30th November 2015

Dear Athena SWAN Manager

As the Director of UCL's Institute of Clinical Trials and Methodology (ICTM), I am writing to wholeheartedly endorse and support our application for the Athena SWAN Bronze award. I confirm that the information presented in this application is an honest, accurate and true representation of the institute.

The ICTM has, since August 2013, been the home of the MRC Clinical Trials Unit and the Comprehensive Clinical Trials Unit. Research conducted by ICTM trials units has influenced policy, changed routine clinical practice and, most importantly, delivered real benefits and improvements to patients' lives. Women make up over 70% of staff, have come from a wide range of administrative, academic and clinical backgrounds, and work across the full range of roles essential for the successful running of clinical trials and studies. As the career profiles on our website show, many have benefited from the flexible working and career break options in place at ICTM when their personal or family circumstances have changed. These practices have helped us to retain the highly-qualified and experienced staff needed to carry out the world-class trials conducted within the ICTM. In addition, we have consistently demonstrated an excellent record in the recruitment of women across all levels.

A large proportion of ICTM staff are classed as professional services, while also holding scientific qualifications and make significant contributions to further science within the clinical trials arena. As such, I am very proud that ICTM is the first department within UCL to include professional services staff in their application. Following our submission, we hope that we will provide guidance to other departments who will need to do so in future applications.

I am delighted to report that our recent Institute-wide survey, which was completed by 76% of Institute staff, showed that the majority felt valued for the work they do at ICTM, and that they were treated with fairness and respect. I believe that the embedding of the principles of Athena SWAN in ICTM has resulted in the very high representation of women seen in the Institute (including at management level), and has helped us to retain and support women at key transition points in their careers. However, the survey and, indeed, this whole process, has highlighted a number of issues which we will work to address, as discussed in our Action Plan.

I would like to thank the SAT (led by Professor Kholoud Porter) for their work in preparing the Institute's application. Their commitment to this process over the last year, and the engagement of other staff with the survey and focus groups, has shown how seriously the Institute considers equality in career opportunities and progression. I am fully committed to continue working with the SAT after the submission of our application to further embed the Athena SWAN principles within the Institute. Through this we aim to ensure that all staff, whether academic, research or professional services and regardless of gender, feel able to develop and flourish in their careers.

Yours sincerely

Professor Mahesh Parmar

Director

Athena SWAN Bronze department award application

Name of university: University College London

Department: Institute of Clinical Trials and Methodology

Date of application: 30th November 2015

Date of university Bronze and/or Silver SWAN award: Bronze: 2006, renewed 2009, 2012, Silver: 2015

Contact for application: Professor Kholoud Porter

Email: kholoud.porter@ucl.ac.uk

Telephone: 020 7670 4715

Departmental website address: https://www.ucl.ac.uk/ictm

Athena SWAN **Bronze Department** awards recognise that in addition to university-wide policies the department is working to promote gender equality and to address challenges particular to the discipline.

Not all institutions use the term 'department' and there are many equivalent academic groupings with different names, sizes and compositions. The definition of a 'department' for SWAN purposes can be found on the Athena SWAN website. If in doubt, contact the Athena SWAN Officer well in advance to check eligibility.

It is essential that the contact person for the application is based in the department.

Table of abbreviations

CCTU   Comprehensive Clinical Trials Unit

CPD   Continuing Professional Development

FTE   Full Time Equivalent

HESA   Higher Education Statistics Agency

HR   Human Resources

ICTM   Institute of Clinical Trials and Methodology

KIT   Keeping in Touch

MRC   Medical Research Council

MRC CTU   MRC Clinical Trials Unit

SAT   Self-Assessment Team

STEMM   Science, Technology, Engineering, Medicine and Mathematics

UCL   University College London

Sections to be included

At the end of each section state the number of words used. Click here for additional guidance on completing the template.

1. Letter of endorsement from the head of department: maximum 500 words

An accompanying letter of endorsement from the head of department should explain how the SWAN action plan and activities in the department contribute to the overall department strategy and academic mission.

The letter is an opportunity for the head of department to confirm their support for the application and to endorse and commend any women and STEMM activities that have made a significant contribution to the achievement of the departmental mission.

Please see attached.

2. The self-assessment process: maximum 1000 words

Describe the self-assessment process. This should include:

   a) A description of the self assessment team: members' roles (both within the department and as part of the team) and their experiences of work-life balance.

ICTM's self-assessment team (SAT) was established October 2014. In order to represent ICTM's staff composition we encouraged staff to volunteer and invited specific staff members to do so. Professor Kholoud Porter was appointed as the academic lead.

The initial call for membership attracted relatively little interest, likely due to the 73% of ICTM staff employed as Professional Services not being represented. We felt strongly that it was inappropriate to apply for an award that excluded them, especially as the majority are women. We approached ECU who agreed (11-Nov-2014) that we should include their data and allowed us an additional 1000 words.

This is the first application from UCL to include Professional Services staff ahead of the launch of the new SWAN charter in May 2015, and we aim to provide guidance to other departments who will need to include Professional Services data in future applications [**ACTION POINT 4.1**].

The SAT is made up of 16 members (13 women, 3 men) from the two units of the Institute (**Table 2.1**). They represent the spectrum of individuals at ICTM and are drawn from a number of groups: administrative, clinical, epidemiological, trial management, and statistical. The SAT includes Professional Services, academic, clinical and research staff at various levels of seniority, as well as a PhD student.

Table 2.1 ICTM Athena Swan SAT membership

Name	Title	Background	SAT team role
Louise Choo	Statistician	Former WISE participant, current STEMNet Ambassador. Works flexibly	Collated/analysed staff data and co-wrote staff section.
David Dolling	Full-time PhD student	Formerly employed as a medical statistician at MRC CTU.	Collated/analysed staff data. Wrote student section.
Mitzy Gafos	Social Scientist	Research focus on gender-equality. Previous experience in implementing equality/diversity policies in workplace. Works flexibly.	Designed/analysed, staff survey. Contributed to 'Organisation and Culture' section.
Denise Halton	HR Business Partner	Advises on flexible working on a day-to-day basis. DEOLO for ICTM. Registered UCL Mentor.	Compiled staff data. HR perspective.
Fleur Hudson	Head, Trial and Study Management	Previously benefited from flexible working and maternity leave. Now accommodates staff requests for hour changes/maternity.	Represented Clinical Operations Group. Co-wrote 'Key Career Transition Points' section.
Monica Mascarenhas	Clinical Trial Manager	Formerly a Research Associate. Started as a Data Manager when expecting her second child. Has worked part-time since returning from maternity leave and became a Clinical Trial Manager.	Co-wrote 'Description of Staff at the Institute' and 'Organisation and Culture' sections.

Name	Title	Background	SAT team role
Macey Murray	Trial Manager	Former SAT member of UCL School of Pharmacy, where she worked flexibly and part-time as teaching and research fellow. Now works full-time at CCTU and has two primary school children.	Reviewed recent applications.
Anna Parker	Clinical Trial Manager	Works part-time and has a young child.	Co-wrote Key Career Transition Section.
Max Parmar	Director	ICTM Director since 2013; MRC CTU Director since Mar-2010	Encouraged and endorsed the AS application and action plan as an ICTM priority.
Sarah Pett	Clinical Senior Lecturer	Works 50-50 across two UCL Institutes. UCL Mentor with 2 Mentees.	Co-wrote Action Plan. Member of mentoring sub-group.
Patrick Phillips	Senior Statistician	Works on trials and methodology research. Has 3 young children.	Co-ordinating/encouraging mentoring activities at ICTM.
Kholoud Porter	Professor of Epidemiology	Came to UCL as Research Fellow and undertook her PhD part-time with 2 primary school children.	SAT Lead- chaired meetings and co-ordinated application.
Heather Short	Trial Manager	Works full time on two trials in CCTU.	Reviewed application for CCTU inclusion and accuracy.
Emma Tomlinson	Methodology Hub Coordinator	Full time. Previous work in academic research, now supporting a national Network of academic researchers. Works flexi-time.	Reviewed recent applications. Assisted in development of Athena SWAN ICTM webpages.

| Name	Title	Background	SAT team role
Claire Vale	Senior Scientist and Systematic reviewer	At MRC CTU > 15 years, during which time she has had two children and changed to part-time.	Led development and analysis of staff survey
Judy White	ICTM Manager	Has benefitted from mentoring to develop current career in research management.	Administrative lead. Coordinating/servicing meetings and contributing to mentoring sub-group.

b) an account of the self assessment process: details of the self assessment team meetings, including any consultation with staff or individuals outside of the university, and how these have fed into the submission.

Meetings were convened at, roughly, monthly intervals December 2014-November 2015. As a number of members work part-time, we ensured meetings never took place on the same day of the week. Meetings were also held in accordance with core hours policy (i.e.10.00-16.00), and avoided lunchtime, if at all feasible. Sub-groups met on an ad-hoc basis and more frequently, for example to agree on data presentation and format, survey questions and presentation of results, developing the website, setting up mentoring workshops and focus groups. The minutes of the SAT were circulated to the senior management teams (SMT) to be kept abreast of progress and to contribute to action points. The application is also a standing item on agendas, including SMT and all staff meetings, where updates are shared and findings discussed. Progress is also reported to the Faculty Equalities and Diversity Forum within UCL.

An anonymous survey of all ICTM staff was conducted May-June 2015 seeking views on work environment, training opportunities, career prospects and pay, etc. The response rate was high at 74%. With such an excellent response rate (**Figure 2.1**), we believe the survey to be sufficiently representative of ICTM staff views. We also held two focus groups; one for Professional Services staff, (male and female, 16 attendees) and a second for parents and carers (all female, 11 attendees). We will refer to these survey and focus group findings throughout the application.

Figure 2.1 Age group and pay grade of ICTM staff responding to staff survey
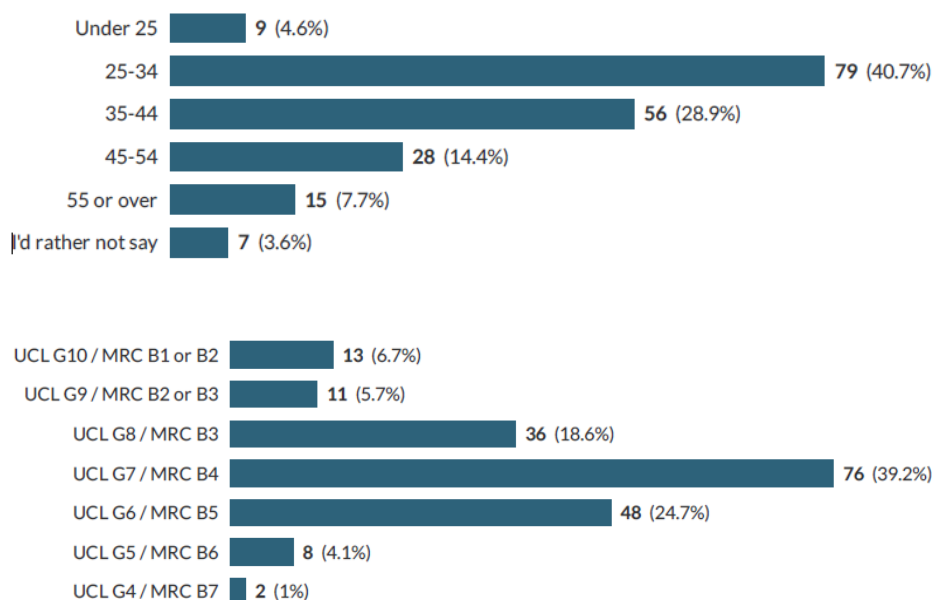
c) Plans for the future of the self assessment team, such as how often the team will continue to meet, any reporting mechanisms and in particular how the self assessment team intends to monitor implementation of the action plan.

ICTM SAT will continue to meet regularly, at 3-monthly intervals, to review progress of our action plan, address any issues arising, and work towards a Silver award. In the 12-month period preceding renewal/upgrade, meetings will be held on a monthly basis. As members leave new members will be recruited ensuring that a similar composition of the SAT is maintained to ensure that it represents the Institute and is effective at reaching out to all members [**ACTION POINT 1.1**]. The SAT will report to SMT 6-monthly and at all staff meetings annually.

(984 words)

3. A picture of the department: maximum 2000 words

a) Provide a pen-picture of the department to set the context for the application, outlining in particular any significant and relevant features.

ICTM, established on 01-August-2013, consists of two Research Departments: the Medical Research Council Clinical Trials Unit at UCL (MRC CTU) and the Comprehensive Clinical Trials Unit (CCTU). The MRC CTU was established in 1998 as a research department funded by the MRC and transferred into UCL on 01-August-2013. The CCTU, formed in 2010, is a specialist UCL trials unit. ICTM was created in order to bring staff working in clinical trials under one umbrella.

Staff from both Units have initiated a number of knowledge exchange forums to improve quality, research governance and developing opportunities to share resources. Staff training courses have been developed and are available at no cost to all Institute staff. These provide a valuable opportunity for staff to discuss issues and to network. Institute-wide meetings to discuss key Institute-led initiatives take place 6-monthly.

The Units are developing an MSc in Clinical Trials, due to start in September 2016. Volunteers have been sought from all staff categories to be involved with the development and delivery of the programme, including Professional Services staff. By taking this inclusive approach, we have provided interesting development opportunities for staff and PhD students which, combined with a focus on delivering distinct employability skills in clinical trials, will hopefully develop as an alternative model for programme delivery that engages a wide range of staff.

ICTM Director is Professor Max Parmar (Professor of Medical Statistics and Epidemiology) who is also Director of the MRC CTU. The Institute is managed by an

Executive Management Board made up of the ICTM Director, Deputy Director of MRC CTU, Director of CCTU, Directors of 2 other virtual units, and ICTM Manager.

For REF2014, 31 members of ICTM staff were returned (25.05 FTE), of whom 20 (65%) were women (63% of FTE). As 42 female and 24 male academic/research staff members were employed at the time, these figures correspond to 48% of academic/research female staff and 46% of academic/research male staff. Of these, 4 were clinical (3 females, 1 male).

The table below outlines how academic/research staff have been categorised on transfer from MRC, and mapped onto SWAN categories. Throughout the application we will refer to the SWAN categories.

SWAN category	UCL job title	MRC job title
1	Research Assistant	Medical Statistician Statistician
2	Post Doc (Research Associate/Fellow)	Statistician Medical Statistician Research Scientist
3	Lecturers, Senior Researchers	Senior Research Scientist Senior Statistician Epidemiologist
4	Senior Lecturers, Principal Researchers	Senior Statistician Senior Epidemiologist Scientific Programme Leader Track Senior Clinical Scientist
5	Reader	-
6	Professor	Scientific Programme Leader Senior Clinical Scientist

Mapping to UCL job titles depended on MRC pay bands, which were determined by responsibilities and expectations within the relevant post. MRC job titles themselves did not necessarily reflect the difference in seniority, however. For example the title "statistician" could be Research Assistant equivalent if they held an MSc, but a Post-doc/Research Associate equivalent if they held a PhD. Likewise, the "senior statistician" could be Lecturer/Senior Researcher equivalent if they did not have a research portfolio, or a Senior Lecturer/Principal Researcher if they managed a portfolio of research. There was no Reader equivalent in MRC roles.

Data included in this application refer to the following 3 years: 2011/12, 2012/13 and 2013/14 and has been compiled from both MRC and UCL as follows:

MRC CTU DATA:

Year 1 (1st October 2011- 30th September 2012): MRC

Year 2 (1st October 2012- 31st July 2013): MRC

Year 2 (1st August 2013- 30th September 2013): UCL

Year 3 (1st October 2013- 30th September 2014): UCL

CCTU DATA:

All years derived from UCL

b) Provide data for the past three years (where possible with clearly labelled graphical illustrations) on the following with commentary on their significance and how they have affected action planning.

Student data

(i) **Numbers of males and females on access or foundation courses** – comment on the data and describe any initiatives taken to attract women to the courses.

No students

(ii) **Undergraduate male and female numbers** – full and part-time – comment on the female:male ratio compared with the national picture for the discipline. Describe any initiatives taken to address any imbalance and the impact to date. Comment upon any plans for the future.

No students

(iii) **Postgraduate male and female numbers completing taught courses** – full and part-time – comment on the female:male ratio compared with the national picture for the discipline. Describe any initiatives taken to address any imbalance and the effect to date. Comment upon any plans for the future.

No students

(iv) **Postgraduate male and female numbers on research degrees** – full and part-time – comment on the female:male ratio compared with the national picture for the discipline. Describe any initiatives taken to address any imbalance and the effect to date. Comment upon any plans for the future.

There were no students registered with the Institute when it was first formed. There were, however, a number of PhD students (supervised by members of staff from the Units and MRC-funded) that were registered elsewhere within UCL; we present their data below.

In each year, between 1 and 5 students started a PhD (2 females in year 1, 2 males and 3 females in year 2, and one female in year 3). This resulted, in any one year, in 13 to 18 PhD students being registered, with the percentage of female students remaining consistently high throughout 2011-2014. Of the 22 registered during this period, 17 (78%) were women (**Table 3.1**). Slightly more students have had male supervisors (primary or subsidiary) than female supervisors as most PhDs in the earlier years were methodological in nature; a research area with a higher proportion of male academics within the Institute.

We advertise PhD opportunities to, and encourage applications from ICTM staff. Indeed, many of our students are also members of staff, either on a full-time studentship, or studying while in employment on a part-time basis. It is also worth noting that full-time MRC studentships allow for paid work of 5 hours per week maximum. For this reason most of our part-time students also appear in our staff data in SWAN category 1.

We are pleased that the proportion of women undertaking a PhD is representative of the department, suggesting that female staff are taking up these opportunities at an equitable rate. PhD studentships are, however, advertised and application is open to anyone with appropriate qualifications and/or experience and is not restricted to staff. The high proportion of women employed at the Institute, including those in senior roles, evident on the websites of both units, no doubt plays a role in attracting applications from women.

Table 3.1: Postgraduate students undertaking research degrees

	2011/12	2012/13	2013/14	Total
Male	2 (15%)	2 (13%)	4 (22%)	5 (22%)
Female	11 (85%)	13 (87%)	14 (78%)	17 (78%)

HESA data for postgraduate research in subjects allied to medicine indicates that, in 2013/14, 62% of students were female. At 78% in that year, ICTM postgraduate student data compare favourably to the UK average, albeit with a small sample size.

Of the 17 female students studying during this period, 12 (71%) were registered part-time, compared to 1 (20%) of the 5 male students (**Figure 3.1**), as most female students had child-caring responsibilities.

Figure 3.1: Numbers of current postgraduate students by full-time/part-time status
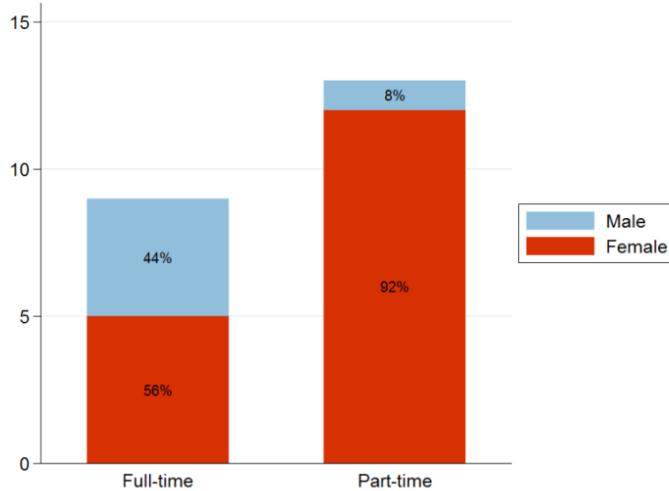
(v)   **Ratio of course applications to offers and acceptances by gender for undergraduate, postgraduate taught and postgraduate research degrees** – comment on the differences between male and female application and success rates and describe any initiatives taken to address any imbalance and their effect to date. Comment upon any plans for the future.

A total of 28, 43, and 4 PhD applications were received in Years 1, 2 and 3. The differences in the number of applications are driven by the number of PhD proposals and studentships available within each year. In total, 47 of 75 (63%) applicants were female, similar to the national average for successful applications. Success rate was similar by gender; offers were made to 2/28 (7%) male applicants and 6/47 (13%) female applicants. All 8 (6 female, 2 male) accepted (**Figure 3.2**). We mirror staff recruitment practices and attempt to blind interview panels to the applicant's gender. In reality, however, this is difficult due to the inclusion of CVs with applications, and because a number of applicants are ICTM staff.

Figure 3.2: Postgraduate research students recruitment 2011-14

100%			
	28	2	2
80%			
60%			
			Male
			Female
40%			
	47	6	6
20%			
0%	Applied	Offered	Enrolled
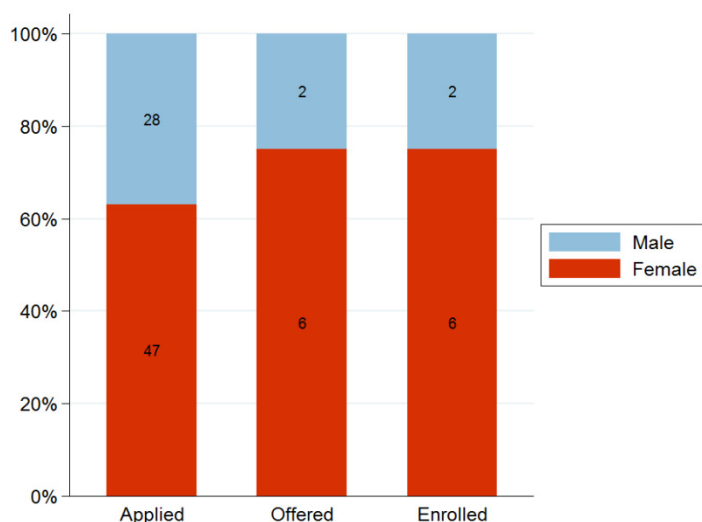
(vi) **Degree classification by gender** – comment on any differences in degree attainment between males and females and describe what actions are being taken to address any imbalance.

Eight research students (2 male, 6 female) successfully completed their PhD programme and all went on to more senior positions in academia and government departments. Data on time to completion are not available; however, time to completion is likely to be longer for females given that a large proportion of them study part-time, and some took periods of maternity leave. Drop-out rate was zero during this period. With the transfer of PhD students to our Institute, we intend to record time to completion formally and ensure there is support in place for individuals taking longer completion times than expected [**ACTION POINT 3.1**].

Staff data

(i) **Female:male ratio of academic staff and research staff** – researcher, lecturer, senior lecturer, reader, professor (or equivalent). comment on any differences in numbers between males and females and say what action is being taken to address any underrepresentation at particular grades/levels

ICTM currently hosts the largest concentration of clinical trialists in the UK. Trial teams are composed of clinicians, researchers/scientists, statisticians, project, trial and data managers. In addition, a number of staff (HR, IT, Finance) are employed at Institute level.

The recent survey showed that 93% of staff are interested in their work, 91% have high levels of job satisfaction and 90% feel they are treated with fairness and respect.

The vast majority of staff are women and this strong female presence has been the case for the last 3 years (**Figure 3.3**), making up 78% of all staff in year 1, 74% in year 2 and 74% in year 3.

**Figure 3.3 ICTM staff by gender 2011-14**
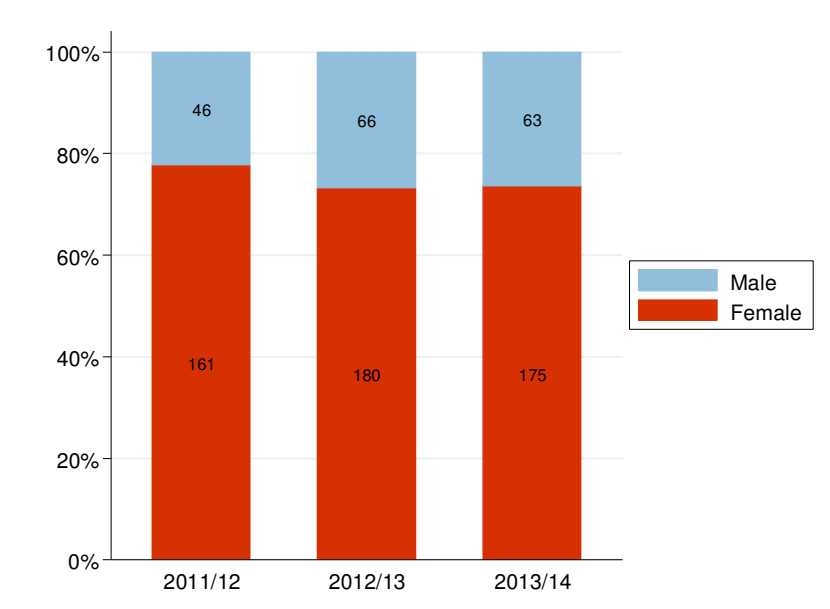
Most (72%) staff are categorised as Professional Services and this has been consistent over the past 3 years.

Research/academic staff account for 28% of staff. The proportion of females is, however, lower (69%, 65% and 64%, respectively in years 1, 2 and 3) among research/academic staff than Professional Services (82%, 77% and 77%).

The proportion of female staff is similar in each of the two units, and is lower than national HESA data for staff (FTE) working in nursing & allied health professions (**Figure 3.4**). The most striking difference appears to be for academic/research staff (64% for ICTM vs. 84% for HESA). This is of concern and, while proud of our high proportion of female staff, this has highlighted for us a need to address the key transition points for academics and researchers. This is discussed in detail in section 4 "key transition points" and in our Action Plan.

Figure 3.4 ICTM and HESA staff by gender 2013-14
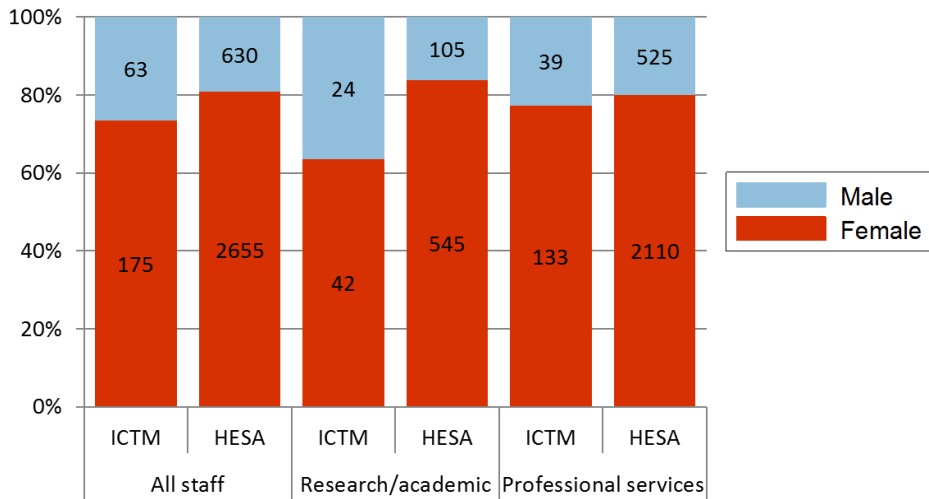
Women make up the majority of academic/research staff at all levels (**Figure 3.5**). No comparable position to Reader existed on MRC pay scales. It is worth noting that, while the number of men at professor level outnumbered that of women at year 1, the situation was reversed in years 2 and 3 with 7 female and 6 male professors. This is higher than the proportion seen in higher education and demonstrates a female-friendly environment. Senior female members of staff often credit the flexible working conditions at ICTM for allowing them to publish, secure grants and run national and international studies, while working on a part-time basis and caring for a young family and, consequently, enabling them to apply for and secure more senior positions.

Figure 3.5 Academic/research staff gender ratio by SWAN category
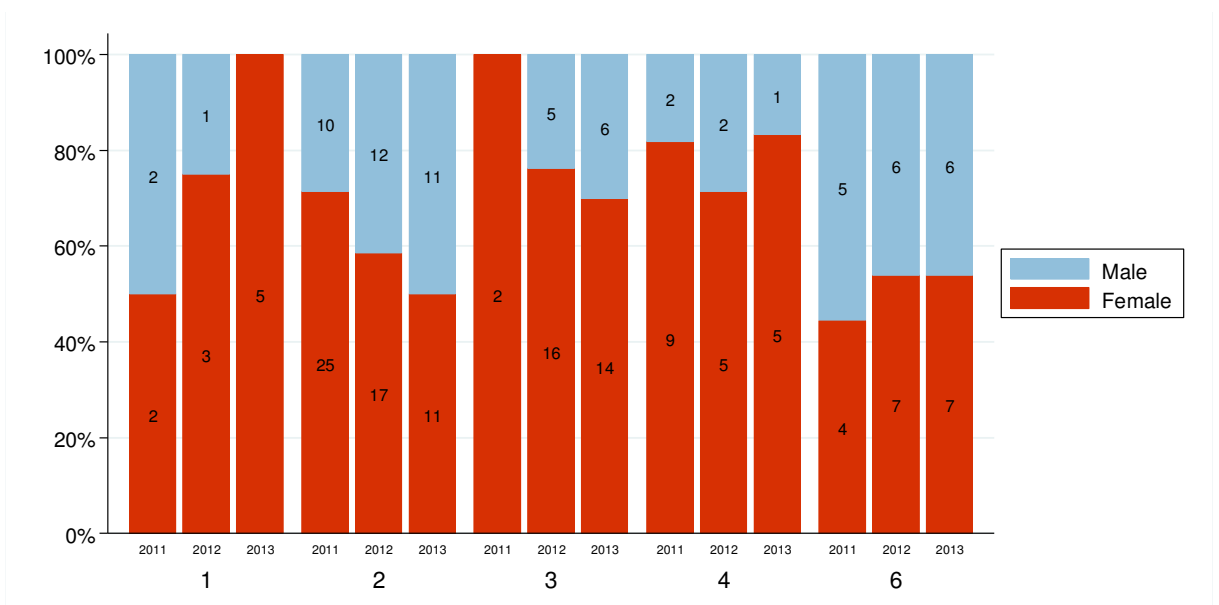
That said, there is a tendency towards a decrease in the proportion of women at higher grades. In year 3, for example, while the proportion in category 1 was 100%, the proportion at category 6 was 54% (**Figure 3.6**). Our pipeline is not the usual trend seen in other institutes of a drop from category 2 through to category 4, however, but the reverse. This almost certainly reflects the fact that PhD students (most of who are female), study on a part-time basis whilst working alongside senior staff, are able to publish extensively. Upon completion of their studies, they are then in a position to apply for more senior positions. It is worth bearing in mind, however, that the apparent drop in our pipeline from category 1 is based on a small sample size in that first category (5 women) and no men. A more accurate description of our pipeline is that of rising female proportions with seniority, followed by a drop in the last category. Nonetheless, we are keen that our academic pipeline does not reflect a drop in the proportion of women at increasingly senior roles and believe that the two key transition points for us to address are: category 1 to 2, and category 4/5 to 6. This is detailed in Section 4.

Figure 3.6 Academic/research staff pipeline 2013-14
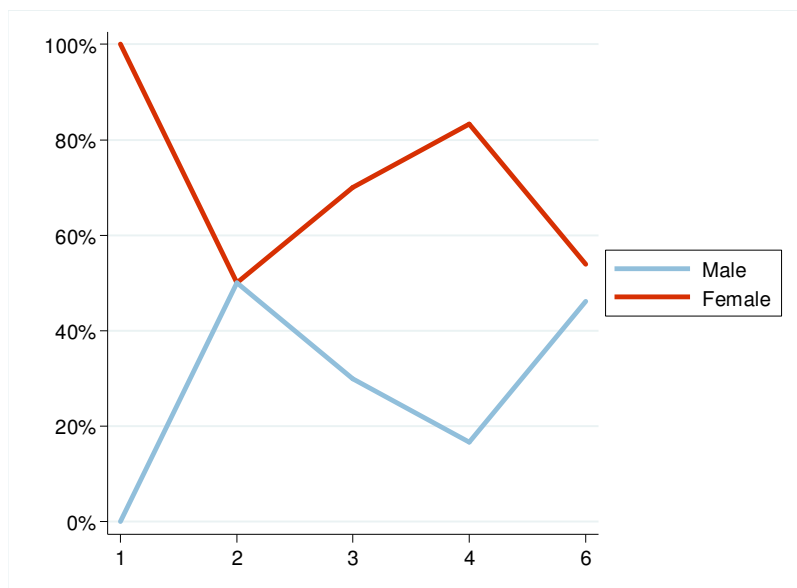
Of the 66 academic/research staff employed in year 3, 7 (2 men, 5 women) were clinically-qualified. Of the 5 clinically-qualified women, 4 were at professor level (**Figure 3.7**). The lack of junior clinical staff (1 female, 1 male at category 3) is due to our practice of collaborating on large clinical trials where junior clinical input has tended to be from external clinical centres collaborating on specific trials working with ICTM senior staff (clinical/non-clinical).

Figure 3.7 Clinical/non-clinical staff by SWAN category and gender 2013-2014
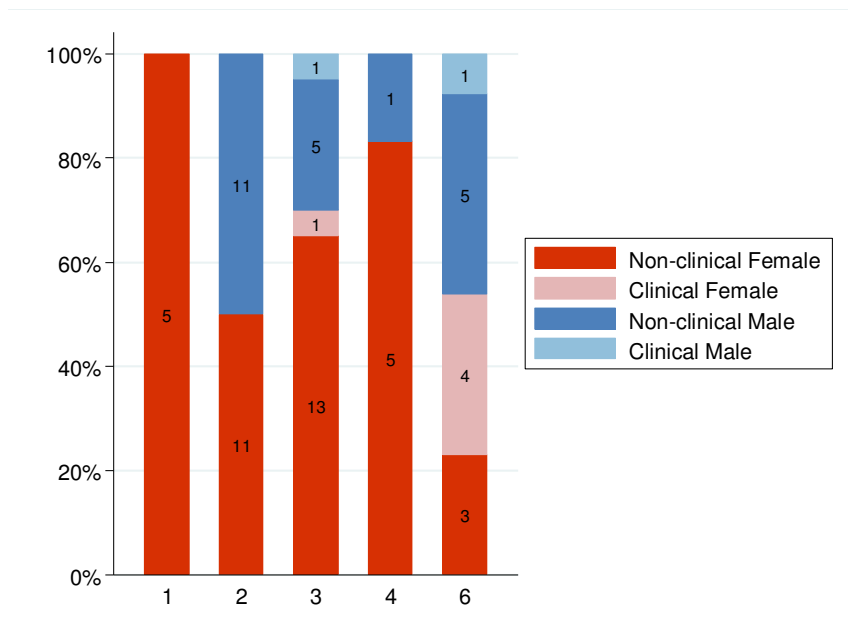
In contrast, the high proportion of women among Professional Services staff is maintained at all levels of seniority over the three years **(Figure 3.8)**.

Figure 3.8 Professional Services staff gender ratio by SWAN category
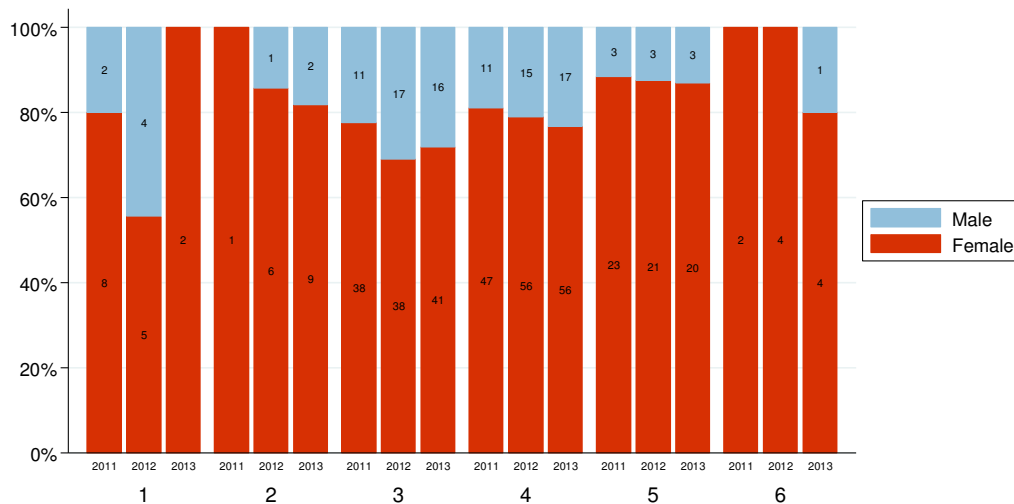
Figure 3.9 shows the female-male ratio across the different position grades within Professional Services staff in year 3. Here we note the drop in female proportions from category 1 to 3, followed by a constant proportion thereafter. Note, we have used the SWAN categories for academic/research staff as a guide to create these 6

categories for Professional Services staff (grade 1 is the lowest and 6 highest in seniority).

Figure 3.9 Professional Services staff pipeline in 2013-14

The staff survey highlighted the need for career progression within academia to support Professional Services staff to advance. This was followed up b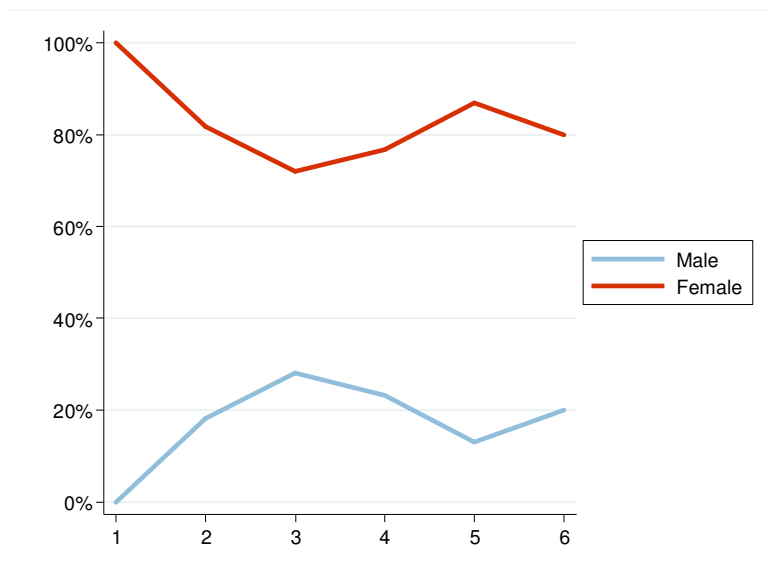y a focus group at which discussions included the wish for some to have the opportunity to contribute to and co-author manuscripts and to attend conferences. The likelihood of either appeared to be dependent on which trial/study a member of staff is working on and/or their line manager. We plan to address these seeming discrepancies by developing an ICTM-wide policy for manuscript authorship and conference attendance for Professional Services staff [**ACTION POINT 4.2.i**].

(ii) **Turnover by grade and gender** – comment on any differences between men and women in turnover and say what is being done to address this. Where the number of staff leaving is small, comment on the reasons why particular individuals left.

A total of 25, 25 and 32 members of staff left ICTM in years 1, 2 and 3, respectively, representing 12%, 10% and 13% of staff in those years (**Table 3.2**). Turnover rate for women was slightly lower than for men in the first 2 years and similar in year 3.

Table 3.2 ICTM staff turnover

Turnover Data	No. of Staff Leaving		No. of Staff		% Turnover	
	Female	Male	Female	Male	Female	Male
2011/12	18	7	161	46	11%	15%
2012/13	16	9	180	66	9%	14%
2013/14	24	8	175	63	14%	13%

In year 3, among females, turnover rate appears to decrease with seniority (**Figure 3.10**). This is anticipated as junior staff seek better career prospects, although it should be noted that the number of females employed at category 1 is very low (n=7) and, as a result, 2 staff members leaving is a sizeable proportion of that denominator. Moreover, none of the females employed at category 2 left (and 1 of the 13 males in that category did).

Of the 32 leavers in year 3, 6 were academic/research (3 females). There are, unfortunately, no data on the reasons for leaving or destination as no formal exit interviews have taken place. We, therefore, plan to introduce exit interviews for all staff, monitor the reasons for leaving, and whether there are differences by gender [**ACTION POINT 2.1**]. The overall aim is to improve ICTM's awareness of issues resulting in staff attrition and to identify areas where individuals require support.

Figure 3.10 Turnover rate for all ICTM staff by SWAN category and gender for 2013-2014
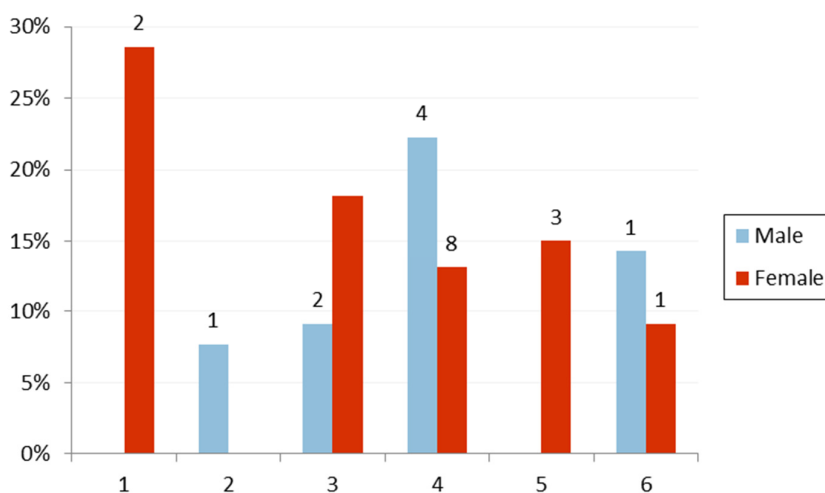
*note: above graph includes Professional Services staff data, with category 6 being the most senior and 1 the most junior. Figures above bars denote number of staff leaving. (2225 words)

4. Supporting and advancing women's careers: maximum 5000 words

Key career transition points

a) Provide data for the past three years (where possible with clearly labelled graphical illustrations) on the following with commentary on their significance and how they have affected action planning.

   (i) **Job application and success rates by gender and grade** – comment on any differences in recruitment between men and women at any level and say what action is being taken to address this.

Overall, the proportion of applications from women is higher than those from men in each year at >60% across the job roles (**Figure 4.1**). The proportion of females interviewed and appointed is higher still and reached ~80% in year 3. As already shown, the female workforce dominates the Institute and this is largely due to the high proportion of females in Professional Services, although the proportion of applications from females for those roles is only slightly higher than for academic/research posts (68%, 61% and 67% in years 1, 2 and 3, respectively, compared to 60%, 51% and 63% for research/academic posts at SWAN categories 1 and 2).

Among the research/academic applications, the proportion from women is higher than from men in each year for categories 1 & 2. We detect no obvious gender bias in recruitment at these 2 categories, except for year 3 where the proportion of females interviewed and appointed appears to be increasingly higher than the proportion among applicants. The reason for this is not clear; while it is possible that this is a reflection of the gender balance of recruitment panels, it may also reflect the calibre of the female applicants for Institute posts. We believe it is important to ensure that our interview panels should consist, on average of ≥50% females, to reflect the workforce [**ACTION POINT 2.2**].

At higher levels, the proportion of females appointed was commensurate with the proportion that applied and interviewed. In year 2, however, a much lower proportion of applications were from women, compared to year 1, and we are unable to draw any firm conclusions from such small numbers.

We are proud of our success in recruiting women across ICTM to date but are keen not to become complacent and intend to continue to monitor formally application and success rates across all job roles, particularly at senior levels, by gender.

Figure 4.1 Proportion of females among applications, interviews and appointments at ICTM 2011-2014

All staff

Professional Services

Academic/research Swan categories 1&2

Academic/research Swan categories ≥3
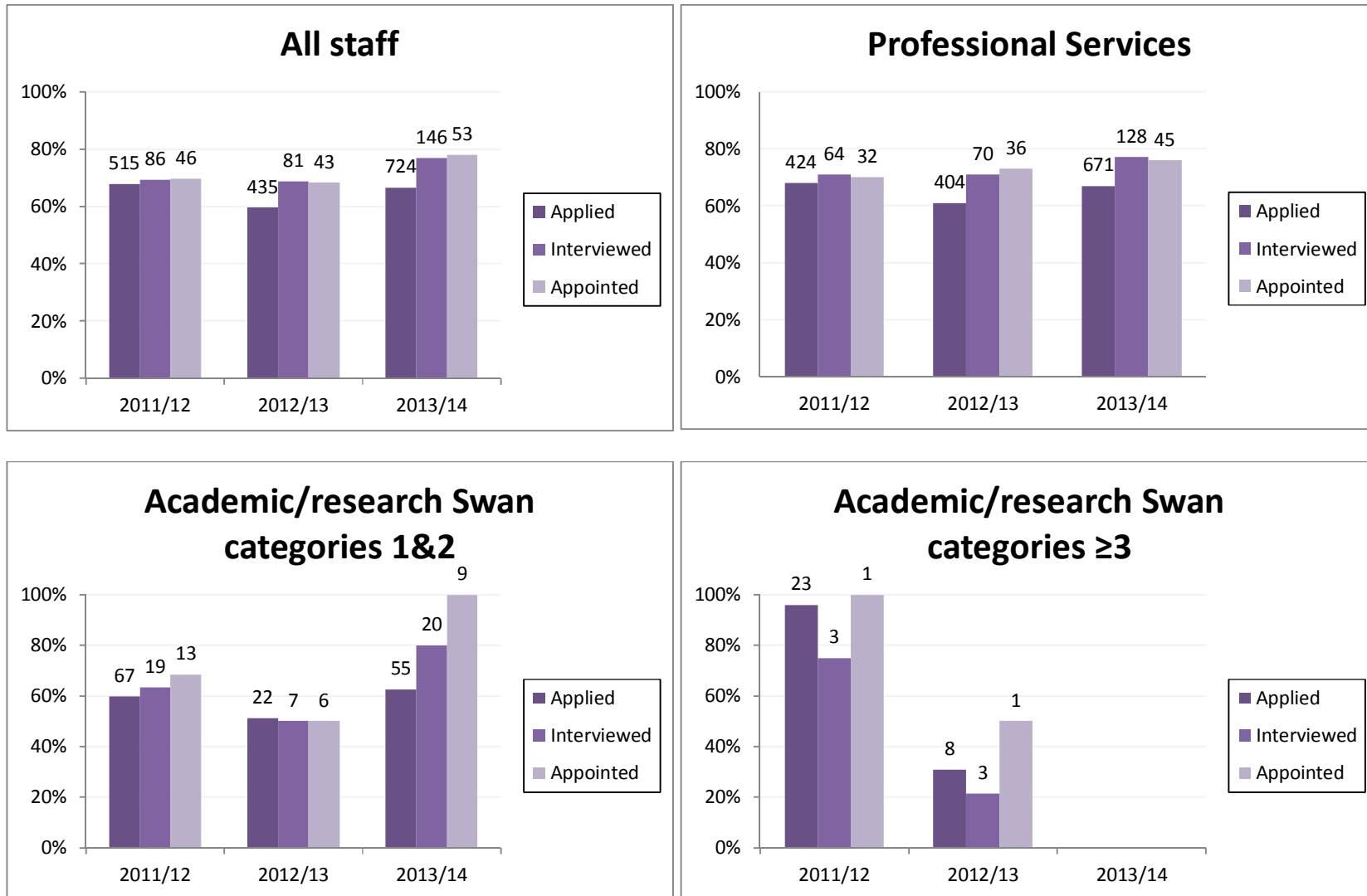
(ii) **Applications for promotion and success rates by gender and grade** – comment on whether these differ for men and women and if they do explain what action may be taken. Where the number of women is small applicants may comment on specific examples of where women have been through the promotion process. Explain how potential candidates are identified.

There have been 8 promotions in ICTM over the 3 years as follows:

Year 1- none

Year 2- 2 females promoted to SWAN category 6

Year 3- 1 male promoted to SWAN category 2, 3 females to SWAN category 3, and 1 male and 1 female to category 6.

These low rates are because:

- Pre transfer, the majority of MRC staff were promoted by applying for new positions, and these historical figures are, therefore, difficult to separate from new staff appointments shown in **Figure 4.1**;
- CCTU staff are Professional Service and, therefore, no promotions route was available to them.

With the transfer of the MRC CTU to UCL, researchers (28% of ICTM staff) were placed on academic/research tracks, and became eligible for promotions through the usual routes in academia. Staff in Professional Services, as is usual in academia, were not eligible.

The UCL promotions process is new to the majority of staff and we, therefore, plan to ensure that appropriate guidance and support are provided to academic/research staff so that they are aware and prepared for junior and senior promotions rounds [**ACTION POINTS 2.3**].

In July 2015, we held a focus group with Professional Services staff to discuss their career development and support the Institute could provide. Action points arising from this are detailed in Support at key transition points below.

b) For each of the areas below, explain what the key issues are in the department, what steps have been taken to address any imbalances, what success/impact has been achieved so far and what additional steps may be needed.

(i) **Recruitment of staff** – comment on how the department's recruitment processes ensure that female candidates are attracted to apply, and how the department ensures its short listing, selection processes and criteria comply with the university's equal opportunities policies

ICTM follows UCL policy regarding the recruitment of staff. This includes UCL's Equal Opportunities policy, which is cited in all job advertisements. HR review all job descriptions to
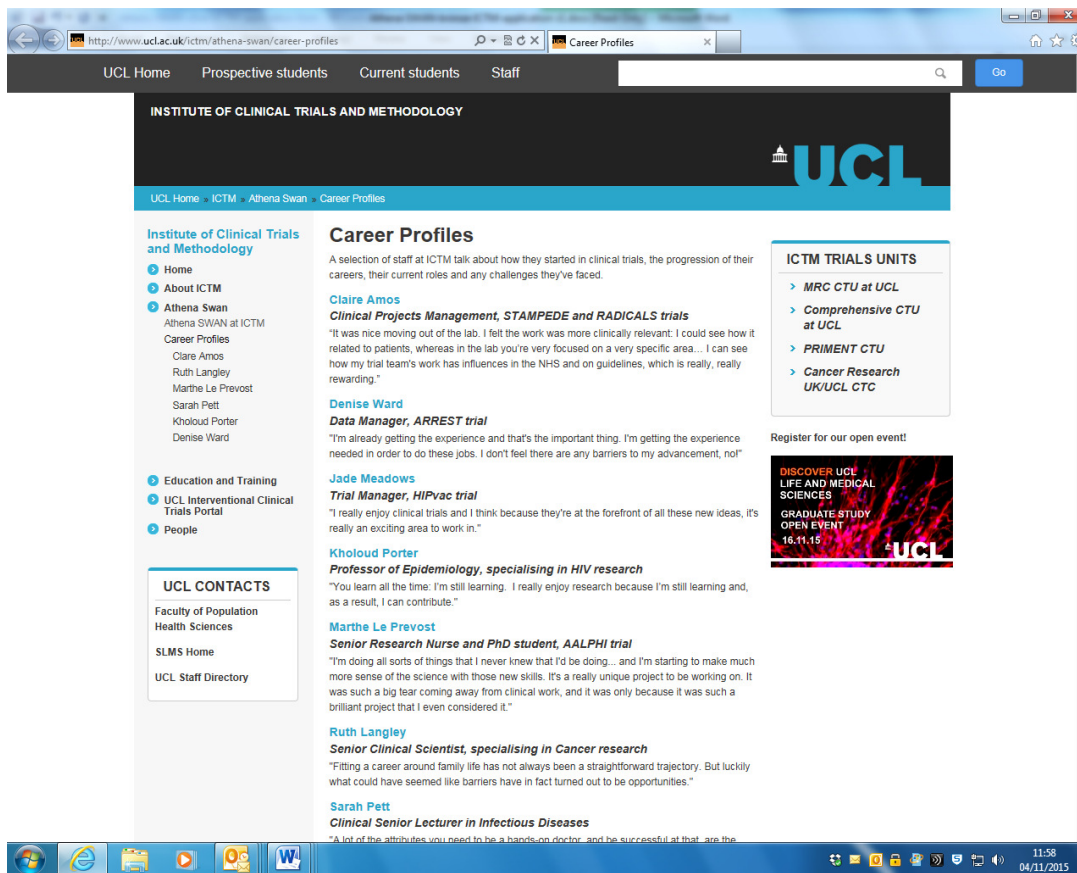
ensure all language is gender neutral and that there is no risk of discrimination against gender or other protected group. Positive action statements are also included in the advertisement for positions where females are under-represented at that level. Where search firms are used for hiring into very senior positions, they are required by UCL to provide a long-list with at least 30% female representation.

ICTM also follows the UCL Recruitment and Selection policy which states that no interview panel should be 100% male or 100% female but with ≥25% female representation. Moreover, all members have received training in fair recruitment by attending the UCL Recruitment and Selection HR Policy Briefing. All UCL employees are required to complete the on-line Diversity training course. It is also currently recommended that staff attend the Unconscious Bias training before becoming a member of a recruitment panel. This will be compulsory within the Faculty of Population Health Sciences in 2016 for the Chair and with further recommendation that all panel members complete the online training module. A number of key staff have already attended this training; we are taking additional steps to provide the training internally within the Institute and encouraging all staff to complete the online module [**ACTION POINT 1.2**].

Currently we do not formally record gender data for interview panels, but intend to do so and redress any concerns raised [**ACTION POINT 2.2**].

In line with UCL policy, all applications for Professional Services roles are anonymised before shortlisting. For research/academic positions, however, this is difficult as CVs accompany the applications, which are difficult to anonymise.

Our commitment to advancing the role of women in science is evidenced by our Athena SWAN page on ICTM's website (to which the attention of prospective applications is drawn in all job descriptions). There is also a "Career Profiles" page of women working in research discussing their career trajectories. These women are drawn from both units from Professional Services and Academia/Research at different levels of seniority.

Career Profiles

A selection of staff at ICTM talk about how they started in clinical trials, the progression of their careers, their current roles and any challenges they've faced.

Claire Amos
Clinical Projects Management, STAMPEDE and RADICALS trials
"It was nice moving out of the lab. I felt the work was more clinically relevant: I could see how it related to patients, whereas in the lab you're very focused on a very specific area... I can see how my trial team's work has influences in the NHS and on guidelines, which is really, really rewarding."

Denise Ward
Data Manager, ARREST trial
"I'm already getting the experience and that's the important thing. I'm getting the experience needed in order to do these jobs. I don't feel there are any barriers to my advancement, no!"

Jade Meadows
Trial Manager, HIPvac trial
"I really enjoy clinical trials and I think because they're at the forefront of all these new ideas, it's really an exciting area to work in."

Kholoud Porter
Professor of Epidemiology, specialising in HIV research
"You learn all the time: I'm still learning. I really enjoy research because I'm still learning and, as a result, I can contribute."

Marthe Le Prevost
Senior Research Nurse and PhD student, AALPHI trial
"I'm doing all sorts of things that I never knew that I'd be doing... and I'm starting to make much more sense of the science with those new skills. It's a really unique project to be working on. It was such a big tear coming away from clinical work, and it was only because it was such a brilliant project that I even considered it."

Ruth Langley
Senior Clinical Scientist, specialising in Cancer research
"Fitting a career around family life has not always been a straightforward trajectory. But luckily what could have seemed like barriers have in fact turned out to be opportunities."

Sarah Pett
Clinical Senior Lecturer in Infectious Diseases
"A lot of the attributes you need to be a hands-on doctor, and be successful at that, are the

ICTM TRIALS UNITS
- MRC CTU at UCL
- Comprehensive CTU at UCL
- PRIMENT CTU
- Cancer Research UK/UCL CTC

(ii)   **Support for staff at key career transition points** – having identified key areas of attrition of female staff in the department, comment on any interventions, programmes and activities that support women at the crucial stages, such as personal development training, opportunities for networking, mentoring programmes and leadership training. Identify which have been found to work best at the different career stages.

As previously noted, our key career transition points for academic/research staff are between categories 1 to 2, and 4/5 to 6.

Our pipeline differs from sector norms; this is because the Institute undertakes large-scale studies which require multi-disciplinary teams and, therefore, operates a "team science" model, within which staff at levels 2-4 are not expected to secure grant income or undertake independent research (as funding is provided through grants to more senior colleagues who line-manage them). Instead, they are given the opportunity to expand their scientific knowledge and skills, including publishing, and work with senior staff on grant applications. This approach has proven to be particularly attractive to women as they can develop their scientific portfolio and experience whilst managing any family/caring responsibilities. The flexible working arrangements implemented within the Institute has further supported the career development of this group.

At SWAN categories 4 & 5 academic/research staff take responsibility for a number of science projects under the leadership of a professor, which provides them with the opportunity to publish, present at conferences, and apply for research grants. They also have line management

responsibilities and the opportunity to supervise PhD students. We will ensure that staff at these grades are up-to-date with UCL promotions criteria and timelines, and that this is raised at their annual appraisals [**ACTION POINTS 2.3**]. We will also encourage them to register as mentors and as mentees [**ACTION POINT 3.2**] as this is an enriching process for personal development.

For staff in Professional Services, our key transition point is between Data Manager and Trial Manager (roughly equivalent to SWAN categories 2 and 3, respectively) and we aim to address this by ensuring that more senior job opportunities, as they arise, are brought to the attention of women, and that their career progression is discussed during annual appraisal. There is also a drop in female proportions from 1 – 2 but, given the low numbers, we do not believe this to be significant.

Staff turnover within Data Manager roles is high, although many leave these posts as they are encouraged to apply, and go on to secure, more senior positions within the Institute. This has proved very successful and the majority of Trial Managers appointed had previously been employed as Data Managers; some of whom had previously been employed as Trial Assistants. Unfortunately, the precise figures have not been recorded per year, but over the 3-year period >50% of Trial Managers appointed had previously worked as Data Manager within ICTM.   Further development opportunities for Trial Managers, moving to Clinical project Managers, are more limited, however, with fewer positions supported within ICTM at this more senior role. Therefore, leaving ICTM is more common at this level. However, where such vacancies have arisen, the vast majority have been filled by successful internal applicants.

There are a number of ongoing and new initiatives that exist within individual units to support staff during their career. We aim to formalise and extend best practice across the Institute to further support all key career transitions:

a. Before the transfer into UCL, members of the MRC CTU trial and study management group were assigned a "buddy" (person in a similar role) to offer support, in addition to their line manager. This support mechanism has continued informally post transfer and but we intend to formalise and monitor it [**ACTION POINT 3.3**]

b. CCTU has a mentoring scheme where a more experienced staff member will meet regularly with a more junior member with the same role/job title to help them develop skills relevant to clinical trials. We hope to extend this more individualised mentoring across the Institute [**ACTION POINT 3.2.iv**]

c. The MRC CTU has previously identified a need to offer targeted training for improving line management skills and we are planning to do so. This is especially important for successful promotions/applications for more senior positions where the ability to take on line management is often part of the job description [**ACTION POINT 2.5**]

d. We have, in the past, put in place a deputising process where we support Professional Services staff for a set period of 3-6 months to gain experience and the confidence to take on the full role. This can take place before application for a more senior position or after an unsuccessful interview. This has been a very successful way of offering a targeted

development plan for staff and resulted in positive results in terms of both performance at interview and in post. However, the Professional Services focus group held in July 2015 in response to feedback from the staff survey highlighted the lack of career progression within Professional Services and the fact that staff did not fully understand the criteria and role expectations for more senior positions within the Unit. The Institute will continue to investigate how to improve the career progression for the Professional Services staff within academia through seminars and developing a clear policy on a career pipeline for them [**ACTION POINT 4.2.ii and iii**].

e. In our recent staff survey 70 (22%) were interested in having a mentor and 60 (19%) in becoming a mentor; 30% were not aware of mentoring opportunities within UCL. In response to this, we ran a mentoring workshop in July 2015, and 9 members of staff are now registered on the UCL uMentor system. We plan to hold another workshop and continue to encourage individuals to register as mentors and mentees and inform new employees of mentoring options available [**ACTION POINT 3.2.i and ii**].

f. Following feedback from the staff survey, we will set up an "Early Career Researcher Development" group to discuss research track promotions and career development opportunities in more detail [**ACTION POINT 3.4**].

g. For women aiming for promotion to senior roles, UCL leadership training is available to both academic staff and those in Professional Services through the "Future Leaders Programme" and "Strategic Leadership Programme", respectively. Further support and training is also available for those who have recently reached the level of Dean, Head of Department, or Director of a Research Division, to further develop the skills required in their new role. For those at an earlier stage of their careers, where the first key career transition point may occur, there is also an "Aspiring Managers Programme" to equip them with the skills necessary to develop themselves for a future managerial role. We will ensure that all staff are made aware of these opportunities during induction courses, staff meetings, appraisals [**ACTION POINT 2.3 and 2.4**].

Career development

a) For each of the areas below, explain what the key issues are in the department, what steps have been taken to address any imbalances, what success/impact has been achieved so far and what additional steps may be needed.

    (i)   **Promotion and career development** – comment on the appraisal and career development process, and promotion criteria and whether these take into consideration responsibilities for teaching, research, administration, pastoral work and outreach work; is quality of work emphasised over quantity of work?

ICTM undertake an annual appraisal for all staff during which performance is reviewed against objectives, workload assessed and career aspirations discussed. This goes beyond UCL policy which requires line managers to undertake biennial appraisals. Objectives for the forthcoming year are set and training/development needs to attain these goals, discussed and agreed.

Appraisals are viewed as an essential mechanism to support staff and ensure there is appropriate support and training. Completion rates have been good although we aim to ensure that they are >90% in future [**ACTION POINT 5.1.i**].

Several training sessions for appraisers and appraisees have been held although much of the focus has been on the process. In our staff survey 85% of staff agreed that their last appraisal accurately acknowledged their performance. However, 16% disagreed that promotions and career development had been discussed. Future training sessions will stress the importance to the appraisees' career progression and the need for appraisal to be a positive experience [**ACTION POINT 5.1.ii**]. We will also implement a system for appraisees to provide feedback, anonymously, on their experience of the appraisal meeting and discussion. [**ACTION POINT 5.1.iii**].

An ICTM Promotions Panel has been set up to review nominations for accelerated increments and re-grading for Professional Services staff, and senior and junior promotions for academic and research staff. The panel is comprised of the Institute Director (m), Unit Directors from each unit (m), Institute Manager (f) and HR Business Partner (f). The Panel reviews applications and nominations made by unit managers using agreed criteria to ensure consistency, transparency and fairness before submitting the applications to the Faculty for consideration. Feedback is given to unsuccessful applicants. Although notifications of Institute and Faculty deadlines for these opportunities are circulated via email, in advance, the current model is not proactive, and we intend to address this by: ensuring that information on promotions criteria and timelines is discussed as part of the appraisal process, that the remit of the Promotions Panel is made clear to staff, and that annual promotions workshops are held [**ACTION POINT 2.3.i, ii and iii**].

There are regular learning opportunities available to staff. These include weekly lunchtime seminars at MRC CTU, which include a mixture of internal and external speakers covering a high variety of topics, and monthly at CCTU. The proportion of female speakers has been >50% (**Figure 4.2**) and provides role models to staff working within the Institute and inspires staff to develop their careers along similar trajectories. We intend to maintain this gender ratio [**ACTION POINT 1.3**].

Figure 4.2 ICTM seminar speakers by gender 2010-2014
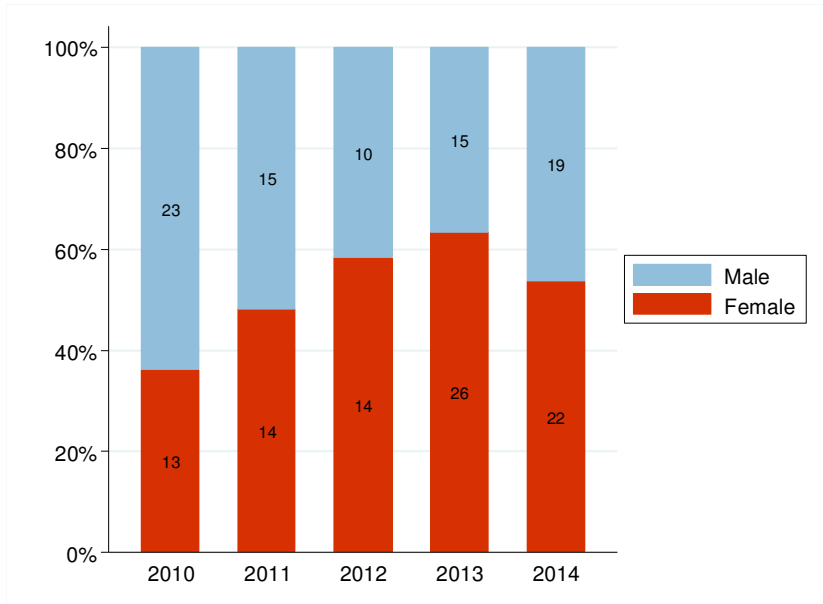
ICTM runs a number of courses, which are offered to staff across ICTM, and are intended, not only to provide career development opportunities, but also to encourage cross-unit networking. We aim to give consideration to the gender balance of speakers on all courses [**ACTION POINT 1.4**]. These currently include:

Statistics for Non-statisticians: This two-day course provides an introduction to the principles of statistics in the randomised controlled trial (RCT) environment, and is suitable for non-statisticians, including Data Managers, Trial Managers and Trials Assistants. Until June 2015 this course was run by women, and women made up 40% of speakers when the course was last run in November 2015.

Independent Data Monitoring Committees: this one-day course is aimed at those currently, or soon to be, involved in independent data monitoring committees. Of the 5 facilitators who have taught on the course until September 2015, only one has been female, however a second female facilitator will teach on the course when it next runs in March 2016.

Public and Patient Involvement in Clinical Trials: This one-day course provides an introduction to and exploration of patient and public involvement in clinical trials. The course is led by a female consultant who works with the MRC CTU at UCL, with two male patient representatives also contributing.

All of the courses have been very well-attended Of the 141 staff who have attended the courses since November 2014, 82% (116) have been women. Feedback for all courses has been extremely positive. Examples of feedback received include:

> *"Very useful course, helped me to understand better the statistics side and its importance in clinical trials."* – attendee of Statistics for Non-Statisticians course, May 2015

"Agenda was excellent, it addressed all necessary areas, all speakers were very knowledgeable and kept the group interested." – attendee of Independent Data Monitoring Committees, September 2015

"Really interesting and thought-provoking about my own work." – attendee of Public and Patient Involvement in Clinical Trials, June 2015

Staff are also given an opportunity to attend conferences, and encouraged to submit abstracts so they have the opportunity to present. This has been more available to academic/research staff than to Professional Service staff. Whilst recognising that the issue of conference attendance and authorship of scientific publications is not unique to ICTM, but is a reflection of the lack of career development opportunities for Professional Services staff within the sector in general, we aim to work on an Institute-wide policy to address this [**ACTION POINT 4.2.i**]. We also plan to hold further workshops with Professional Services staff to familiarise them with the career development pathways within academic/research/Professional Services track [**ACTION POINT 4.2.ii**].

(ii) **Induction and training** – describe the support provided to new staff at all levels, as well as details of any gender equality training. To what extent are good employment practices in the institution, such as opportunities for networking, the flexible working policy, and professional and personal development opportunities promoted to staff from the outset?

An induction checklist is provided to line managers for each new member of staff. Task reminders are provided to the line manager for the first day, within the first week and within the first month including a requirement for the new starter to complete UCL's online Diversity Training Module and an explanation of UCL's approach to Equality and Diversity. A welcome pack is given to the new staff member, which includes information on the specific unit and UCL as a whole and the management structure and information on flexible working. We plan to include information on Athena SWAN and its principles [**ACTION POINT 1.5**].

We also run a more detailed half-day induction course for all new staff which takes place, roughly, every 6 months. The timing of these is based on numbers of new starters; usual attendance is ~15-20 people. These include a presentation by the Director on the aims and structure of ICTM, an introduction to committees, including those focussed on trial governance, communications, training and development, and social activities. Information is also provided on flexible working arrangements. An overview of work in each disease area and methodology is also provided. The co-ordination and chairing of the induction course is undertaken by the training committee and, for the past 4 years, these have been women. Presentations are given by staff at different levels of seniority and, for the past 3 years at least 50% of presentations are given by female staff members.

(iii) **Support for female students** – describe the support (formal and informal) provided for female students to enable them to make the transition to a sustainable academic career, particularly from postgraduate to researcher, such as mentoring, seminars and pastoral support and the right to request a female personal tutor.

Comment on whether these activities are run by female staff and how this work is formally recognised by the department.

We have few (post-graduate research) students, and the majority (78%) are female. All have the option of studying on a part-time basis. Of the 14 female students in year 3, 10 (71%) were, in fact, registered as part-time, 2 of whom had initially registered on a full-time basis but requested transfer to part-time status because of family circumstances, and were supported in doing so.

For the 17 female students in 2013/14, 13 had female supervisors. Selection to supervise a student is determined by the expertise/knowledge of the scientific context of the PhD topic and availability to supervise. The Institute is working towards building capacity among academic/research staff so that the pool of available supervisors is extended. Supervision of PhD students is included in annual appraisals and is formally recognised in promotions criteria. We will, however, aim to ensure that female students have the right to request a female secondary supervisor within a supervisory team, should the primary supervisor be male [**ACTION POINT 3.5**].

We also plan to hold early career research workshops and encourage female PhD students to consider a career in academia [**ACTION POINT 3.4**].

Organisation and culture

a) Provide data for the past three years (where possible with clearly labelled graphical illustrations) on the following with commentary on their significance and how they have affected action planning.

(i) **Male and female representation on committees** – provide a breakdown by committee and explain any differences between male and female representation. Explain how potential members are identified.

There are 22 committees in ICTM, each tasked with a key role in the function of the Institute. Five of these are decision-making committees (marked with an asterisk *). A breakdown of representation by committee is shown in **Table 4.1**.

Table 4.1 ICTM Committee membership by gender

Unit	Committee	Female	Male	Total
ICTM	Executive Management Board*	2 (50%)	2	4
MRC CTU	SOP Committee	9 (82%)	2	11
	Training	8 (73%)	3	11
	Senior Management Team (SMT)*	8 (62%)	5	13
	Athena SWAN*	11 (73%)	4	15
	Scientific Strategy Group (SSG)*	3 (43%)	4	7
	Protocol Review Committee (PRC)	2 (40%)	3	5
	Quality Management Advisory Group (QMAG)	8 (89%)	1	9
	Research Governance Committee (RGC)*	10 (83%)	2	12
	Seminar	4 (57%)	3	7
	Web	7 (64%)	4	11
	Library	3 (75%)	1	4
	Accommodation	11 (79%)	3	14
	Business Continuity Planning (BCP)	10 (56%)	8	18
	Technical Strategy Group (TSG)	8 (62%)	5	13
	Patient and Public Involvement (PPI)	7 (70%)	3	10
	Reputation and Identity Group	5 (83%)	1	6
	Research Impact Group	5 (100%)	0	5
CCTU	Senior Management Team*	2 (33%)	4	6
	Quality Management Group	6 (86%)	1	7
	Protocol Review Committee	3 (50%)	3	6
	Trial Adoption Group A+B	3 (43%)	4	7
Total		135 (67%)	66	201

Overall there is a good ratio of female-male members across the committees, which reflects the ratio in the Institute. Across the 22 main committees in ICTM, 66% of members are female. Approximately 70% of the committees are chaired solely or jointly by women.

Representation on the main decision-making committees is determined by role within the organisation, such as the SSG which includes the Director, Deputy Director and all (MRC) Programme Leaders. For other committees, staff are encouraged to put themselves forwards with line managers taking particular note to encourage junior and mid-career staff to join. As such, membership is mainly voluntary with no restrictions on duration of membership. There is, however, no formal system to ensure gender balance on committees. In future we will monitor the gender balance on committees and advise on gender balanced membership as necessary [**ACTION POINT 1.6**].

As the work of the ICTM is developed within the UCL environment, future committees to be formed include an ICTM Teaching & Research Committee. We will ensure that female representation on these is commensurate with female representation among ICTM staff [**ACTION POINT 1.6**].

(ii) **Female:male ratio of academic and research staff on fixed-term contracts and open-ended (permanent) contracts** – comment on any differences between male and female staff representation on fixed-term contracts and say what is being done to address them.

Only staff recruited from outside UCL on short term contracts < 1 year such as to cover maternity or sabbaticals are recruited on fixed-term contracts.

The vast majority of staff within the Institute are employed on open-ended contracts stating the funding end date for the research project. This funding end date is reviewed on a regular basis and extended where funding permits. Staff often work on more than one study and will be reallocated to new projects when a particular study comes to an end. This is the case for research and Professional Services staff. Within either 3 months (for staff on UCL Terms and Conditions) or 6 months (for staff on MRC Terms and Conditions) of funding end date staff are offered the opportunity to join the UCL redeployment register. By so doing they are given prior consideration of roles before they are advertised externally. There have been no redundancies to date. These conditions are the same for female and male staff.

b) For each of the areas below, explain what the key issues are in the department, what steps have been taken to address any imbalances, what success/impact has been achieved so far and what additional steps may be needed.

(i) **Representation on decision-making committees** – comment on evidence of gender equality in the mechanism for selecting representatives. What evidence is there that women are encouraged to sit on a range of influential committees inside and outside the department? How is the issue of 'committee overload' addressed where there are small numbers of female staff?

The table below shows the breakdown of female and male staff in the 5 decision-making committees across the Institute. These committees are comprised of 57% females. There are more female than male members, although the ratio does not reflect the high female ratio of staff employed at the Institute. The core membership of the decision making committees in the Institute is dependent on role; ICTM Executive Management Board is made up of the 2 (male) directors of the units within ICTM, 1 (female) Deputy Director of the MRC CTU, as well as the Institute Manager (female). The SAT will recommend that the gender balance on these committees be redressed to reflect the ratio across the Institute and will monitor this [**ACTION POINT 1.7**]. In addition, senior staff are encouraged to sit as observers on the SSG meetings on a rotational basis and, in future, we will monitor the gender balance of observers [**ACTION POINT 5.2**].

Table 4.2 ICTM decision-making committee membership by gender

Unit	Decision-making Committees	Chair	Female	Male	Total
ICTM	Executive Management Board	M	2 (50%)	2	4
MRC	Senior Management Team (SMT)	M	8 (62%)	5	13
CTU	Scientific Strategy Group (SSG)	M	3 (43%)	4	7
	Research Governance Committee (RGC)	F	6 (86%)	1	7
CCTU	Senior Management Team	M	2 (33%)	4	6
Total			**21 (57%)**	**16**	**37**

There is some overlap in committee members with a total of 19 (53%) unique female members and 17 (47%) unique male members across the decision-making committees. As such, there is a risk of committee overload. This is currently reviewed as part of the staff appraisal process. However, the SAT will conduct a survey of committee members to review the burden of work and provide advice on ways to alleviate the burden specifically on female members. [**ACTION POINT 5.3**]

To date we have not collated data regarding staff representation on committees outside the department. In the recent staff survey 49% of women and 74% of men reported feeling encouraged to represent the Institute on committees, boards or at conferences internally and externally. As such, we aim to collate details of representation on external committees and review representation for gender balance and provide advice on areas where representation needs to be encouraged [**ACTION POINT 1.7**].

(ii)   **Workload model** – describe the systems in place to ensure that workload allocations, including pastoral and administrative responsibilities (including the responsibility for work on women and science) are taken into account at appraisal and in promotion criteria. Comment on the rotation of responsibilities e.g. responsibilities with a heavy workload and those that are seen as good for an individual's career.

There is no formal workload model as the Institute does not currently run teaching programmes. The new MSc in Clinical Trials is due to start in 2016/17 and we will ensure that any staff who takes on teaching responsibilities can balance these with their current workload [**ACTION POINT 5.4**]. The modules of the MSc have been arranged to run 1-day a week over a 5-week period so as to enable flexibility for staff delivering the module and those attending.

The annual appraisal process provides an opportunity to review the responsibilities of each individual. The appraisals are used to review where the individual has contributed to wider department/Institute/UCL activities. These aspects of an individual's workload that do not relate directly to their job description are, therefore, recognised in the appraisal process.

Work distribution across the teams is reviewed regularly by management to ensure workload is reasonable, fairly distributed, and to allow for adjustments to be made if needed. Line managers are encouraged to meet with their staff on a regular basis to assess workloads and ensure that work is shared and particularly responsibilities are rotated as needed. In the recent staff survey, 78% of women and 92% of males reported having a good life-work balance. This large difference is of concern and may, in part, be related to committee overload. Line managers will be encouraged to discuss overload during the annual appraisal [**ACTION POINT 5.1.iv**].

(iii)   **Timing of departmental meetings and social gatherings** – provide evidence of consideration for those with family responsibilities, for example what the department considers to be core hours and whether there is a more flexible system in place.

Departmental meetings and seminars are scheduled during core hours between (10-4) allowing staff with caring responsibilities to have flexibility at either end of the day. Exceptions to this include events such as Inaugural lectures, as well as Christmas and summer social gatherings which are typically held from the early evening. These are arranged well in advance to allow staff to make any necessary arrangements.

Meetings that involve decision-making are scheduled to suit the needs of the participants. However, in the event that a meeting can only be scheduled outside of core hours, notification of meeting times is advertised well in advance to allow alternative arrangements or teleconference options to be made.

> (iv)   **Culture** –demonstrate how the department is female-friendly and inclusive. 'Culture' refers to the language, behaviours and other informal interactions that characterise the atmosphere of the department, and includes all staff and students.

In our staff survey, 89% of responders agreed that they were treated with fairness within their work environment, and 91% agreed they were treated with respect (85% and 89%, respectively, for female responders). 73% of all responders agreed that the felt valued for the work they do (71% in female responders).

Both units are divided into departments/teams that meet regularly to discuss their portfolio of trials and any issues relating to their specific job roles. These meetings provide an opportunity to welcome new staff, celebrate project milestones, provide updates from SMT and discuss subject-specific issues and challenges.

Each unit also holds regular general staff meetings to discuss unit strategy and performance. An Institute-wide meeting is held twice a year to disseminate key information on Institute level projects and UCL policy changes. We are looking to expand the remit of these meetings to facilitate discussions on trial portfolio, PhD projects (including upgrade presentations) and discussion groups aligned to staff development.

There are a number of social events organised by the units including a monthly lunchtime book club, an annual summer party, and Christmas party – these are open to all staff and students.

> (v)   **Outreach activities** – comment on the level of participation by female and male staff in outreach activities with schools and colleges and other centres. Describe who the programmes are aimed at, and how this activity is formally recognised as part of the workload model and in appraisal and promotion processes.

As noted above, activities that are not directly linked to an individual's job description are included as part of the formal annual appraisal process and this includes outreach activities where appropriate.

Some members of the Institute participate in teaching and outreach activities but this is not centrally logged. Examples include talks given to secondary school students about science and engaging primary school students in science and mathematics activities. We will collate this information and monitor it moving forward [**ACTION POINT 5.1.v**]. In order to do so, we will

conduct a survey across ICTM to collate details of staff member participation in outreach activities and establish a register of the type of activities that staff engage in. We will encourage line managers to seek information during appraisals on outreach activities so that these enabling activities are formally recognised. We will also promote the STEMNet Ambassadors scheme across the Institute and monitor uptake [**ACTION POINT 1.7**] and include this in our workload model. This process will also allow us to ensure that men and women are engaged in outreach activities.

Flexibility and managing career breaks

a) Provide data for the past three years (where possible with clearly labelled graphical illustrations) on the following with commentary on their significance and how they have affected action planning.

(i) **Maternity return rate** – comment on whether maternity return rate in the department has improved or deteriorated and any plans for further improvement. If the department is unable to provide a maternity return rate, please explain why.

The Institute's maternity return rate figures are as follows:

Year	Number who took maternity leave	Number who returned from maternity leave
2011/12	7	6
2012/13	8	5
2013/14	3	3
Total	**18**	**14**

Of the 4 women who did not return to work following maternity leave, two relocated outside London and two opted to take up full-time parenting roles. Figures are generally consistent across the years, with those not returning choosing to do so because of family circumstances. The ICTM has agreed several actions, discussed below, to support maternity leave, and to ensure staff have appropriate information to make choices regarding return to work and options around flexible working.

Following the staff survey results (which identified the need to provide more support to staff returning to work after maternity leave) we initiated a focus group to discuss the current provisions for maternity/paternity/adoption leave and to capture some of the experiences and challenges faced by staff. A number of action points have been identified e.g. providing clear guidance on practical issues that need to be addressed before taking leave, KIT days, UCL policies and guidance to manage return to work [**ACTION POINT 3.6.i**]. We plan to communicate this via emails from HR.

(ii) **Paternity, adoption and parental leave uptake** – comment on the uptake of paternity leave by grade and parental and adoption leave by gender and grade. Has this improved or deteriorated and what plans are there to improve further.

One female member of research staff (SWAN category 4) took 12 months adoption leave in year 3.

No information was recorded for paternity leave in years 1 and 2. In year 3, 6 men took paternity leave ((1 SWAN category 3, and 5 SWAN category 2). Given the recent policy changes on shared parental leave, and following feedback from our staff survey and focus groups, we intend to provide more guidance on parental leave, and will run guidance sessions to discuss provisions with staff in both units [**ACTION POINT 1.8**].

UCL has an online system for requesting, and approving leave, including maternity, paternity and adoption leave, which will facilitate the reporting of this in future. We will encourage all staff to use this online system [**ACTION POINT 1.9**].

> (iii) **Numbers of applications and success rates for flexible working by gender and grade** – comment on any disparities. Where the number of women in the department is small applicants may wish to comment on specific examples.

All requests for flexible working over the period were successful and these have largely been from women with caring responsibilities, although some were requested for other reasons. Around 20-25% of these requests were from research staff, and the remainder from Professional Services staff. The majority of requests (75-80%) were to reduce hours. Further information is available below:

Year 1: Data are unavailable.

Year 2: Five women requested a decrease in hours; all were approved. Of these, 3 were returning from maternity leave, one for personal reasons, and one for a career break.

Year 3: Ten women requested a decrease in hours and one woman requested an increase in hours; all were approved. Of the women requesting a decrease in hours, 7 were returning from maternity leave, 2 for personal reasons, and one for a career break.

> b) For each of the areas below, explain what the key issues are in the department, what steps have been taken to address any imbalances, what success/impact has been achieved so far and what additional steps may be needed.

> (i) **Flexible working** – comment on the numbers of staff working flexibly and their grades and gender, whether there is a formal or informal system, the support and training provided for managers in promoting and managing flexible working arrangements, and how the department raises awareness of the options available.

The ICTM operates various flexible working arrangements. These are open to all staff and are very popular. In our staff survey 84% of staff reported that they work flexibly. These include:
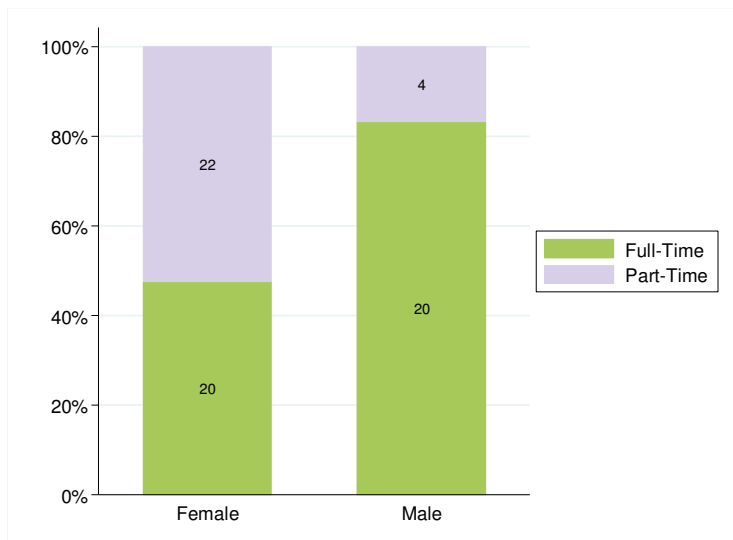
- Part time working
- Job sharing
- Career breaks
- Working from home
- Variable Hours Working
- Compressed hours

During the Professional Services and Parents and Carers focus groups, attendees reported the benefits and appreciation for flexible working culture within the Institute. All were very supportive of the existing flexitime arrangements, and it was felt it was an ingrained culture and that ICTM was supportive of it. Some members of the group said that when they had worked in industry they often felt guilty for leaving at 6 pm, as that culture was not supportive of flexible working. But in the Institute they are not made to feel bad about leaving at 4.30 pm, and no longer feel guilty for leaving earlier to accommodate childcare.

ICTM offers all staff members the possibility to work on a part-time basis. In year 3, 26% of staff worked part-time (**Figure 4.3**). More women than men take up the opportunity to work part-time with 31% of women compared to 11% of men. Among research/academic staff, 52% of women take up the opportunity to work part-time compared to 17% of men. These figures may be a reflection of female staff using flexible working to support caring commitments.
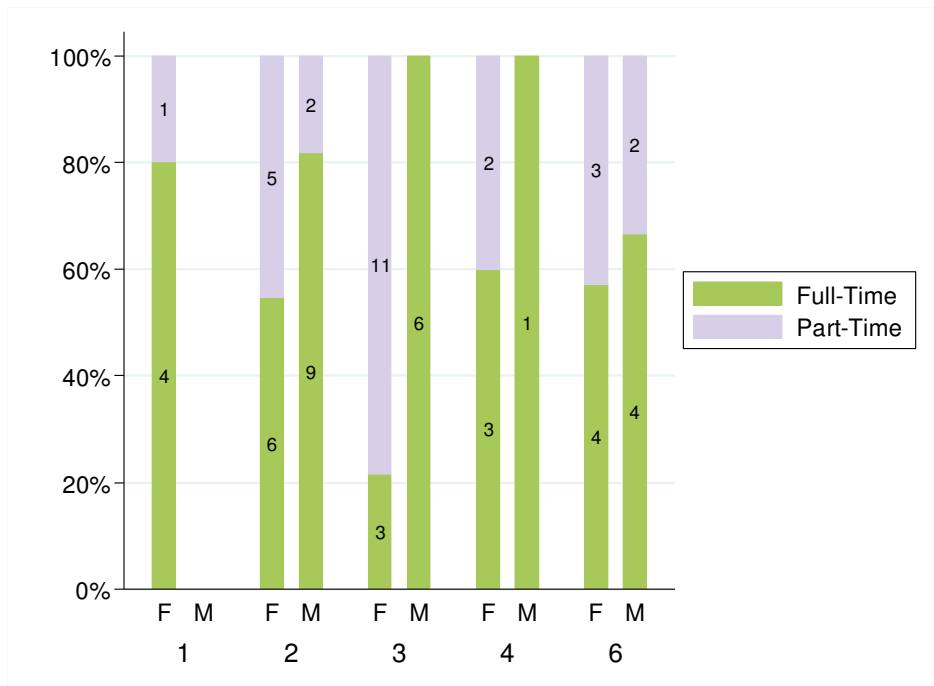
In the recent staff survey only 5% of staff reported working additional hours outside of ICTM; they are staff with clinical commitments.

Figure 4.3 full and part-time work statuses for academic/research staff 2013-2014

There is no clear pattern between seniority and full/part-time status (**Figure 4.4**), although at 77% the proportion of part-time workers is greatest among females at SWAN category 3. This may reflect a stage in their career at which these women feel comfortable with their work/life balance. However, there is no evidence to suggest a decrease in the proportion of females working flexibly at the grades beyond category 3, although the numbers at ICTM are very small.

Figure 4.4 full and part-time work statuses for academic/research staff by SWAN category 2013-2014

In the recent staff survey, a similar proportion of female (33%) and male (35%) staff reported caring responsibilities. We recognise the strains placed on staff related to furthering a career while balancing caring responsibilities, be it for children or elderly parents, and we aim to maintain these flexible working arrangements.

(ii)   **Cover for maternity and adoption leave and support on return** – explain what the department does, beyond the university maternity policy package, to support female staff before they go on maternity leave, arrangements for covering work during absence, and to help them achieve a suitable work-life balance on their return.

During maternity leave, cover is usually offered and is advertised internally within the Institute and, where appropriate, on the UCL website. We also aim for a handover period before and after return from maternity leave. 10 Keeping in touch (KIT) days are also available to support staff's readiness to return, and line managers are expected to implement a structured plan to support their staff member returning to work and to consider options such as phased return or flexible working.

It became clear through our recent focus group discussion that support and practical advice was not consistent across the studies or the two units leading to some inconsistencies. Furthermore, not all had been aware of the KIT days. We plan to put together a booklet to be given to staff and their line managers as soon as the pregnancy/adoption is declared to HR. This will include practical information, actions required, and line manager responsibilities ahead of the leave, during it, and once the staff member returns [**ACTION POINT 3.6.ii**]. We clearly also need to do a better job in promoting KIT days, and plan to do so through Institute newsletters [**ACTION POINT 3.6.i**].

We will also encourage women with young children and those recently returning to work from maternity leave to register as a mentor through UCL's UMentor scheme, and choosing the maternity leave mentoring option (along with any other options they may choose). This is so that they can be in a position to mentor others women before, during and on returning from maternity leave [**ACTION POINT 3.2.iii**].

(5729 words)

5. Any other comments: maximum 500 words

Please comment here on any other elements which are relevant to the application, e.g. other SET-specific initiatives of special interest that have not been covered in the previous sections. Include any other relevant data (e.g. results from staff surveys), provide a commentary on it and indicate how it is planned to address any gender disparities identified.

Aside from the MRC CTU and the CCTU, the Institute also includes 2 virtual units: PRIMENT Clinical Trials Unit and Cancer Research UK/UCL Cancer Trials Centre which. They are considered part of the Institute by virtue of the fact that they have staff that undertake clinical trials but otherwise are engaged in clinical research that falls under the governance of different departments and Faculties within UCL. With the creation of the Institute, the Vice Provost for the School of Life and Medical Sciences felt that it was important that the largest groupings of clinical trial staff had a mechanism to work together, exchange ideas, and network. The Institute is currently undergoing a governance review to consider whether these virtual units should be formalised within the Institute. A decision on this review is expected in 2016.

The PRIMENT Unit and Cancer Research UK Centre have been included in the Athena SWAN applications of the Institute of Epidemiology and Health Care and the UCL Cancer Institute, respectively, both holding Silver awards. These applications did not include Professional Services staff but focussed on academic / research staff. Whether or not the two units officially join the Institute, we intend to form stronger links with them to learn from their good practice and involvement in their respective silver applications, but also to share with them the Institute's good practice in supporting Professional Services staff [**ACTION POINT 4.1**].

(289 words).

6. Action plan

Provide an action plan as an appendix. An action plan template is available on the Athena SWAN website.

The Action Plan should be a table or a spreadsheet comprising actions to address the priorities identified by the analysis of relevant data presented in this application, success/outcome measures, the post holder responsible for each action and a timeline for completion. The plan should cover current initiatives and your aspirations **for the next three years**.

The action plan does not need to cover all areas at Bronze; however the expectation is that the department will have the organisational structure to move forward, including collecting the necessary data.

ICTM will continue to promote the role of women in science by ensuring Athena SWAN principles are incorporated into every aspect of the Institute's work practice. Supported by the Athena SWAN SAT we have identified the following key areas within this application, which we believe will make the most difference to working culture:

1.   Promote Athena SWAN principles, monitor gender balance, and increase equality training

2.   Increase the appointment, promotion, and retention of women

3.   Support women at ICTM at key career transition points

4.   Support the career aspirations and retention of Professional Services staff

5.   Promote an inclusive, respectful culture and equal opportunities for career development.

Appendix: ICTM Action Plan

	Issue and area of action identified	Actions in place	Proposed actions	Timescales	Accountability (SAT member)	Responsibility	Success measures
1. Promote Athena SWAN principles, monitor gender balance, and increase equality training							
1.1	ICTM SAT membership: as staff leave and students are enrolled on the new MSc, new members are needed	Membership currently reflects staff at ICTM	Ensure membership continues to reflect composition of ICTM (staff and students)	6-monthly review	Kholoud Porter	Max Parmar	SAT composition similar to ICTM staff and student composition
1.2	Few staff have had Unconscious Bias training	Although staff have been alerted to it, few have undertaken it	All recruiting ICTM staff, particularly those with line management responsibilities, to be encouraged to undertake training	July 2017	Mitzy Gafos	Line managers	>80% of line managers and 20% of all staff complete training by July 2017
1.3	Maintain gender ratio of speakers/role models invited to present at ICTM seminars	There is currently a good ratio, although unplanned	Actively encourage the participation of women speakers: seminar organisers to report to SAT, and staff are requested at staff meetings to suggest names of women speakers	Annual review	Emma Tomlinson	Louise Brown (Seminar Committee Chair)	≥50% women seminar presenters
1.4	Address gender	Male: female	Ensure that the gender	November	Patrick Phillips	Andrew	≥50% women

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	Issue and area of action identified	Actions in place	Proposed actions	Timescales	Accountability (SAT member)	Responsibility	Success measures
	balance of speakers on courses	ratio of presenters is high given ICTM gender ratio	balance of speakers is commensurate with the gender balance of research staff at ICTM	2016 and 6-monthly review		Embleton (course organiser)	presenters
1.5	Information of Athena SWAN for new recruits	Currently there is a lack of information on Athena SWAN for new recruits	Add information on Athena SWAN and its principles to the welcome pack for new recruits, with a link to Institute SWAN website	December 2017	Denise Halton	HR	All welcome packs for new recruits to include information on Athena SWAN. In future staff surveys, >80% of staff indicate they are aware of SWAN
1.6	Gender balance on ICTM committees	Gender balance is currently appropriate except for the 4 decision-making committees where men dominate	Advise SMT on gender-balanced membership of decision-making committees	August 2017	Max Parmar	Judy White	All committees, including decision-making committees to have ≥50% females

	Issue and area of action identified	Actions in place	Proposed actions	Timescales	Accountability (SAT member)	Responsibility	Success measures
1.7	Staff representation on external committees	This is currently not recorded systematically	Collate details of staff representation on external committees and review representation for gender balance and provide advice on areas where representation needs to be encouraged	December 2017	Kholoud Porter	Judy White	Register of committees on which staff sit established, including of STEMNet Ambassadors
1.8	Shared parental care	Staff currently unaware of recent provision for shared parental care	Run guidance sessions on parental leave to ensure staff are aware of provision	September 2016	Monica Mascarenhas	HR	≥80% of eligible staff aware of provision as captured in staff survey
1.9	Information on staff taking paternity leave	System is currently used largely to only log annual leave	Encourage all staff to use the UCL online leave system to log all forms of leave	March 2018 and annually	Denise Halton	Line Managers	≥80% of all categories of staff leave logged electronically
2. Increase appointment, promotion, and retention of women							
2.1	Exit interviews	These are currently conducted ad-hoc	Introduce exit interviews for all staff, monitor the reasons for leaving, and whether there are	December 2016	Denise Halton	HR	≥80% of staff leaving having an exit interview

	Issue and area of action identified	Actions in place	Proposed actions	Timescales	Accountability (SAT member)	Responsibility	Success measures
			differences by gender				
2.2	Interview panel gender compositions	We currently have excellent female representation rates on interview panels although this is not formally captured	Record data on interview panel gender compositions across all groups within the Institute and formally monitor	March 2017 and 6-monthly review	Anna Parker	HR	Interview panels consisting, on average, of ≥50% females and no interview panels with 100% male or 100% female representation
2.3	Awareness of promotions criteria and their timelines	The timelines are currently circulated to all staff with a link to the UCL HR page on promotions	i) Ensure that individually each academic/research member of staff is made aware of promotions criteria and their timelines during appraisals ii) Outline remit of ICTM promotions panel and feedback to all staff annually iii) Hold annual promotions workshops	October 2016	Sarah Pett Max Parmar Kholoud Porter	Judy White	Positive response of awareness of promotions criteria by ≥80% of academic/research staff measured through staff survey
2.4	Uptake of UCL staff development courses	This is currently encouraged although not	Ensure that line managers are aware of UCL staff development	June 2017 and 6-monthly	Anna Parker	Line managers	≥80% of staff being aware of courses, and 50% reporting they

	Issue and area of action identified	Actions in place	Proposed actions	Timescales	Accountability (SAT member)	Responsibility	Success measures
		proactively	courses and that all staff are made aware of these opportunities during induction courses, staff meetings, and appraisals	review			have attended courses as captured by staff survey
2.5	Line management training	No specific line management training currently flagged	Arrange specific line management training	June 2017 and annually	Sarah Pett	HR	≥80% of line managers to have undertaken course
3. Support women at ICTM at key transition points							
3.1	Time to PhD and MD completion	No formal recording of time to completion is made, including non-completion	Formally record time to completion of PhD and MD courses, and ensure there is support (close monitoring and offering change to part-time) in place for individuals taking longer completion times than could be expected	February 2018	David Dolling	PhD/MD supervisors	Complete information on time to completion by gender by Feb 2018 and demonstrable support for women students to help them complete in time
3.2	Promote mentoring	Most staff are unaware of the value of mentoring and being mentored	i) Run a face-to-face mentoring workshop in order to supplement the online training course available through UCL	September 2017	Judy White	Judy White	An increase in staff reporting they have a mentor in staff survey – at least 10 staff attending training course

	Issue and area of action identified	Actions in place	Proposed actions	Timescales	Accountability (SAT member)	Responsibility	Success measures
			ii) Inform new employees of the mentoring options available and include a question during annual appraisal for current staff on whether they would like a mentor	May 2017	Sarah Pett	Line Managers	An increase in awareness of mentoring by staff at ICTM through staff surveys
			iii) encourage women who have taken maternity leave to register on UCL's UMentor scheme in order to mentor others before, during and after returning from maternity leave. And encourage such women to register as mentees	November 2017	Heather Short	Line Managers	At least 10 women registered as mentors/mentees on UMentor expressly for maternity leave option
			iv) formalise individualised clinical trials mentoring	June 2018	Macey Murray	Line Managers	At least 10 individuals taking up such mentoring
3.3	Formalise "buddy" system	The system has been used informally by the Clinical Operations Group	Formalise "buddy" system across ICTM	March 2018	Fleur Hudson	Line managers	Positive feedback through staff survey by >70% of new staff of buddy system

	Issue and area of action identified	Actions in place	Proposed actions	Timescales	Accountability (SAT member)	Responsibility	Success measures
		at MRC CTU					
3.4	Support early career researchers	There are currently a number of schemes to do this although no formal early career researchers programme exists	Establish an "Early Career Researcher Development" group to discuss research track promotions and career development opportunities in more detail	May 2016 and annually	Mitzy Gafos	Judy White	>80% of early career researchers contributing to group
3.5	Supervision of female students	There is currently no provision for providing female students with the option of having a female supervisor should the subject of their PhD be that of a male staff member	Ensure that female postgraduate research students have a right to a female on a supervisor team, should the primary supervisor be male	September 2018	David Dolling	Judy White	100% of female students who wish to have a female supervisor are assigned one

	Issue and area of action identified	Actions in place	Proposed actions	Timescales	Accountability (SAT member)	Responsibility	Success measures
3.6	Supporting women returning to work following childcare leave	Women taking maternity leave are eligible for 10 KIT days although many were not using them	i) Promote KIT days and encourage women to use them fully when taking maternity leave	March 2018	Fleur Hudson	Line Managers	100% of eligible women take up their KIT days as measured through staff survey
		Awareness of actions needed by women taking maternity leave and their line managers before, during and after returning to work is inconsistent and unsatisfactory	ii) A booklet will be given to new parents and their line manager detailing practical actions which need to be taken by each and line manager responsibilities as soon as the pregnancy/adoption is declared to HR	September 2017	Louise Choo	Line managers	Positive response by >80% of women taking maternity leave as given in staff survey
4. Support the career aspirations and retention of Professional Services staff							
4.1	Guidance to other departments on inclusion of Professional Services staff data in future SWAN applications	This application represents the first from UCL to include Professional Services staff	Provide guidance to other UCL departments	April 2016	Kholoud Porter	Judy White	Number of invitations to present on issue and staff queries from other departments addressed
4.2	Champion career	We set up one	i) Establish an ICTM-wide	October	Fleur Hudson	Judy White	Positive feedback

	Issue and area of action identified	Actions in place	Proposed actions	Timescales	Accountability (SAT member)	Responsibility	Success measures
	needs of Professional Services staff	focus group at which Professional Services staff discussed issues which have arisen from the transfer to UCL	policy on the involvement of Professional Services staff in drafting research papers and attendance at conferences	2018			received from ≥80% of Professional Services staff in staff survey on manuscripts/conference attendance
			ii) Set up seminars for Professional Services staff to learn about career progression opportunities at UCL	September 2016 and annually	Macey Murray	HR	Provide annual feedback from group to SAT, EMB and Unit SMTs
			iii) Develop a career pipeline for trials staff in Professional Services	June 2018	Monica Mascarenhas	HR	A clear policy in place for a career pipeline publicised to all current and new staff and included in staff handbook/intranet/ induction pack
5. Promote and inclusive, respectful culture and equal opportunities for career development							
5.1	Improve appraisals	Current training on appraisals for line managers is focused on the process	i) Increase appraisals completion rate	January 2018	Emma Tomlinson	Line managers	>90% appraisals completion rate

Issue and area of action identified	Actions in place	Proposed actions	Timescales	Accountability (SAT member)	Responsibility	Success measures
		ii) Ensure that future appraisals training stress the importance to the appraisees' career progression and the need for it to be a positive experience	March 2018	Louise Choo	HR	Increase in positive feedback of appraisal process as captured through staff survey
		iii) Implement an anonymous system for appraisees to provide feedback on their performance review meeting	June 2018	Judy White	HR	Feedback available on >50% of appraisal experience
		iv) ensure that workload is discussed during appraisal, especially regarding committee workload	June 2018	Claire Vale	Line Managers	Positive feedback on specific question relating to workload on staff survey from ≥60% of staff
		v) Ensure that there is opportunity for enabling activities to be discussed during appraisals and to be considered when assessing a staff member's performance review	March 2017	Claire Vale	Line managers	Positive feedback in staff survey from ≥70% of staff that enabling activities were considered during appraisal

	Issue and area of action identified	Actions in place	Proposed actions	Timescales	Accountability (SAT member)	Responsibility	Success measures
5.2	Provide staff with opportunity to understand how decisions are made	Staff are currently to attend as observers to SSG meetings but no system exists to monitor uptake or gender balance of individuals attending	Monitor gender balance of individuals who sit as observers on the SSG meetings	January 2018	Heather Short	Max Parmar	At least 60% of observers are female.
5.3	Membership of ICTM committees	There is likely to be committee membership overlap for some individuals increasing their workload	Include in a future staff survey a question on committee membership and assess burden of this, particularly for female members	June 2016	Judy White	Max Parmar	>90% of staff being satisfied with their contribution to committees as captured through staff survey

Committee workload redistributed and addressed where relevant |
| 5.4 | Teaching responsibilities | No staff currently have teaching responsibilities | Review the workload of staff taking on teaching responsibilities in MSc course | June 2017 | Patrick Phillips | Angela Meade | Positive response through staff survey from at least 70% of those with teaching responsibilities after the first academic year |