July 2011 Research Excellence Framework

Analysis of panel membership



Higher Education Funding Council for England Scottish Funding Council Higher Education Funding Council for Wales Department for Employment and Learning, Northern Ireland

Analysis of panel membership

Introduction

1. The 2014 Research Excellence Framework (REF) is a process of expert review; submissions to the REF will be assessed by an expert sub-panel for each unit of assessment (UOA), working under the leadership and guidance of four main panels.

2. Members have been appointed to REF panels through a nominations process. Panel chairs were appointed through an open application process. Further details of the roles and responsibilities of the REF panels and the criteria and process for their appointment, are set out in 'Units of assessment and recruit of expert panels' (REF 01.2010) available at <u>www.ref.ac.uk</u>.

3. The REF Equalities and Diversity Advisory Group (EDAG) advised the REF team on the process and criteria for recruiting panels, and advised the funding bodies on the implications of the analysis of panel membership set out in this report.

4. In appointing the panels, the funding bodies had due regard to the desirability of ensuring that the overall body of members reflects the diversity of the research community, including in terms of age, gender, ethnicity, scope and focus of their home institution, and geographical location. To this end:

a. Any organisation or association with an interest in research could nominate candidates to be panel members. The instructions to nominating bodies encouraged them to nominate a wide range of individuals reflecting the diversity of their communities.

b. The criteria for appointing panel chairs included 'a commitment to supporting equalities and diversity in research careers and an understanding of the implications of this area for the REF'. In recommending panel membership, panel chairs were instructed to have due regard to the known characteristics of nominees and of our aim for a diverse panel membership that broadly reflects the research community; and not to treat any individual nominee less favourably than they would another because of a protected characteristic.

c. All REF panel members were asked to complete an equality monitoring form.

5. This report presents our analysis of panel members' responses to the monitoring form, and the funding bodies' conclusions in response to the analysis.

Methodology

6. The equality monitoring form is at Annex A. It was developed with advice from Equality Challenge Unit to cover the following protected characteristics in the Equality Act 2010:

- age
- disability
- gender reassignment
- sex
- race (includes ethnicity)

- religion and belief
- sexual orientation
- pregnancy and maternity.

(The form did not collect information on marriage and civil partnership.)

7. Upon being offered membership, panel members were asked to complete the form, and non-respondents were sent a reminder (see Table 1 for the response rate split by main panel group).

8. Responses from panel members were summarised and compared, where possible, to four other academic populations:

- RAE 2008 panel members¹
- UK permanent academic staff²
- UK permanent academic staff who hold a contract for a professorial role
- UK permanent academic staff who hold a contract for a senior management position³.

However, not all of the protected characteristics had data available for the comparator populations, so for these characteristics we present the analysis of the REF panel members as a baseline for future work.

9. In addition to these academic populations we provide wider contextual information in the form of Labour Force Survey⁴ and Census 2001⁵ statistics, where available.

10. Analysis is conducted at both total panel membership level and main panel group level. There are four main panel groups⁶:

Main Panel A – covering medical and life sciences

Main Panel B - covering physical and mathematical sciences and engineering

Main Panel C - covering social sciences, geography and built environment

¹ Source: 'RAE 2008: analysis of panel membership' (<u>www.rae.ac.uk/panels/members/</u>).

² Defined as staff actively employed at a UK higher education institution, on the census date of 1 December, with one active permanent academic contract at lecturer level or above of at least 25 per cent on the census date and a total full-time equivalence of 40 per cent or more. This population includes medicine and dentistry staff and excludes staff on solely atypical contracts.

³ See HESA web-site and staff contract table variables for further information (<u>www.hesa.ac.uk/index.php?option=com_collns&task=show_manuals&Itemid=233&r=09026&f=012</u>).

⁴ Analysis conducted using the ESDS Nesstar Data Catalogue (<u>http://nesstar.esds.ac.uk/webview/</u>) with data set Quarterly Labour Force Survey October-December 2010. Weighted population restricted to 16-64 year-olds and those with mode of employment full-time, part-time or new deal (part-time).

⁵ Statistics found in Census 2001, Key Statistics for urban areas tables, on Office for National Statistics web-site (<u>www.statistics.gov.uk/census2001/ks_table_outlines.asp</u>).

⁶ A full list of the UOAs covered within each main panel is available at <u>www.ref.ac.uk</u>.

Main Panel D – covering arts and humanities.

11. Responses are rounded to the nearest five, and percentages to the nearest 1 per cent, except where groups of fewer than 20 are presented, in which case percentages are calculated from the rounded numbers to ensure anonymity.

Analysis

Response rates

12. Table 1 shows the response rates to the monitoring form as at 1 June 2011, the cut-off date for this analysis.

Main Panel	No of returned forms	Total panel membership	Response rate
A	155	180	87%
В	150	180	83%
С	205	240	86%
D	190	215	89%
Total	700	810	86%

Table 1 Response rates for REF 2014 main panel membership

13. The response rate varies by main panel group with a difference of 6 per cent between the maximum and minimum values.

Ethnicity

14. Table 2 compares the ethnicity profile of the REF main panel membership to other academic populations. Over 90 per cent of every population is in the White ethnic group and the ethnicity profiles look similar for all populations.

	REF 2014 member	-	RAE 2008 members	-	Permanent academics		Profess	ors	Senior management position holders	
Ethnicity	No.	%	No.	%	No.	%	No.	%	No.	%
Asian	15	2%	20	2%	4,830	6%	710	5%	60	2%
Black	5	1%	0	0%	1,200	1%	70	0%	20	1%
Mixed	5	1%	10	1%	930	1%	105	1%	20	1%
Other	5	1%	0	0%	1,165	1%	175	1%	25	1%
White British	535	79%	695	82%	62,005	71%	10,700	73%	2,435	82%
White Irish	35	5%	35	4%	2,315	3%	375	3%	70	2%
White Other	85	13%	85	10%	14,910	17%	2,620	18%	335	11%
Known total	680	100%	840	100%	87,355	100%	14,755	100%	2,960	100%
Prefer not to say	20		0		4,975		925		80	
TOTAL	700		840		92,330		15,680		3,040	

Table 2 Ethnicity of REF 2014 main panel membership and comparator populations

15. Further, analysis of the Labour Force Survey and Census 2001 showed that approximately 90 per cent of both the UK workforce and the population of England and Wales were in the White ethnic group.

16. Table 3 compares the ethnicity profile of the overall REF main panel membership with the four main panel groups. It shows that for all main panel groups the majority of the panel members are White British.

		REF 2014 panel				Main I	Panel*			
	-	ership*		Α	В		С			D
Ethnicity	No.	%	No.	%	No.	%	No.	%	No.	%
Asian	15	2%	5	3%	5	3%	5	3%	0	0%
Black	5	1%	0	0%	0	0%	0	0%	0	0%
Mixed	5	1%	0	0%	0	0%	0	0%	5	3%
Other	5	1%	0	0%	0	0%	0	0%	0	0%
White British	535	79%	130	87%	110	76%	155	78%	140	76%
White Irish	35	5%	5	3%	5	3%	10	5%	10	5%
White Other	85	13%	10	7%	20	14%	25	13%	25	14%
Known total	680	100%	150	100%	145	100%	200	100%	185	100%
Prefer not to say	20		5		5		5		5	
TOTAL	700		155		150		205		190	

Table 3 Ethnicity of RE	F 2014 panel membershi	o by main panel group
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Disability

17. Table 4 compares the disability profile of the REF main panel membership to other academic populations. It shows that the proportion of disabled panel members in the REF2014 membership is comparable to that seen for the RAE 2008 panel given the small numbers of staff considered, however this is lower than that seen for permanent academics, professors and senior management position holders.

18. Analysis of the Labour Force Survey and Census 2001 showed that the proportion of disabled panel members is lower than that observed for the UK workforce and the population of England and Wales, reported at around 10 to 20 per cent.

	REF 2014 p members		RAE 2008 member		Perman academ		Professors		Senior mana position he	-
Disability	No.	%	No.	%	No.	%	No.	%	No.	%
Yes	10	1%	10	1%	2,655	3%	325	2%	80	3%
No	675	98%	835	99%	83,135	97%	13,960	98%	2,810	97%
Unsure	5	1%								
Known total	690	100%	840	100%	85,790	100%	14,285	100%	2,890	100%
Prefer not to say	10		0		6,545		1,395		150	
TOTAL	700		840		92,330		15,680		3,040	

Table 4 Disability status of REF 2014 main panel membership and comparator populations

19. Table 5 compares the disability profile of the overall REF main panel membership with the four main panel groups. There were small numbers of panel members with a declared disability for all panel groups, and so the affects of rounding are noticeable.

		2014 nel			Main Panel*							
	-	ership*		Α		В	с			D		
Disability	No.	%	No.	%	No.	%	No.	%	No.	%		
Yes	10	1%	0	0%	0	0%	5	3%	5	3%		
No	675	98%	150	100%	145	97%	195	98%	185	97%		
Unsure	5	1%	0	0%	0	0%	0	0%	0	0%		
Known total	690	100%	150	100%	150	100%	200	100%	190	100%		
Prefer not to say	10		5		0		5		0			
TOTAL	700		155		150		205		190			

Table 5 Disability of REF 2014 panel membership by main panel group

Note: * percentages for these populations have been calculated from rounded numbers, hence the total proportion may not be equal to the sum of its parts.

Sex

20. Figure 1 and Table 6 compare the REF main panel membership to the other academic populations by composition of females and males. The figure shows that the proportion of females ranged from 19 per cent, in the professors population, to 40 per cent, in the permanent academics population.

21. However, analysis of the Labour Force Survey and Census 2001 showed that the proportion of females in the UK workforce and in the population of England and Wales is generally higher, reported at around 50 per cent.



Figure 1 Sex of REF 2014 main panel membership and comparator populations

	REF 2014 panel membership		RAE 2008 panel membership		-		Professors		man po		Seni manage posit holde	ement ion
Sex	No.	%	No.	%	No.	%	No.	%	No.	%		
Female	230	33%	225	27%	36,585	40%	3,040	19%	855	28%		
Male	460	67%	615	73%	55,745	60%	12,640	81%	2,180	72%		
Known total	690	100%	840	100%	92,330	100%	15,680	100%	3,040	100%		
Prefer not to say	10		0		0		0		0			
TOTAL	700		840		92,330		15,680		3,040			

 Table 6 Sex of REF 2014 main panel membership and comparator populations

22. Figure 2 and Table 7 compare the composition of females and males in the overall REF main panel membership with the four main panel groups. It shows that Main Panels A and C have proportions comparable to the overall proportion, at around 33 per cent. Main Panel B has the lowest proportion of females, at 23 per cent, and Main Panel D has the highest proportion of females, at 42 per cent.





	REF 201	-	Main Panel									
	membe	ership	Α		В		с		D			
Sex	No.	%	No.	%	No.	%	No.	%	No.	%		
Female	230	33%	50	32%	35	23%	65	33%	80	42%		
Male	460	67%	105	68%	115	77%	135	67%	110	58%		
Known total	690	100%	150	100%	150	100%	200	100%	185	100%		
Prefer not to say	10		5		5		5		5			
TOTAL	700		155		150		205		190			

Age group

23. Figure 3 and Table 8 compare the age profile of the REF main panel membership to the other academic populations. The figure shows that the permanent academics population includes a wider range of age groups, with a higher proportion of staff in the age groups 25-34 and 35-44, than the other populations. The REF panel age profile is

similar to that seen in the professor and senior management populations, with almost half the membership in the age group 45-54.

24. Analysis of the Labour Force Survey and Census 2001 showed that the REF panel is skewed towards older panel members, but this is to be expected since members are selected as experts in their field and it may take many years of study and experience to reach this position.





Note: Age group information was not collected from the RAE 2008 panel members

Table 8 Age group of REF 2014 main panel membership and comparatorpopulations

		l4 panel ership*	Permanent academics		Professors*			anagement holders*
Age group	No.	%	No.	%	No.	%	No.	%
18-24	0	0%	85	0%	0	0%	0	0%
25-34	0	0%	8,570	9%	25	0%	5	0%
35-44	85	12%	27,925	30%	2,120	14%	335	11%
45-54	315	46%	32,570	35%	6,525	42%	1,310	43%
55+	290	42%	23,180	25%	7,010	45%	1,390	46%
Known total	690	100%	92,330	100%	15,680	100%	3,040	100%
Prefer not to say	10		0		0		0	
TOTAL	700		92,330		15,680		3,040	

Note: * percentages for these populations have been calculated from rounded numbers, hence the total proportion may not be equal to the sum of its parts.

25. Figure 4 and Table 9 compare the age group profile of the overall REF main panel membership with the four main panel groups. It shows that the proportion of members aged 35-44 remained fairly constant across all the main panel groups. Panels A and B had a higher proportion of 45-54 year old members than the overall profile and Panel C had a higher proportion of 55+ members than that observed overall.



Figure 4 Age groups of REF 2014 main panel membership by main panel group

Note: * percentages for these populations have been calculated from rounded numbers, hence the total proportion may not be equal to the sum of its parts.

Table 9 Age group of REF 2014 main panel membership and comparatorpopulations

		4 panel				Main F	Panel*			
	membe	ersnip		Α	В		С			D
Age group	No.	%	No.	%	No.	%	No.	%	No.	%
18-24	0	0%	0	0%	0	0%	0	0%	0	0%
25-34	0	0%	0	0%	0	0%	0	0%	0	0%
35-44	85	12%	15	10%	15	10%	20	10%	30	16%
45-54	315	46%	75	50%	75	50%	90	45%	80	42%
55+	290	42%	60	40%	60	40%	90	45%	80	42%
Known total	690	100%	150	100%	150	100%	200	100%	190	100%
Not known	10		5		5		5		0	
TOTAL	700		155		150		205		190	

26. The following have become protected characteristics through the 2010 Equality Act: gender reassignment; religion and belief; sexual orientation; pregnancy and maternity. Data are yet to be collected and processed for some of these areas and so there are limited data available for comparison. All characteristics present the panel group comparisons in the first instance.

Gender reassignment

27. Table 10 shows the gender identity profile for the REF main panel membership split by main panel group. The table shows that disclosure rates are similar across all panel groups with at least 95 per cent of respondents answering the question.

э р											
		2014	Main Panel*								
	•	panel membership*		Α		В		С		D	
Gender identity	No.	%	No.	%	No.	%	No.	%	No.	%	
Different from that assigned at birth	0	0%	0	0%	0	0%	0	0%	0	0%	
As assigned at birth	675	100%	145	100%	145	100%	200	100%	185	100%	
Known total	675	100%	145	100%	145	100%	200	100%	185	100%	
Prefer not to say	25		10		5		5		5		
TOTAL	700		155		150		205		190		

Table 10 Gender identity of REF 2014 main panel membership split by main panelgroup

Note: * percentages for these populations have been calculated from rounded numbers, hence the total proportion may not be equal to the sum of its parts.

Religion and belief

28. Table 11 shows the religion and belief profile of the REF main panel membership split by main panel group. Most staff who responded to this question either had no religion or belief or were Christian. Main Panels A and B had roughly equal numbers of members in each of these groups whereas Main Panels C and D had more members with no religion or belief than Christian members.

	REF 2014			Main Panel*							
	-	panel membership*		А		В		с		D	
Religion or belief	No.	%	No.	%	No.	%	No.	%	No.	%	
No religion	355	55%	75	52%	65	46%	115	61%	105	60%	
Bahai	0	0%	0	0%	0	0%	0	0%	0	0%	
Buddhist	5	1%	0	0%	0	0%	5	3%	0	0%	
Christian	260	40%	65	45%	65	46%	70	37%	65	37%	
Jain	0	0%	0	0%	0	0%	0	0%	0	0%	
Jewish	15	2%	5	3%	5	4%	5	3%	5	3%	
Hindu	0	0%	0	0%	0	0%	0	0%	0	0%	
Muslim	5	1%	0	0%	0	0%	0	0%	0	0%	
Sikh	0	0%	0	0%	0	0%	0	0%	0	0%	
Other	10	2%	0	0%	5	4%	0	0%	0	0%	
Known total	650	100%	145	100%	140	100%	190	100%	175	100%	
Prefer not to say	55		10		10		15		15		
TOTAL	700		155		150		205		190		

Table 11 Religion and belief of REF 2014 main panel membership split by mainpanel group

Note: * percentages for these populations have been calculated from rounded numbers, hence the total proportion may not be equal to the sum of its parts.

29. Analysis of the Labour Force Survey and Census 2001 showed that the proportion of those with no religion in the UK workforce and the population of England and Wales was generally lower than that seen in the REF panel, reported to be around 20 per cent, and the proportion of Christians was generally higher at around 70 or 80 per cent. However, these surveys are worded differently to the REF monitoring form⁷ and they ask respondents for their religion, not their 'religion or belief'.

Sexual orientation

30. Table 12 shows the sexual orientation profile of the REF main panel membership split by main panel group. The table shows that disclosure rates vary across panel groups with the highest disclosure in Main Panel A; however, in all groups at least 85 per cent answered the question. The table also shows that, of those members who responded to this question, Main Panel D has the highest reported proportion of lesbian, gay and bisexual members at around 9 per cent.

⁷ Responses available for these surveys were: Christian; Buddhist; Hindu; Jewish; Muslim; Sikh; Any other religion; No religion at all; No answer/does not apply.

Table 12 Sexual orientation of REF 2014 main panel membership split by mainpanel group

	REF		Main Panel*								
	panel membership		А		В		с			D	
Sexual orientation	No.	%	No.	%	No.	%	No.	%	No.	%	
Heterosexual	600	95%	135	96%	135	100%	175	95%	155	91%	
LGB	30	5%	10	7%	0	0%	10	5%	15	9%	
Known total	630	100%	140	100%	135	100%	185	100%	170	100%	
Prefer not to say	70		15		15		20		20		
TOTAL	700		155		150		205		190		

Note: * percentages for these populations have been calculated from rounded numbers, hence the total proportion may not be equal to the sum of its parts.

Pregnancy

31. Table 13 shows the pregnancy profile of the REF main panel membership split by main panel group. The table shows that disclosure rates range from around 88 to 94 per cent across panel groups and that the overall disclosure was about 92 per cent.

Table 13 Pregnancy status of REF 2014 main panel membership split by mainpanel group

	REF pa		Main Panel*								
	membership*		Α		В		С			D	
Currently pregnant	No.	%	No.	%	No.	%	No.	%	No.	%	
Yes	0	0%	0	0%	0	0%	0	0%	0	0%	
No	640	99%	140	100%	135	100%	190	100%	175	100%	
Known total	645	100%	140	100%	135	100%	190	100%	175	100%	
Prefer not to say	55		15		15		15		15		
TOTAL	700		155		150		205		190		

Note: * percentages for these populations have been calculated from rounded numbers, hence the total proportion may not be equal to the sum of its parts.

Maternity

32. Table 14 shows the maternity profile of the REF main panel membership split by main panel group. This question had the lowest disclosure rate of the questionnaire, at

around 87 per cent, and rates for the REF panel groups varied between 80 and 90 per cent. This may reflect the make up of the panels in terms of age and sex.

Table 14 Maternity status of REF 2014 main panel membership split by main panelgroup

		2014	Main Panel*								
	panel membership*		А		В		с			D	
Returned from maternity in last year	No.	%	No.	%	No.	%	No.	%	No.	%	
Yes	0	0%	0	0%	0	0%	0	0%	0	0%	
No	610	100%	135	100%	125	100%	180	100%	165	97%	
Known total	610	100%	135	100%	125	100%	180	100%	170	100%	
Prefer not to say	90		20		25		25		20		
TOTAL	700		155		150		205		190		

Note: * percentages for these populations have been calculated from rounded numbers, hence the total proportion may not be equal to the sum of its parts.

Conclusions

33. The funding bodies have considered the implications of this analysis, in relation to the desirability of an overall body of panel members that reflects the diversity of the research community. They have considered any actions that should be taken in the light of this analysis. In doing so, advice was taken from the Equalities and Diversity Advisory Group.

34. For several of the characteristics analysed, the numbers of panel members declaring that characteristic are small and this limits the extent to which robust conclusions can be drawn. Also, it was not possible to compare the REF panel membership with the pool of nominated candidates, so it is not known how far any imbalances in the panel membership reflect the characteristics of those nominated.

35. Nevertheless, the funding bodies consider that the analysis indicates the following key points:

a. The proportion of female panel members in the REF has improved compared to the RAE panel membership, but is lower than the proportion of females in the permanent academic population.

b. The proportions of some minority ethnic groups and of disabled people in the REF panel membership are generally lower than in the comparator academic staff populations. This suggests that more needs to be done in future for REF panels to reflect the diversity of the community.

c. The distribution of REF panel members over different age groups is similar to that of professors and of senior management position holders, but differs from that of the population of all permanent academics. This may be justified by the general level of experience expected of REF panel members.

36. The analysis also highlights the need for more summary statistics of all the protected characteristics introduced in the Equality Act 2010. We collected data from panel members in terms of gender reassignment, religion and belief, sexual orientation, pregnancy and maternity, with a relatively high rate of disclosure in the responses compared to other surveys. However, there were no readily available data to compare with and in large-scale collections the rates of disclosure may not be as high. This is an area that the Equality Challenge Unit is already promoting and providing guidance on⁸.

37. In response to the analysis, the funding bodies will take the following actions:

a. During 2013, to encourage the nomination and appointment of individuals from under-represented groups as additional assessors, for the assessment phase of the REF.

b. For future REF exercises, to consider:

- i. Asking all nominees to return an equality monitoring form, so that the characteristics of nominees could be analysed prior to the appointment of members, and the characteristics of appointed members compared to the pool of nominated candidates.
- ii. Providing both nominating bodies and panel chairs (who are involved in advising the funding bodies on panel membership) with data about the characteristics of members from previous exercises, to highlight and raise awareness of equality and diversity issues.
- iii. Providing further guidance to nominating bodies about their internal processes for making nominations, incorporating the principles of transparency and inclusiveness.

⁸ See Equality Challenge Unit publications 'Staff disclosure of equality data' (<u>www.ecu.ac.uk/inclusive-practice/staff-disclosure-of-equality-data</u>) and 'Developing staff disclosure' (<u>www.ecu.ac.uk/publications/developing-staff-disclosure</u>).

Annex A Equal opportunities monitoring form

In this annex we reproduce the questionnaire that main panel members responded to and on which the analysis in this report is based.

Equal opportunities questionnaire

HEFCE is committed to promoting equality and diversity within the staff and student bodies in higher education and within our own organisation. We are therefore monitor all appointments in terms of the protected characteristics of the Equality Act 2010 both to ensure that our processes are fair and to provide data to further inform process and policy development.

This form is divided into eight parts and you are asked to complete all sections

1. Personal information

I would describe my ethnic origin as:

a.	White
	British
	Irish
	Any other White background (please specify)
b.	Mixed
	White and Black Caribbean
	White and Black African
	White and Asian
	Any other Mixed background (please specify)
c.	Asian or Asian British
	Indian
	Pakistani
	Bangladeshi
	Any other Asian background (please specify)
d.	Black or Black British
	Caribbean
	African
	Any other Black background (please specify)
e.	Chinese or other Ethnic Group
	Chinese
	Any other (please specify)



The Equality Act 2010 considers a person disabled if:

- You have a physical or mental impairment or disability that has lasted or is likely to last at least 12 months, and
- This condition or disability has a substantial and long-term adverse effect on your ability to carry out normal day-to-day activities.

2. Do you consider yourself disabled?



Please state the type of impairment which applies to you. People may experience more than one type of impairment, in which case you may indicate more than one. If none of the categories apply, please mark 'Other' and specify the type of impairment:

Physical impairment, such as difficulty using your arms or mobility issues which means using a wheelchair or crutches
Sensory impairment, such as being blind/having a serious visual impairment or being deaf/having a serious hearing impairment
Mental health condition, such as depression or schizophrenia
Learning disability/difficulty, (such as Down's syndrome or dyslexia) or cognitive impairment (such as autistic spectrum disorder)
Long-standing illness or health condition such as cancer, HIV, diabetes, chronic heart disease, or epilepsy
Other (please specify)
Prefer not to say

3. I am



4. Is your gender identity the same as the gender you were assigned at birth?

Yes
No
Prefer not to say

5. I am

18-24
25-34
35-44
45-54
55+
Prefer not to say

6. Religion or belief

Which group below do you most identify with?

	No religion
	Bahai
	Buddhist
	Christian
	Jain
	Jewish
	Hindu
	Muslim
	Sikh
	Other, please state
	Prefer not to say
·	

7. Sexual Orientation

Please indicate whether any of the following apply to you.



8. Pregnancy and maternity

Are you currently pregnant?



Have you returned from maternity leave in the past year?



Thank you for helping us to ensure the effectiveness of our Equal Opportunities and Diversity Policy by completing this form. Please be assured that all information collected from this questionnaire will be held separately and anonymously in accordance with the Data Protection Act 1998.