



Equality Impact Assessment for quality-related research (QR) funding and formula research capital funding

Engagement survey

This document sets out a call for evidence intended to gather further information on the potential impacts of our funding policy on protected groups.

We invite responses from higher education institutions and other groups and organisations with an interest in research, funding and equality and diversity and inclusion issues.

Please respond by **noon on Wednesday 11 September** using the online form.

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Equality Impact Assessment for quality-related research (QR) funding and formula research capital funding

To	Heads of Research England-funded higher education institutions. Individuals and organisations with an interest in research, funding, and equality, diversity and inclusion in higher education.
Of interest to those responsible for	Research, funding, and equality, diversity and inclusion.
Reference	RE-P-2019-04
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Executive summary

Purpose

1. As part of its approach to equality, diversity and inclusion, Research England is committed to undertaking Equality Impact Assessments (EIAs) of our functions and policy. We are currently undertaking an EIA of our Quality-related Research (QR) and formula-based research capital funding.
2. This document sets out a call for evidence intended to gather further information on the potential impacts of our formula-based research funding policy on protected groups.

Key points

3. The EIA will support Research England to meet the statutory duties stipulated under the Equality Act 2010. The EIA will consider all elements of QR funding and formula-based research capital funding. It will also consider:
 - a. All protected characteristics as set out in the Equality Act 2010: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation;
 - b. University staff (i.e. those who support or conduct research funded by the funding streams), subjects and participants of research (i.e. individuals on whom funded research is conducted), and beneficiaries of research (i.e. individuals who benefit or may benefit from the research funded).
4. Please read the [EIA background document](#) for further information about QR and formula-based research capital funding. This document should be used to support your response to the survey.
5. The requirements of current equalities legislation are summarised in Annex A, below. We recommend that this information is also considered as part of your response.
6. We invite responses from higher education institutions and other groups and organisations with an interest in research, research funding and equality, inclusion and diversity issues. This may include businesses, government and public sector bodies, charities and other third sector organisations.

Action required

7. Responses to the survey should be made using the online form provided alongside this document at <https://www.smartsurvey.co.uk/s/ResearchEnglandEIA/> by **noon Wednesday 11 September**. We have included an offline version of the online form at Annex A to help respondents prepare their responses before they submit them. **Please do not submit responses using the offline document. We will only consider responses submitted via the online form provided.**
8. The EIA produced as a result of the information provided in this survey will be published in late 2019.

EIA Survey

Survey guidance

9. Respondents will have the opportunity to submit supporting evidence within their survey response. Respondents should ensure that:
 - a. That supporting evidence is relevant to QR and formula research capital funding policy and the Equality Impact Assessment.
 - b. Attached documents are clearly labelled using the format '**Name of organisation – EIA – Document title – year of publication**'.
 - c. If there is a particular section within a document that we should pay attention to, that this is clearly signposted in the survey response.
 - d. That the total size of each individual file does not exceed 5mb.

Survey analysis

10. Where possible, respondents should provide evidence (for example, data and internal or external documents) to support their response. The EIA will be informed by evidence to support any statements made in the survey response.
11. If you would like to save a copy of your response, please choose 'print response' on the last page of the survey. We regret that we won't be able to accommodate requests to download and send individual responses after they have been submitted.
12. We will commit to read, record and analyse responses to this consultation in a consistent manner. For reasons of practicality, usually a fair and balanced summary of responses rather than the individual responses themselves will inform any decision made. The merit of the arguments made, and supporting evidence available, is likely to be given more weight than the number of times the same point is made. Responses from organisations or representative bodies with high interest in this area, particularly those in receipt of Research England funding or likelihood of being affected most, are likely to carry more weight than those with little or none.
13. All responses may be disclosed on request, under the terms of the relevant Freedom of Information Acts across the UK. The Acts give a public right of access to any information held by a public authority, in this case UK Research &

Innovation. This includes information provided in response to sector engagement. We have a responsibility to decide whether any responses, including information about your identity, should be made public or treated as confidential. We can refuse to disclose information only in exceptional circumstances. This means that responses are unlikely to be treated as confidential except in very particular circumstances.

14. All personal data provided to UK Research and Innovation via this form will be processed in accordance with current UK data protection legislation and the [UK Research and Innovation Privacy Notice](#).

For further information about the Freedom of Information Acts see the Information Commissioner's Office website, www.ico.gov.uk.

Annex A: Survey questions

Section 1 - Respondent details

This survey should be considered alongside Research England's EIA resources available on the EIA tab on the [Research pages](#) of our website. In particular, please see the [EIA background document](#) for further information about the assessment process and about QR and formula research capital funding. Before completing the survey please read the short guidance.

1. Please indicate who you are responding on behalf of:

- As an individual
- Business
- Charity
- Department or research group
- Higher Education Institution
- Public sector organisation
- Representative body
- Subject association or learned society
- Other (please specify):

2. Please provide the name of your organisation.

3. If you would be happy to be contacted in the event of any follow-up questions, please provide a contact email address.

Section 2 - Approach to funding allocation

4a. Does your organisation receive formula-based research funding from Research England?

Yes

No

4b. If yes, what are your institution's key equality, diversity and inclusion considerations when allocating or distributing QR or formula research capital funding? Do you take the different elements of the Research England allocation into account when you distribute the funding? (max 300 words)

Section 3 - University staff (those who support or conduct research funded by the funding streams) and postgraduate students

5a. QR and formula research capital funding can be used to support university staff (researchers and Professional Services staff) and postgraduate students. Please consider how different groups of people with protected characteristics* might be affected differently by the way each funding element is calculated or allocated. Do you consider that staff in these groups may be affected positively or negatively by the funding streams? **Protected characteristics as set out in the Equality Act 2010 are: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation.*

	Strong negative effect	Slight negative effect	No effect	Slight positive effect	Strong positive effect
Mainstream QR	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Strong negative effect	Slight negative effect	No effect	Slight positive effect	Strong positive effect
Research Degree Programme (RDP) Supervision Fund	<input type="checkbox"/>				
Charity support fund	<input type="checkbox"/>				
Business research element	<input type="checkbox"/>				
National Research Libraries	<input type="checkbox"/>				
Global Challenge Research Fund (GCRF)	<input type="checkbox"/>				
HEI research capital	<input type="checkbox"/>				
Higher Education Research Capital	<input type="checkbox"/>				

5b. If you consider that staff and/or postgraduate students with protected characteristics may be affected in a positive or a negative way by Research England's QR and formula research capital funding policy, please explain how you think they may be affected. Please reference specific protected characteristics in your response. (max 300 words)

5c. If you have any supporting evidence that demonstrates these effects, please describe it below. (max 300 words)

Please upload the supporting evidence described in question 5c.

5d. If you have suggested there may be negative impact what action might Research England take to avoid or mitigate this? Alternatively, how might we promote positive impact? (max 300 words)

Section 4 - Subjects and participants of research (individuals upon and with whom funded research is conducted) and beneficiaries of research

6a. Please think about the research supported by the QR and formula research capital funding elements (you may like to think about your own institution as an example). Please consider subjects and participants of research, as well as beneficiaries of research in your response. Do you believe, and do you have evidence to show, that different groups of people with protected characteristics* may benefit from the research, or might they be affected in a negative way? *Protected characteristics as set out in the Equality Act 2010 are: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation.

	Strong negative effect	Slight negative effect	No effect	Slight positive effect	Strong positive effect
Mainstream QR	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Research Degree Programme (RDP) Supervision Fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Charity support fund	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Business research element	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
National Research Libraries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Strong negative effect	Slight negative effect	No effect	Slight positive effect	Strong positive effect
Global Challenges Research Fund (GCRF)	<input type="checkbox"/>				
HEI Research Capital	<input type="checkbox"/>				
Higher Education Research Capital	<input type="checkbox"/>				

6b. If you consider that subjects and participants of research and/or beneficiaries of research with protected characteristics may be affected in a positive or a negative way by Research England's QR and formula research capital funding policy, please explain how you think they may be affected. Please reference specific protected characteristics in your response. (max 300 words)

6c. If you have any supporting evidence that demonstrates these effects, please describe it below. (max 300 words)

Please upload the supporting evidence described in question 6c.

6d. If you have suggested there may be a negative impact what action might Research England take to avoid or mitigate this? Alternatively, how might we promote positive impact? (max 300 words)

Section 5 - Additional information

7. If you have any other comments on equality issues pertaining to the Research England QR and formula research capital funding policy, please share them here. (max 300 words)

8. Research England welcomes additional evidence to inform the EIA. Any documents and/or data submitted as part of the survey response should be relevant to Research England's formula-based research funding policy. Respondents may:

- Provide documents, or links to documents that may inform the evidence review
- Provide data, or links to data that may inform the evidence review
- Provide evidence that demonstrates the potential for positive and/or negative impacts through quality-related research funding
- Provide evidence that addresses how positive impacts may be further explored
- Provide evidence that addresses how potential negative impacts may be removed or mitigated.

Annex B: summary of equalities legislation

<p>Age</p>	<p>All employees within the HE sector are protected from unlawful age discrimination, harassment and victimisation in employment under the Equality Act 2010 and the Employment Equality (Age) Regulations (Northern Ireland) 2006. Individuals are also protected if they are perceived to be or if they are associated with a person of a particular age group.</p> <p>Age discrimination can occur when people of a particular age group are treated less favourably than people in other age groups. An age group could be, for example, people of the same age, the under 30s, or people aged 45 to 50. A person can belong to a number of different age groups. Discrimination can also occur if a person is treated less favourably because of their perceived age or if they are treated less favourably because they are associated with a person of a particular age group.</p> <p>Age discrimination can be justified as long as it can be shown that it is a proportionate means of achieving a legitimate aim.</p> <p>It is important to note that early career researchers are likely to come from a range of age groups. The definition of an early career researcher (ECR) is not limited to young people.</p> <p>Given developments in equalities law in the UK and Europe, the default retirement age has been abolished from 1 October 2011 in England, Scotland, Wales and Northern Ireland.</p>
<p>Disability</p>	<p>The Equality Act 2010 prevents discrimination, harassment and victimisation because of disability. Staff in HE are also protected if they are perceived to have a disability or if they are associated with a person who is disabled (for example, if they are responsible for caring for a disabled family member).</p> <p>A person is considered to be disabled if they have or have had a physical and/or mental impairment which has ‘a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities’. Long-term is defined as meaning an impairment that lasts or is likely to last for at least 12 months.</p> <p>Cancer, HIV, multiple sclerosis and progressive / degenerative conditions are disabilities too, even if they do not currently have an adverse effect on the carrying out of day-to-day activities. An</p>

	<p>impairment which is managed by medication or medical treatment, but which would have had a substantial and long term adverse effect if not so managed, is also a disability. There is no list of day-to-day activities for England but day-to-day activities are taken to mean activities that people, not individuals, carry out on a daily or frequent basis.</p> <p>While there is no definitive list of what is considered a disability, it covers a wide range of impairments including:</p> <ul style="list-style-type: none"> • sensory impairments • impairments with fluctuating or recurring effects such as rheumatoid arthritis, depression and epilepsy • progressive impairments, such as motor neurone disease, muscular dystrophy, HIV and cancer • organ-specific impairments, including respiratory conditions and cardiovascular diseases • developmental impairments, such as autistic spectrum disorders and dyslexia • mental health conditions such as depression and eating disorders • impairments caused by injury to the body or brain. <p>Equality law requires HEIs to make reasonable adjustments for disabled people and failure to make a reasonable adjustment constitutes discrimination. Where a disabled researcher's impairment has affected the quantity of their research outputs, this should be taken into account by HEIs in considering how many outputs they are expected to contribute to the submission.</p> <p>People who have had a past disability are also protected from discrimination, victimisation and harassment because of disability.</p>
<p>Gender reassignment</p>	<p>The Equality Act 2010 protects from discrimination, victimisation and harassment trans people who have proposed, started or completed a process to change their sex. Staff in HE do not have to be under medical supervision to be afforded protection because they are trans and staff are protected if they are perceived to be undergoing or have undergone related procedures. They are also protected if they are associated with someone who has proposed, is undergoing or has undergone related procedures.</p>

	<p>Trans people who undergo gender reassignment will need to take time off for appointments and in some cases, for medical assistance. The transition process is lengthy, often taking several years and it is likely to be a very difficult period for the trans person as they seek recognition of their new gender from their family, friends, employer and society as a whole.</p> <p>The Gender Recognition Act 2004 gave privacy rights to trans people who undergo gender reassignment. A person acting in an official capacity who acquires information about a person's status as a transsexual is liable to criminal proceedings if they pass the information to a third party without consent. Consequently, panel members must ensure that any information they receive about gender reassignment is kept confidential.</p>
Marriage and civil partnership	<p>Under the Equality Act 2010, HEIs as employers are required to eliminate discrimination, harassment and victimisation in employment because of marriage and civil partnership status. The protection from discrimination is to ensure that people who are married or in a civil partnership receive the same benefits and treatment in employment. The protection from discrimination does not apply to single people.</p>
Pregnancy and maternity	<p>Under the Equality Act 2010 women are protected from pregnancy- and maternity-related discrimination, harassment and victimisation in employment.</p> <p>Primary adopters have similar entitlements to women on maternity leave</p>
Race	<p>Under the Equality Act 2010, HEIs as employers cannot discriminate against, victimise or harass staff because of their race. The definition of race includes colour, ethnic or national origins or nationality. Discrimination, harassment and victimisation because of race can occur because of a person's perceived race or because of their association with a person of a particular race.</p>
Religion and belief including non-belief	<p>The Equality Act 2010 prohibits HEIs from discriminating against, harassing or victimising staff because of their religion or belief.</p>

	<p>'Belief' includes any structured philosophical belief with clear values that has an effect on how its adherents conduct their lives.</p>
<p>Sex (including breastfeeding and additional paternity and adoption leave)</p>	<p>Under the Equality Act 2010 it is unlawful for HEIs to discriminate, harass or victimise employees because of their sex. Employees are also protected because of their perceived sex or because of their association with someone of a particular sex.</p> <p>The sex discrimination provisions of the Equality Act explicitly protect women from less favourable treatment because they are breastfeeding.</p> <p>If a mother who meets the continuity of employment test wishes to return to work early or shorten her maternity leave/pay, she will be entitled to shared parental leave with the father or her partner within the first year of the baby's birth. Partners may also be eligible for shared parental leave or pay.</p> <p>Fathers/partners who take additional paternity or adoption leave or who take shared parental leave have similar entitlements to women on maternity leave and barriers that exist to taking the leave, or as a result of having taken it, could constitute unlawful sex discrimination.</p> <p>There are now requirements under UK legislation for public authorities (including HEIs) to report information on the percentage difference amongst employees between men and women's average hourly pay (excluding overtime).</p>
<p>Sexual orientation</p>	<p>The Equality Act 2010 prohibits HEIs from discriminating against, victimising or harassing staff because of their sexual orientation or their perceived sexual orientation. Staff are also protected if they are associated with someone who is of a particular sexual orientation.</p>