



[REDACTED]

19 November 2021

Dear [REDACTED],

Freedom of Information request: FOI2021/00462

Thank you for your Freedom of Information request received on the 18 October and clarification received on 22 October, in which you requested the following:

Your request:

I would like to request equality data in the following

1) A breakdown of UKRI staff members by ethnicity in the same way in which gender is represented in the Annual report showing pay bands for the past 3 years. Where you are unable to give data due to low numbers please clearly state this. Please disaggregate Ethnicity as I am particularly interested in the representation of Black staff members.

I am keen to understand how many Black directors (X&Y) and senior leaders (G&H) there are in UKRI.

Please provide this from the data set that was used to compile the most recent annual report and the latest data set available, but if I can only have one the same data set that was used to compile the most recent annual report, and where possible include data on both payroll employees and contractors/agency staff.

2) I would like to have the 'award value' and 'award rate by value' for the past 3 years disaggregated ethnicity so I can see the representation of Black individuals within the broader collation of minority ethnic groups

I note that this data is not in the ethnicity analysis report and is not disaggregated within the tableau data

<https://public.tableau.com/app/profile/uk.research.and.innovation.ukri/viz/EDIfundingdata2021/Awardrate>

Our response:

I can confirm UK Research and Innovation (UKRI) hold information relevant to your request. Please see the information below and attached.

When responding to your request, consideration was given to protecting the personal information and confidentiality of individuals. Individuals in a small group are also considered to be identifiable and it is standard statistical reporting to suppress the disclosure of personal data in these situations.

In order to reduce the impact of this on the information you have requested, ethnicity data will be presented in seven categories where possible; Asian, Black, Mixed, Other, Unknown, White and Not disclosed.

As you will be aware, ethnicity is a protected characteristic and classified as sensitive personal data. Information held on this is only available where an individual has opted to provide confidential diversity monitoring information. For the purposes of providing a consistent response the following criteria was used to define each category:

- Asian – any individual who has identified as being Asian or Chinese, or any subset of these categories

- Black – any individual who has identified as being Black, or any subset of this category
- Mixed – any individual who has identified as being of mixed heritage
- Other – any individual who has identified as an ethnicity that they felt did not fall within the categories available
- Unknown – if an individual has not provided diversity monitoring information, or ethnicity information is not held. No assumptions have been made about an individual's ethnicity
- White – any individual who has identified as being White or any subset of this category
- Not disclosed – any individual who has provided diversity monitoring information and opted not to disclose their ethnicity

Further information on the breakdown of the ethnicity categories can be found on page 5 of the [UKRI Detailed ethnicity analysis of funding applicants and awardees](#)¹.

In answering this request, some information has been withheld under section 40(2) where it relates to fewer than five members in a category as defined above, individual's personal details or contact information.

We consider that to disclose information relating to small numbers of individuals, individual's personal details or contact information would contravene the first Data Protection Principle as defined under Section 86 of the Data Protection Act 2018 and Article 5 of UK General Data Protection Regulation (UK GDPR) of lawfulness, fairness and transparency.

Section 40(2) is an absolute exemption and does not require a public interest test.

Members in each category have been rounded to the nearest value of five. As mentioned above, information relating to less than five individuals is withheld as personal information under section 40(2) of the FOIA and where appropriate categories consisting of one to four members will be indicated by "< 5". Where there are no members within a category, a count of zero would be included.

- 1) A breakdown of UKRI staff members by ethnicity in the same way in which gender is represented in the Annual report showing pay bands for the past 3 years.

Data Set as of 31 March 2021

Pay Bands	Ethnicity	Headcount	FTE
Directors (X&Y)	Asian	< 5	< 5
	Black	< 5	< 5
	Mixed	0	0
	Other	< 5	< 5
	Unknown	20	20
	White	80	80
	Not disclosed	15	15
Senior Managers (G&H)	Asian	15	15
	Black	< 5	< 5
	Mixed	0	0
	Other	< 5	< 5
	Unknown	65	55
	White	410	390
	Not disclosed	35	35
Other Employees (A-F)	Asian	325	315
	Black	90	90
	Mixed	115	115
	Other	35	35
	Unknown	1190	1080
	White	5130	4890

¹ <https://www.ukri.org/wp-content/uploads/2020/12/UKRI-15122020-DetailedEthnicityAnalysisOFFundingApplicantsAndAwardees2014-15to2018-19.pdf#page=5>

	Not disclosed	690	640
Grand Total		8220	7770

The above data is compiled using the same information that was used to compile the [Staff Report for the UKRI Annual Report 2020/21](#)² and includes all staff; both payroll employees and contractors/agency staff. Please note that the database is also 'live', so all data within is subject to changes in our data processing rules. This can result in figures from previous months being amended and subsequently reported differently, which accounts for any minor discrepancies between the above and data included in the annual report.

Data Set as of 31 October 2021

Pay Bands	Ethnicity	Headcount	FTE
Directors (X&Y)	Asian	< 5	< 5
	Black	< 5	< 5
	Mixed	< 5	< 5
	Other	< 5	< 5
	Unknown	25	25
	White	80	80
	Not disclosed	15	10
Senior Managers (G&H)	Asian	15	15
	Black	< 5	< 5
	Mixed	0	0
	Other	< 5	< 5
	Unknown	75	65
	White	420	400
	Not disclosed	35	30
Other Employees (A-F)	Asian	325	320
	Black	90	90
	Mixed	110	110
	Other	35	35
	Unknown	1650	1490
	White	4890	4660
	Not disclosed	605	560
Grand Total		8370	7890

- 2) *I would like to have the 'award value' and 'award rate by value' for the past 3 years disaggregated ethnicity*

Please see "FOI2021_00462 Annex 1" for this information.

Diversity data for applicants is collected from returns by individuals to their Joint electronic Submissions (Je-S) account, which the research community use to apply for UKRI funding.

Tabs 1 (PI Award Amounts) and 2 (Fellow Award Amounts) contain the mean and median application and award amounts for successful Principal Investigator and Fellowship applicants for UKRI for years 2017/18 to 2019/20. Mean and median amounts are broken down by ethnic group.

Tabs 3 (PI Award Rate by Value) and 4 (Fellow Award Rate by Value) contain the total application amount for all applications, the total award amount and the award rate by value for years 2017/18 to 2019/20 for UKRI. Award rate by value is total amount awarded as a proportion of total application amount for the selected group. Results are broken down by ethnic group. Number of application and number of awards are also shown.

² <https://www.ukri.org/wp-content/uploads/2021/07/UKRI-200721-AnnualReport2020-2021.pdf#page=128>

Please note that due to limitations of the data collected through the Je-S system, an 'Other' category is not included in this data set. A detailed breakdown of the categories used is included in Tab 5 (Ethnicity categories).

If you have any queries regarding our response or you are unhappy with the outcome of your request and wish to seek an internal review of the decision, please contact:

Head of Information Governance

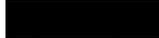
Email: foi@ukri.org or infogovernance@ukri.org

Please quote the reference number above in any future communications.

If you are still not content with the outcome of the internal review, you may apply to refer the matter to the Information Commissioner for a decision. Generally, the ICO cannot make a decision unless you have exhausted the review procedure provided by UKRI. The Information Commissioner can be contacted at: <http://www.ico.gov.uk/>

If you wish to raise a complaint regarding the service you have received or the conduct of any UKRI staff in relation to your request, please see UKRI's complaints policy: <https://www.ukri.org/about-us/policies-and-standards/complaints-policy/>

Yours sincerely,


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