	4
Committee 5 (Data Gov)	4 (36%)	7 (50%)	7	7
Committee 6 (Website)	3 (50%)	3 (50%)	3	3
Committee 7 (Alan Williams)	2 (50%)	4 (57%)	2	3

Note: some committees did not exist in 2014.

Table 14 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 are bearing 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. In some, roles are only open to a particular grade (e.g. Planning Committee is open to HoD); in others, the roles are defined by function (e.g. Distance Learning Forum representatives need to be involved in managing this activity). Where CHE suggests a representative to UoY, there is greater gender balance.

Table 14: List of CHE's representatives on University committees by gender, staff type and grade in 2016

University Committee	Gender	Staff type	Grade
Research Concordat	F x 2	Research	8 and 6
Distance Learning Forum	F	Research	8
FSS Board – elected	F	Research	7
Academic Promotions Committee – elected	F	Research	8
Social Sciences Promotions Advisory Committee	M	Research	Prof
Senate – elected members	F x 1 / M x 1	Research Research	Prof and 8
HYMS Joint Senate Committee	M	Research	Prof
Planning Committee - elected	F	Research	Prof
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
Department Training Officers Group	F	Support	7
Departmental Safety Officer Advisory Group	F	Support	5

Action 3: Improve gender balance across all committee participation.

This action covers the full set of 6 specific activities, set out in Table 19 in Section 8, including:

1. Proactively consider diversity for membership of groups/committees when replacing / rotating members
3. Set fixed terms of office for substantive administrative roles in CHE, where appropriate, so they can rotate (including EDAT)
5. Consider deputy chair roles where appropriate; encourage women to train and prepare for chairing roles

Action 4: Ensure E&D is incorporated into all workings of CHE. For example:

3. Include E&D in all the terms of reference of the groups / committees in CHE as appropriate
4. Integrate E&D into how groups/committees operate and decisions are made, e.g. website group consider language, images, news items used

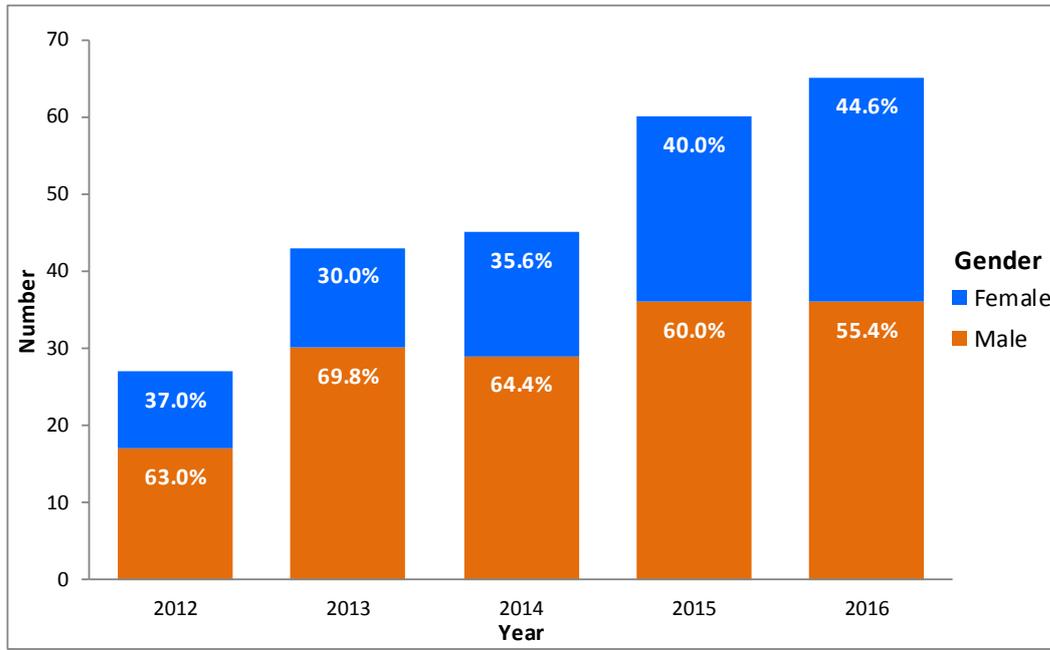
(iv) Participation on influential external committees

Between 2012-2016 CHE staff participated in 78 external committees (Figure 23):

- including government decision bodies (e.g. NICE) and funding bodies (e.g. NIHR, MRC)

- attended by 23 members of CHE staff (44% female)
- average number of committees each staff member participates in is 3.0 (female) and 3.7 (male)
- 39% of participating staff are female
- proportion of female staff participating has risen by 16 percentage points

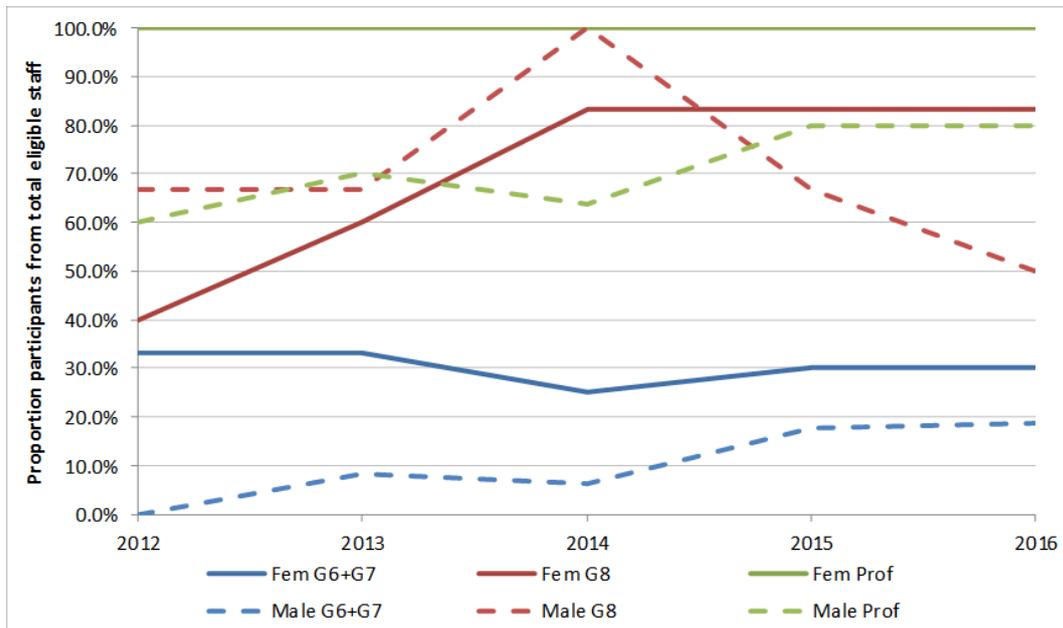
Figure 23: Participation on external committees by gender, 2012-2016



IMPACT
 The proportion of female staff participating in influential external committees has risen by 16 percentage points between 2012 and 2016.

The increase in female participation in external committees mainly arises from a participation increase (from 40% to 83%) of senior female staff (Figure 24). Male participation has also increased (from 31% to 43%), mainly due to the increase in participation of G6, G7 and Professorial staff. LMs and team leaders are encouraged to think about which members of their team may need experience on external committees to help build their CV.

Figure 24: Proportion of staff participating on external committees by gender and by grade over the last five years



Action 3: Improve gender balance across all committee participation. For example:

6. Continue to collect and monitor data on gender mix on external committees and share information at LM meetings to ensure equal opportunities more proactively

(v) Workload model

As a non-teaching department, CHE has no formal workload model. However, research staff do have administrative, managerial and pastoral roles in line with their grade. Opportunities to take on such duties form a key part of career progression since promotion criteria at UoY include aspects of “citizenship”. CHE encourages staff to take on roles that will help them achieve career progression.

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 roles 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.

Action 3: Improve gender balance across all committee participation. For example:

3. Set fixed terms of office for substantive administrative roles in CHE, where appropriate, so they can rotate (including EDAT)
5. Consider deputy chair roles where appropriate; encourage women to train and prepare for chairing roles
6. Continue to collect and monitor data on gender mix on external committees and share information at LM meetings to ensure equal opportunities more proactively

(vi) Timing of departmental meetings and social gatherings

Core hours are 10am-4pm.

All formal department meetings are held during core hours. Since 2015 the reception for 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.

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 using Doodle Polls.

Activities organised by members of staff take place during core hours, usually lunch time: running group; Yoga/Pilates class (organised by a CHE PhD Student who is a fitness instructor); book club (used to be after work, was re-scheduled to make it more accessible).

Our CS showed that 93% of staff agree 'the main meetings in CHE are completed in core hours (10am-4pm) to enable those with caring responsibilities to attend.'

Picture 12: CHE staff at lunchtime Yogilates class



(vii) Visibility of role models

CHE's main webpage includes a list of latest news and upcoming activities. Images include members of staff, events, publication covers and pictures of the UoY and city. E&D has its own section, including case studies.

CHE organises two seminar series: department (CHE) and economic evaluation (EE). Each series 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; one of our Bronze actions (Table 15).

Table 15: Proportion of female presenters in CHE and Economic Evaluation seminar series

Year	CHE Seminar	EE Seminar
2012	27.3%	33.3%
2013	14.3%	25.0%
2014	30.8%	28.6%
2015	38.5%	33.3%
2016	44.4%	62.5%

IMPACT

Increase in the proportion of female speakers in our two external seminar series, from 27% to 44% (CHE seminar) and from 33% to 62% (Economic Evaluation seminar) between 2012 and 2016.

Staff meetings often include a presentation, in 2015 there were 12 presenters (five male / seven female) and in 2016 there were eight (five male / three female).

CHE issues internal (see Section 2) and external newsletters three times a year. Female representation in the internal newsletter has ranged from 33% to 57% in 2015-2016. The external newsletter focuses on short summaries of research, and lists outputs such as presentations and publications. We also produce an Annual Report and take care to ensure gender balance in the stories and images included.

Action 7: Increase diversity in role models. For example:

1. Seek a way to routinely record intersectional monitoring information from seminar speakers and visitors

(viii) Outreach activities

CHE engages in outreach activities as a consequence of its portfolio of research. Staff make presentations at conferences and meetings which ECRs as well as established researchers attend. Given that CHE is not a teaching department we do not make presentations to potential students of health economics. However, we host a reception event for MSc students (see 4.1 (v)) and always seek to represent both genders.

As part of our external engagement, CHE funds Alan Williams fellowships for ECRs to mid-career researchers from anywhere in the world to spend time in CHE (Table 16).

Table 16: Applicants and awards for Alan Williams Fellowships by gender

Year	No Applicants	% Female	Host identified / shortlisted	% Female	Awards	% Female
2012	18	44%	6	50%	1	100%
2013	22	41%	5	20%	2	0%
2014	28	32%	7	29%	2	50%
2015	31	29%	6	50%	1	0%
2016	35	34%	6	17%	1	0%

Note: Applications are circulated to all senior staff in CHE to identify a host. Applications with a host identified are then considered by the panel.

Action 7: Increase diversity in role models. For example:

2. Use intersectional monitoring form to record diversity in Alan Williams fellowship applicants

Action 8: Encourage more females to take up supervisory opportunities. For example:

3. Be more proactive in encouraging females to host Alan Williams fellowship applicants

(1799 words)

6. CASE STUDIES: IMPACT ON INDIVIDUALS

Kerry Atkinson, Administrator (member of EDAT – see Section 3 (i))

Picture 13: Kerry at the long service awards ceremony at the University of York



My first appointment at CHE was in August 1987 where I worked full-time for just eight months as a junior secretary before I left for pastures new. After a relatively short spell away, I returned to CHE in August 1990 where I've remained ever since. Initially I was part of a pool of secretaries working for all members of CHE staff typing letters and reports. Over the years I became more of a personal secretary to more senior members of staff such as the Deputy Director.

I worked full-time up until the birth of my first baby, Charlotte, in July 1997. Following maternity leave, I returned to work part-time in 1998. After the birth of my second child, Elliot, in April 2000, I returned from maternity leave and reduced my hours to just 9.5 a week. Since then I have increased my hours to 16 a week. My job title is now Administrator and I help run CHE smoothly on a day-to-day basis involving a variety of tasks including the organisation of the MSc students reception, ordering stationery supplies, assisting with the administration of the short courses run by CHE and the York Summer Workshops as well as helping to organise and promote both the CHE and the Economic Evaluation Seminar series.

In December 2001 I was diagnosed with Multiple Sclerosis. I have received excellent support from both CHE and UoY with adaptations to make my job easier. CHE has agreed for me to work from home for two mornings a week to help make my working hours less stressful and physically demanding. Over this time and the on-going progression of the disease, my close colleagues in CHE have been a constant pillar of support, both adapting my role physically as well as helping me to cope with the mental frustrations in the form of listening and sharing, with invaluable emotional support. Adaptations to the working environment include voice-activated software, large key keyboard, penguin computer mouse and fitting disabled friendly doors.

In 2012 I received a 'Making the Difference Award' in recognition of the high level of determination and commitment demonstrated in carrying out my work. I have now worked at CHE for over 26 years and have recently received a University long service

award. I can honestly say that the time I've spent at CHE has been incredibly fulfilling and enjoyable and I've made many close friends along the way.

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

Picture 14: 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. She was recently promoted to Senior Research Fellow. 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 ordinary paternity leave with annual leave, returning to work only in the beginning of January 2014. It was very 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 additional paternity leave (APL). To the best of my knowledge I was the first dad to ask and have APL granted by the 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 starting nursery) 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.

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

(743 words)

7. FURTHER INFORMATION

We analysed three sets of survey results (2014 UoY staff survey, 2016 CS, and 2016 Induction survey) by gender and found no significant differences.

Table 17 shows a comparison of overall results (staff and students) of the 2016 CS with the 2013 CS. It considers questions common to both, i.e. those relating to gender. Results showed overall improvement (green) or stable (yellow) on most questions. The main result of concern was the question relating to individuals' perception that their full range of skills and experience was not valued in PR and promotions.

Action 10: Increase understanding of staff perceptions about range of skills considered for promotion and performance review.

1. Survey staff after the promotion round to explore views further and devise an action plan based on the findings
2. Discuss at SMT and LMs' meetings

Table 17: Comparison of CHE Culture Survey results for 2013 and 2016 for all staff and students

	2013			2016		
	% Agree or Strongly Agree	% Neither agree nor disagree	% Disagree or Strongly Disagree	% Agree or Strongly Agree	% Neither agree nor disagree	% Disagree or Strongly Disagree
In CHE, staff are treated on their merits irrespective of Sex/Gender	91%	2%	8%	90%	3%	7%
In CHE, work is allocated on a clear and fair basis irrespective of Sex/Gender	83%	9%	8%	92%	2%	7%
CHE values the full range of an individual's skills and experience (e.g. research, citizenship, administration and research support)						
When carrying out performance appraisals	87%	9%	4%	70%	12%	18%
When considering promotions	77%	19%	4%	65%	13%	22%
I understand the process/support CHE provides in relation to the University's promotion process	75%	17%	8%	77%	17%	7%
I am actively encouraged to take up career development opportunities (e.g. training opportunities - internal or external)	81%	9%	9%	77%	17%	7%
I am encouraged and given opportunities to represent CHE externally and/or internally (e.g. on committees or groups, as chair or speaker at conferences)	81%	13%	6%	82%	13%	5%
CHE provides me with						
Useful networking opportunities	81%	9%	2%	87%	12%	2%
A helpful annual appraisal	70%	13%	9%	88%	8%	3%
Staff who work part-time or flexibly in CHE are offered the same career development opportunities as those who work full-time	66%	32%	2%	78%	18%	3%
The main meetings in CHE are completed in core hours (10am - 4pm) to enable those with caring responsibilities to attend	89%	4%	8%	93%	3%	3%
I believe that in CHE, individuals are paid an equal amount for doing the same work or work of equal value, regardless of Sex/Gender	85%	11%	4%	86%	7%	7%
I understand why positive action may be required to promote equality across Sex/Gender	89%	6%	6%	92%	5%	3%
CHE takes positive action to encourage individuals of different Sex/Gender to apply for posts in areas where they are under-represented (e.g. encouraging appropriately qualified colleagues of both sexes to apply for posts)	66%	25%	9%	91%	7%	2%
CHE makes it clear that unsupportive language and behaviour are not acceptable (e.g. condescending or intimidating language)	83%	6%	11%	92%	5%	3%
Inappropriate images that stereotype women are not acceptable in CHE (e.g. in calendars, newspapers and magazines; on computers and mobiles)	92%	6%	2%	97%	2%	2%
Work related social activities in CHE such as staff parties, team building or networking events, are likely to be welcoming to staff with different Sex/Gender (e.g. consider whether venues, activities and times are appropriate to all staff)	94%	0%	6%	95%	5%	0%
CHE has made it clear to me what its policies are in relation to e.g. discrimination, parental leave, carer's leave, flexible working	74%	13%	13%	92%	3%	5%
My line manager/supervisor is supportive of rerequests for part-time working, job share, compressed hours	89%	6%	6%	97%	2%	0%
During my time in CHE, I have experienced a situation(s) where I have felt uncomfortable because of my Sex/Gender	4%	2%	94%	6%	3%	77%
I am confident that my line manager/supervisor would deal effectively with any complaints about harassment, bullying or offensive behaviour	92%	6%	2%	95%	5%	0%
I feel that CHE is a great place to work						
For women	92%	0%	8%	98%	2%	0%
For men	94%	0%	6%	100%	0%	0%
Total number of Responses	53 (78% response rate)			60 (81% response rate)		
Key	More than 5% down from 2013 survey					
	Within 5% score of 2013 survey					
	More than 5% up from 2013 survey					

As part of our consultation process on the submission and action plan, we ran an online survey (Table 18). Staff also provided feedback – written, verbal, and by email. The rationale for actions was clarified with staff.

Table 18: Submission and action plan survey results for all staff and students (continues on next page)

	% Agree or Strongly Agree	% Neither Agree nor Disagree	% Disagree or Strongly Disagree
Do you think the Silver application reflects the work practice and environment in CHE?	100%	0%	0%
Actions:			
1.1. Run focus groups with research staff in G8 to explore any barriers to progression and then generate an action plan	79%	18%	3%
1.2. Audit the 'readiness for promotion' forms to check the pipeline to female representation at senior levels and request action plan from LMs	79%	12%	9%
1.3. Promote the new mentoring programme being set up within UoY to all staff and monitor take-up	88%	9%	3%
1.4. Staff taking maternity / extended leave are offered mentors before going on leave to discuss research needs while on leave and on return	94%	6%	0%
1.5. Monitor the effect of recruitment (Action 2) on outcomes at senior levels	91%	6%	3%
2.1. Interview candidates who have been recently appointed to obtain their views on the recruitment process	91%	3%	6%
2.2. Review the wording in all job advertisements and recruitment documentation for elimination of any bias in regard to protected characteristics	100%	0%	0%
2.3. Institute formal process for checking the content of job descriptions to avoid inclusion of seldom-used skills and reduce use of 'desirable' characteristics where possible	79%	9%	12%
2.4. Institute process of formal consideration of feasibility of PT hours or specifying a minimum PT WTE on recruitment for all positions	79%	21%	0%
2.5. Undertake a snap-audit of shortlisting decisions	67%	30%	3%
2.6. Include an enhanced inclusivity and diversity statement as routine on all recruitment materials and lobby University for positive action statement	91%	6%	3%
2.7. Pilot a process whereby one member of the interview panel scores all candidates on the same criteria for interviewing and shortlisting stage, prior to discussion	61%	24%	15%
2.8. Ensure all members of the panel participate in the shortlisting process	94%	6%	0%
2.9. Ensure at least one of the contacts provided for further details of the post, is female and ensure purpose of the informal conversation is clear	55%	30%	15%
2.10. Seek to base assessment on a structured interview with a work sample test	79%	21%	0%
2.11. Specifically ask candidates to write in the cover letter how they meet the criteria	88%	9%	3%
2.12. Provide written guidance to Chairs of panels on best practice (including expectations about shortlist panels where no candidates include protected characteristics and checking results of shortlisting); only invite Chairs from outside CHE who have completed unconscious bias training (G7 and above posts require Chairs external to CHE)	94%	6%	0%
2.13. Ensure at least two members of all shortlisting and interview panels are female	61%	30%	9%
2.14. Monitor that training on unconscious bias is renewed for all staff	91%	6%	3%
3.1. Proactively consider diversity for membership of groups/committees when replacing members or in rotation of members	94%	6%	0%
3.2. Ensure inclusion of students on committees where appropriate	85%	9%	6%
3.3. Continue to collect and monitor data on gender mix on external committees and share information at LM meetings to ensure equal opportunities more proactively	94%	6%	0%
3.4. Set fixed terms of office for the substantive administrative roles in CHE so they can rotate appropriately	73%	21%	6%
3.5. Maintain a list of staff and students' interests in participating in various groups/committees	82%	12%	6%
3.6. Consider deputy chair roles where appropriate; encourage women to train and prepare for chairing roles	82%	15%	3%

	% Agree or Strongly Agree	% Neither Agree nor Disagree	% Disagree or Strongly Disagree
4.1. Have E&D as a standing item on the SMT agenda	88%	12%	0%
4.2. Have E&D / EDAT as a standing item on the LMs' meeting agenda	85%	12%	3%
4.3. Include E&D in all the terms of reference of the groups / committees in CHE as appropriate	85%	12%	3%
4.4. Integrate E&D into how groups/committees operate and decisions are made e.g. website group consider language, images, news items used	91%	9%	0%
5.1. Continue to maintain and develop the E&D website	91%	9%	0%
5.2. Hold Athena Initiative Award again	82%	18%	0%
5.3. Integrate EDAT Corner into CHE newsletter	79%	21%	0%
5.4. Review / audit workings of EDAT again to ensure it remains a high functioning team	76%	21%	3%
5.5. Set up annual rota for routine monitoring of different data sources from Bronze award and feedback to staff and students	76%	21%	3%
5.6. Enable and encourage more members of EDAT to give presentations externally (e.g. provide slides and data)	67%	27%	6%
5.7. Establish an annual budget for EDAT (e.g. training for EDAT members, books, Athena Initiative Award)	70%	24%	6%
6.1. Set up process to monitor PI grant applications by gender, including amount requested	79%	12%	9%
6.2. Devise a process for the prospective routine collection of CI information internally that will facilitate interrogation of patterns and trends in applicants	79%	15%	6%
6.3. Liaise with University to find an automated process for non-CIs to be given credit for their input to applications	94%	6%	0%
7.1. Seek a way to routinely record intersectional monitoring information from seminar speakers and visitors	67%	30%	3%
7.2. Use intersectional monitoring form to record diversity in Alan Williams fellowship applicants	70%	27%	3%
8.1. Continue to promote MSc supervision as useful career development opportunity	97%	3%	0%
8.2. Collect data on potential supervisors and compare to volunteers	76%	21%	3%
8.3. Be more proactive in attracting females to host Alan Williams fellowship applicants	85%	12%	3%
9.1. Ensure all PhD students are allocated to a research team	91%	9%	0%
9.2. Offer a 'buddy' for PhD students within their research team	88%	6%	6%
9.3. Consider how to match 'buddies' for senior staff	67%	27%	6%
9.4. Ensure the nature of the contract and renewal process is discussed at induction	94%	6%	0%
9.5. Facilitate a meeting with the HoD after 2-3 months for all support staff and students	76%	21%	3%
9.6. Re-run the Induction survey to assess any changes over time	88%	9%	3%
10.1. Survey staff after the promotion round to explore views further and devise an action plan based on the findings	88%	9%	3%
10.2. Discuss at SMT and LMs' meetings	88%	9%	3%
11.1. Keep abreast of developments following Stern Review and potential implications of changes in REF on E&D	97%	3%	0%
11.2. Monitor submission data for next round of REF	97%	3%	0%
12.1. Set up process to monitor staff leavers by grade and gender and full/PT status	91%	6%	3%
12.2. Create exit process in CHE which includes feedback on reasons for leaving	94%	3%	3%
12.3. Monitor leavers' destinations	79%	15%	6%
12.4. Review exit interview information from HR	94%	6%	0%
Total Number of Responses	33 (52% response rate)		

(128 words)



This guide was published in May 2015. ©Equality Challenge Unit May 2015.

Athena SWAN is a community trademark registered to Equality Challenge Unit: 011132057.

Information contained in this publication is for the use of Athena SWAN Charter member institutions only. Use of this publication and its contents for any other purpose, including copying information in whole or in part, is prohibited. Alternative formats are available: pubs@ecu.ac.uk

8. ACTION PLAN

Table 19: Silver Athena SWAN Action Plan for the next four years

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
1	Continue to increase the proportion of women at G8, G8R and Professorial levels through internal promotion	4.2 (i)	1. Run focus groups/meetings with research staff in G8 to explore any barriers to progression, produce SMART action plan with oversight on delivery by EDAT and SMT	EDAT	Overall target for Action 1: <ul style="list-style-type: none"> Minimum increase of two more female Profs by 2022 	Jan 18	By 2022
			2. 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	LMs/HoD	2. At least 3 additional females at G8 and Professorial levels	Apr 18	By 2022
			3. Promote the new mentoring programme being set up within UoY to all staff and monitor take-up	EDAT / CM / Liaisons with Research Concordat	3. Presentation at staff meeting in Spring 2018. Promote in newsletter Jul 18. On agenda for Oct 17 LM meeting. At least 3 females participating in mentoring scheme per year	Oct 17	Annual

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			4. Offer staff taking maternity / extended leave mentors before going on leave to discuss research needs while on leave and on return	EDAT / LMs	4. 100% staff taking extended leave offered a mentor	Oct 18	Ongoing
2	Ensure we address diversity by strengthening recruitment practices	5.1 (i)	1. Interview candidates who have been recently appointed, within 2 months of start date, to obtain their views on the recruitment process. Comments to be reviewed by EDAT and incorporated in subsequent recruitment rounds	EDAT	Overall target for Action 2: <ul style="list-style-type: none"> At least 50% of new appointees (all grades) over the next four years from protected characteristic groups Positive feedback on process from new recruits and record of actions taken in response to any identified issues. 	Oct 18	By Oct 2022
			2. Review the wording in all job advertisements and recruitment documentation for elimination of any bias in regard to protected characteristics	EDAT	As above. All documentation reviewed and positive feedback received	Jan 18	12 months

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			3. Institute formal process for checking the content of job descriptions to avoid inclusion of seldom-used skills and reduce use of 'desirable' characteristics	Chair of EDAT / Team leaders	Record check reported to Chair of EDAT for each recruitment. Reduction in use of desirable characteristics and seldom-used skills	Jan 18	Ongoing
			4. Institute process of formal consideration of feasibility of PT hours or specifying a minimum PT WTE on recruitment for all positions	Team leaders	Overall target: <ul style="list-style-type: none"> At least 50% of job offers over next four years offer the option of PT working by Oct 21. Record of check reported to Chair of EDAT for each recruitment to ensure consideration took place and target achieved	Apr 18	Ongoing
			5. Undertake a snap-audit of shortlisting decisions (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)	EDAT	5. Enhanced understanding of shortlisting issues to underpin production of guidance as in point 12. below	Oct 17	12 months

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			6. Include an enhanced inclusivity and diversity statement as routine on all recruitment materials and lobby University for positive action statement	EDAT / Recruitment panel Chairs / Team leaders / EDAT Chair	6. 100% of recruitment materials are amended from Jan 18 onwards	Jan 18	Ongoing
			7. Pilot a process whereby one member of the interview panel scores all candidates on the same criteria at interview, prior to discussion	EDAT / Recruitment panel Chairs / Team leaders	7. Panel Chairs and EDAT to conduct evaluation of outcomes compared to usual method, feedback findings of pilot to panels in CHE and decide on adoption of new process, amend guidance as described in point 12. below	Oct 17	12 months
			8. Ensure all members of the panel participate in the shortlisting process	Recruitment panel Chairs	8. 100% of panel members participate (record kept and reviewed by EDAT annually)	Oct 17	Ongoing
			9. Ensure at least one of the contacts provided for further details of the post, is female and ensure purpose of the informal	Team leaders	9. 100% of recruitment materials are	Apr 18	Ongoing

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			conversation is clear		amended (evidence provided to EDAT for oversight)		
			10. Base assessment on a structured interview with a work sample test	Team leaders	10. 100% of interview processes amended including a standard template and menu of options for work sample test to be selected and used on each occasion (evidence provided to EDAT for oversight)	Jul 18	Ongoing
			11. Specifically ask candidates to write in the cover letter how they meet the criteria. Amend recruitment materials to explain the expectations of the cover letter and including a job specific question on the application form	Team leaders	11. All recruitment materials are amended from Jan 18 onwards	Jan 18	Ongoing

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			12. Provide written guidance to Chairs of panels on best practice (including expectations about shortlist panels, removing discussions of 'fit' at interview, reminding panellists about record-keeping and accountability of decisions); only invite Chairs from outside CHE who have completed unconscious bias training (G7 and above posts require Chairs external to CHE)	Team leaders / CM / Recruitment panel Chairs	12. Guidance produced for recruitment panels, 100% of panel Chairs are trained. Guidance to be agreed by EDAT and annual report of training on agenda for oversight	Jan 19	Ongoing
			13. Ensure at least two members of all shortlisting and interview panels are female and expand pool of potential members by promoting recruitment and selection training courses	Team leaders / CM / Recruitment panel Chairs	13. 100% recruitment panels are constituted accordingly, training records to be reviewed annually by EDAT. Pool expanded by at least 6 females	Apr 18	By 2020
			14. Expand the pool (to G8s and above) from whom suggestions are sought for candidates for senior appointments	Team leaders / CM / Recruitment panel Chairs	14. Views of Gr8s and above obtained one month before advertisement goes live and record	Apr 18	Ongoing

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			Involve University senior appointments adviser ('head-hunter') in pro-active search for candidates		wider consultation. 50% increase in gender balance in candidate lists for senior appointments		
			15. Monitor that training on unconscious bias is renewed for all staff	CM / EDAT	15. Unconscious bias training promoted annually via email and newsletters, 100% staff and 100% panels are trained. Training records to be reviewed annually by EDAT	Oct 18	Annual
3	Improve gender balance across all committee participation	5.6 (iii)	1. Proactively consider diversity for membership of groups/committees when replacing /rotating members	SMT / EDAT / CHE Committee Chairs / LMs	Overall target for Action 3: <ul style="list-style-type: none"> Increase female participation to 50% across all internal groups/committees where under-represented. Wider pool of females participating. 	Jan 18	By 2020

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			2. Ensure inclusion of students on committees where appropriate	CHE Committee Chairs	2. Record of all committees consideration of student representation reported to EDAT and students appointed to relevant committees	Jan 18	Ongoing
			3. Set fixed terms of office for substantive administrative roles in CHE, where appropriate, so they can rotate (including EDAT)	EDAT / CHE Committee Chairs	3. 100% roles considered for rotation, and rotation introduced where relevant. Record of roles with terms of office on staff intranet and inform staff.	Jul 18	6 months
			4. Maintain a list of staff and students' interests in participating in various CHE groups/committees	CM	4. Roles routinely advertised. Record kept for annual review by EDAT.	Oct17	Ongoing

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			6. Continue to collect and monitor data on gender mix on external committees and share information at LM meetings to ensure equal opportunities more proactively	EDAT / CHE Committee Chairs / LMs	Overall target: <ul style="list-style-type: none"> Participation of women on external committees increased to 50% by 2020 	Oct 18	Annual
4	Ensure E&D is incorporated into all workings of CHE	5.6 (iii)	1. Have E&D as a standing item on the SMT agenda, with minutes and actions noted and followed up.	EDAT Chair / HoD / CM	1. E&D becomes part of routine business (e.g. evidence of maintenance of existing high engagement and support from all staff in next CS)	Jul 17	Already underway / Ongoing
			2. Have E&D / EDAT as a standing item on the LMs' meeting agenda	EDAT Chair / HoD / CM	2. 100% of agendas include this item and discussion minuted	Jul 17	Ongoing
			3. E&D seen as key priority in all committees.	CHE Committee Chairs	3. Include E&D in all the terms of reference of the groups / committees in CHE	Oct 18	12 months

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			4. Integrate E&D into how groups/committees operate and decisions are made, e.g. website group consider language, images, news items used	CHE Committee Chairs	4. E&D is seen as key priority in all business, EDAT to review website images to achieve gender balance in images)	Oct 18	By Dec 2018 and ongoing
5	Continue to promote our AS and E&D activities internally and within the University	2. and 3. (ii)	1. Continue to maintain and develop the E&D website	EDAT	1. Already underway, quarterly checks and updates introduced	Jul 17	Ongoing
			2. Hold Athena Initiative Award again and promote via staff meeting and newsletter	EDAT	2. Incorporate ideas generated by Award into action plan for EDAT by Oct 20	Jan 20	12 months
			3. Integrate EDAT Corner into CHE newsletter to provide updates on progress against action plan and promote upcoming events and forums	EDAT Chair	3. Already underway, include column in all 3 issues of the newsletter per year	Jul 17	Ongoing

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			4. Review / audit workings of EDAT again to ensure it remains a high functioning team	EDAT	4. Annual agenda item for discussion at EDAT, follow up of any action points arising. Continued high engagement by EDAT members as measured by maintenance of high scores on CS about EDAT's impact.	Jan 20	Annual
			5. Set up annual rota for routine monitoring of different data sources from Bronze award and feedback to staff and students	EDAT	5. Routine systems in place and continued high engagement from staff and students in our activities (e.g. minimum 90% response rates on future Staff and Culture surveys)	Oct 17	Ongoing
			6. Higher profile for our activities internally and externally, using the website, social media, and an increase in discussions and presentations by EDAT members over 4 years to Oct 21	EDAT / EDAT Chair	6. Members of EDAT enabled and encouraged to promote our activities	Oct 17	4 years

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			7. Establish an annual budget for EDAT (e.g. training for EDAT members, books, Athena Initiative Award)	HoD / CM / EDAT Chair	7. Gain approval for £500 budget per year, use budget towards CHE initiatives to promote equality activities	Jul 18	Annual
6	Continue to increase the proportion of grant applications submitted by female PIs and CIs	5.3 (v)	1. Set up process to monitor PI grant application rates by gender, including amount requested and proportion of applications submitted	Support staff / Finance Officers / EDAT	Overall target: <ul style="list-style-type: none"> Process in place and increase in proportion of grant applications submitted by female PIs and CIs to at least 40% by 2020 	Jan 2018	Annual
			2. Devise a process for the prospective routine collection of CI information internally that will facilitate interrogation of patterns and trends in applicants, and feed back to LMs and SMT	Support staff / Finance Officers / EDAT	2. Process in place and part of routine business, annual monitoring by EDAT	Jan 2018	Ongoing
			3. Liaise with University to find an automated process for non-CIs to be given credit for their input to applications	HoD	3. Automated process in place and at least 30% increase in number of ECRs submitting grant by 2020	Jan 2018	Ongoing

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
7	Increase diversity in role models	5.6 (vii) and (viii)	1. Routinely record intersectional monitoring information from seminar speakers and visitors	EDAT / Seminar organisers / CM	Overall target: <ul style="list-style-type: none"> Recording system in place and 50% of seminar speakers are women / minority ethnic groups over next four years 	Jul 18	By 2022
			2. Use intersectional monitoring form to record diversity in Alan Williams fellowship applicants	EDAT / Chair of AW Committee	Overall target: <ul style="list-style-type: none"> Record in place and 50% of Alan Williams fellows are women / minority ethnic groups over next four years 	Oct 18	By 2022
8	Encourage more females to take up supervisory opportunities	4.1 (v)	1. Continue to promote MSc supervision as useful career development opportunity at the staff meeting once a year and regularly at LM meetings	EDAT	1. Gender balance in supervisors offering placements	Jan 18	Annual
			2. Collect data on potential supervisors and compare to volunteers	EDAT	2. Gender balance in MSc supervision	Jan 18	Annual
			3. Be more proactive in encouraging females to host Alan Williams fellowship applicants; discuss at LM meeting	LMs	3. Gender balance of offers to host Alan Williams' applicants	Jan 19	Annual

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
					with 50% female supervisors		
			4. Be more proactive in encouraging females to supervise PhD students (e.g. becoming TAP members first); discuss at LM meeting and devise action plan	LMs / SMT	Overall target: <ul style="list-style-type: none"> At least 2 more female PhD supervisors by 2020 	Jan 17	3 years
9	Extend the induction process to cover all staff and students	5.1 (ii) and 5.2 (i)	1. Ensure all PhD students are allocated to a research team	Team leaders	1. 100% of students are allocated a team	Oct 17	Ongoing
			2. Offer a 'buddy' for PhD students within their research team	Team leaders	2. 100% of students are offered a 'buddy'	Jan 18	Ongoing
			3. Consider how to match 'buddies' for senior staff	EDAT / HoD	3. 100% of senior staff are offered a buddy	Jul 19	12 months
			4. Ensure the nature of the contract and renewal process is discussed at induction	LMs / CM	4. Contracting is discussed at induction and recorded on checklist	Oct 17	Ongoing
			5. Facilitate a meeting with the HoD after 2-3 months for all support staff and students	HoD	5. 100% of members of CHE get a 1:1 meeting with HoD	Jul 17	Ongoing
			6. Re-run the Induction survey to assess any	EDAT	6. Ongoing updates	Oct 20	12 months

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			changes over time and continue to achieve high level of satisfaction with induction process.		to induction materials and yearly review of all materials. 100% staff have an induction. 100% report they feel welcome. Over 90% finding the buddy system useful.		
10	Increase understanding of staff perceptions about range of skills considered for promotion and performance review	5.1 (iii) and 5.3 (ii)	1. Survey staff after the promotion round to explore views further and devise an action plan based on the findings	EDAT / LMs	1. Greater understanding of staff perceptions and actions identified from the survey followed up	Jan 18	12 months
			2. Discuss at SMT and LMs' meetings	SMT / LMs	2. Complete actions on action plan in point 1. above	Jan 19	12 months
11	Keep abreast of developments in REF and monitor submission data for next round of REF	5.1 (iv)	1. Keep abreast of developments following Stern Review and potential implications of changes in REF on E&D	Chair DRC	1. Better insight into implications of next REF for staff in terms of diversity, contribute to UoY's analysis of diversity for next REF	Jul 17	Ongoing

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			2. Monitor submission data for next round of REF	Chair DRC / EDAT	2. Data discussed and minuted at DRC and EDAT	Jul 21	12 months
12	Ensure we understand why staff / students leave CHE	4.2 (iii)	1. Set up process to monitor staff leavers by grade and gender and full/PT status	EDAT / CM	1. System in place for routine monitoring and annual item on EDAT agenda for review of any issues and actions followed up	Oct 17	Ongoing
			2. Create exit process in CHE which includes feedback on reasons for leaving	EDAT / LMs / PhD Supervisors	2. 90% success rate in exit interview data. Greater understanding of reasons for staff departures. Review of any issues and identification of improvements to be made and actions followed up	Jul 18	12 months
			3. Monitor leavers' destinations	EDAT / LMs / PhD Supervisors	3. System in place for routine monitoring and discussed annually at EDAT	Jan 18	Ongoing

Action Point	Issue identified	Relevant section of report	Planned action to address issue	Person(s) / position(s) responsible	Success criteria and outcome	Start date	Timeframe
			4. Review exit interview information from HR	CM / HR lead for CHE	4. Greater understanding of reasons for staff departures	Jul 20	Ongoing

Table 20: Progress on delivery of Bronze Athena SWAN Action Plan

Action Point	Description of action	Status
1	Baseline Data and Supporting Evidence	
1.1	Collect and analyse data on promotion rates by gender and time spent on each grade	Completed, monitoring continuing
1.2	Monitor job offers and acceptances and spine point entry by grade by gender	Completed, monitoring continuing
1.3	Analysis of comparator departments using benchmarking data	Completed
1.4	Monitor data on staff and PhD student leavers reasons and destinations	Completed, monitoring continuing
1.5	Analyse University Staff Survey data	Completed
1.6	Monitor Alan Williams Fellowship applications and success rates by gender	Completed, monitoring continuing
2	Postgraduate Students	
2.1	Monitor CHE PhD students by part-time status and funding arrangements	Completed, monitoring continuing
2.2	Monitor CHE funded PhD studentship applications and success rates by gender	Completed, monitoring continuing
2.3	Seek assurance that gender equality considered in MSc health economics student recruitment	Completed, monitoring continuing
2.4	Monitor gender balance in MSc Health Economics placement students	Completed, monitoring continuing
2.5	Monitor gender balance of supervisors of MSc placement and PhD students	Completed, monitoring continuing
3	Key Career Transition Points, Appointments and Promotions	
3.1	Review induction materials for text on gender equality, part-time working, flexible working, maternity and paternity leave; add links to HR policies on the intranet	Completed, incorporated into routine business
3.2	Requirement for gender mix on shortlisting and interview panels and for training of panel members	Completed, incorporated into routine business
3.3	Encourage consideration of promotion opportunities in Performance Review	Completed, incorporated into routine business
3.4	Ensure recruitment material and job advertisements have equality statements, promote flexible policies and family friendly culture	Completed, incorporated into routine business
3.5	Arrange meeting of performance reviewers to ensure best practice	Completed, incorporated into routine business
3.6	Improve process for identification of candidates for promotion. Provide additional support in terms of illustrating how CHE staff meet promotion criteria	Completed, incorporated into routine business
3.7	Announce promotions successes	Completed, incorporated into routine business

Action Point	Description of action	Status
3.8	Promote opportunities for video conferencing and Skype for laptops to participate in overseas conferences without travelling or communicate with family members whilst travelling	Completed, incorporated into routine business
3.9	Obtain feedback from new members of staff on induction process and suggestions for improvement	Completed
4	Career Development and Support	
4.1	Promote coaching scheme for staff	Completed
4.2	Monitor data on internal and external committee memberships and examine ways to promote gender mix, particularly on external committees	Completed, monitoring continuing
5	Culture, Communications and Departmental Organization	
5.1	Ensure transparency and communication of working group with wider staff and increased web presence of gender equality practices	Completed, incorporated into routine business
5.2	Ensure Athena SWAN is regular item on SMT agenda and staff agenda	Completed
5.3	Ensure good gender mix in monthly CHE seminar series and CHE Economic Evaluation seminar series	Completed, monitoring continuing
6	Career breaks/flexible working	
6.1	Advertise career success stories of women with families in the Department widely and on the web	Completed, incorporated into routine business
6.2	Formalise policy for maternity leave and additional paternity leave	Completed, incorporated into routine business