

Equality Impact Assessment Guidance and Template

This document provides guidance when completing an Equality Impact Assessment (EIA). The EIA template can be found at the end of this document.

The Research Councils are committed to promoting equality and participation in all their activities, whether this is related to the work we do with our external stakeholders or whether this is related to our responsibilities as an employer. As public authorities we are also required to have due regard to the need to eliminate discrimination, advance equality of opportunity, and foster good relations when making decisions and developing policies. To do this, it is necessary to understand the potential impacts of the range of internal and external activities on different groups of people.

What is an Equality Impact assessment (EIA) and why do we need to complete one?

An equality impact assessment (EIA) is an evidence-based approach designed to help organisations ensure that their policies, practices, events and decision-making processes are fair and do not present barriers to participation or disadvantage any protected groups from participation. This covers both strategic and operational activities.

The term 'policy', as used throughout this document, covers the range of functions, activities and decisions for which your organisation is responsible, including for example, strategic decision-making, arranging strategy & funding panels, conferences, training courses and employment policies.

The EIA will help to ensure that:

- we understand the potential effects of the policy by assessing the impacts on different groups both external and internal
- any adverse impacts are identified and actions identified to remove or mitigate them
- decisions are transparent and based on evidence with clear reasoning.

When might I need to complete an EIA?

Whether an EIA is needed or not will depend on the likely impact that the policy may have and relevance of the activity to equality. The EIA should be done when the need for a new policy or practice is identified, or when an existing one is reviewed. Depending on the type of policy or activity advice can be sought from either your HR team, your Equality, Diversity and Inclusion team, your Peer Review Policy team or their equivalents.

Ideally, an EIA should form part of any new policy, event or funding activity and be factored in as early as one would for other considerations such as risk, budget or health and safety.

Who is responsible for completing and signing off the EIA?

Depending on the nature of the policy, event or funding activity, the responsibility of who should complete the assessment, who should be consulted, and who should sign off the EIA will vary. Ultimate responsibility on whether an EIA is required and

the evaluation decision(s) made after completing the EIA lies with the Senior Responsible Officer, budget holder, project board or the most relevant senior manager. Further advice is available from your Equality, Diversity & Inclusion contact.

What is discrimination?

Discrimination is where someone is treated less favourably or put at a disadvantage because of their protected characteristic. The different groups covered by the Equality Act are referred to as protected characteristics: disability, gender reassignment, marriage or civil partnership status, pregnancy and maternity, race, religion or belief, sexual orientation, sex (gender), and age.

Discrimination is usually unintended and can often remain undetected until there is a complaint. Improving or promoting equality is when you identify ways to remove barriers and improve participation for people or groups with a protected characteristic.

Building the evidence, making a judgement

In cases of new policies or management decisions there may be little evidence of the potential effect on protected characteristic groups. In such cases you should make a judgement that is as reliable as possible. Consultation will strengthen these value judgements by building a consensus that can avoid obvious prejudices or assumptions.

Consultation

Consultation can add evidence to the assessment. Consultation is very important and key to demonstrating that organisations are meeting the equality duties, but it also needs to be proportionate and relevant. Considering the degree and range of consultation will safe-guard against 'groupthink' by involving a diverse range of consultees. These are the key considerations, to avoid over-consultation on a small policy or practice and under-consultation on a significant policy or an activity that has the potential to create barriers to participation.

Provisional Assessment

At the initial stages, you may not have all the evidence you need so you can conduct a provisional assessment. Where a provisional assessment has been carried out, there must be plans to gather the required data so that a full assessment can be completed after a reasonable time. The scale of these plans should be proportionate to the activity at hand. When there is enough evidence a full impact assessment should be prepared. Only one EIA should be created for each policy, as more evidence becomes available the provisional assessment should be built upon.

Valuing Differences

EIAs are about making comparisons between groups of employees, service users or stakeholders to identify differences in their needs and/or requirements. If the difference is disproportionate, then the policy may have a detrimental impact on some and not others.

'You are looking for bias that can occur when there are significant differences (disproportionate difference) between groups of people in the way a policy or

practice has impacted on them, asking the question “Why?” and investigating further’. ¹

Evaluation Decision

There are four options open to you:

1. No barriers or impact identified, therefore activity will **proceed**.
2. You can decide to **stop** the policy or practice at some point because the evidence shows bias towards one or more groups
3. You can **adapt or change** the policy in a way which you think will eliminate the bias, or
4. Barriers and impact identified, however having considered all available options carefully, there appear to be no other proportionate ways to achieve the aim of the policy or practice (e.g. in **extreme cases** or where **positive action** is taken). Therefore you are going to **proceed with caution** with this policy or practice knowing that it may favour some people less than others, providing justification for this decision.

In most cases, where disproportionate disadvantage is found by carrying out EIAs, policies **and practices are usually changed or adapted. In these cases, or when a change has been** justified you should consider making a record on the project risk register.

Examples of recently completed EIA templates can be found in annex 1.

Please send completed EIAs to EDI@esrc.ukri.org

¹ http://www.acas.org.uk/media/pdf/s/n/Acas_managers_guide_to_equality_assessments.pdf

Equality Impact Assessment

Question	Response
1. Name of policy/funding activity/event being assessed	National Crime and Justice Laboratory (NCJL) – academic lead opportunity
2. Summary of aims and objectives of the policy/funding activity/event	The academic lead will advance efforts to derive new insights from Home Office data to guide criminal justice system policy and shape the direction of research, and explore how to make this data available to the academic community.
3. What involvement and consultation has been done in relation to this policy? (e.g. with relevant groups and stakeholders)	This opportunity has been co-developed with the Home Office in consultation with representatives from across the policing and criminal justice sectors through the NCJL leadership board.
4. Who is affected by the policy/funding activity/event?	Applicants, incoming award holder, staff in applicant institutions, assessors, panel members and interviewers, Home Office staff and stakeholders, ESRC and UKRI.
5. What are the arrangements for monitoring and reviewing the actual impact of the policy/funding activity/event?	Process review, activity monitoring during the award, reflection process at award conclusion.

GENERAL EQUALITY AND DIVERSITY CONSIDERATIONS

ESRC's research commissioning processes are designed with fairness in mind.

Eligibility and criteria

- This opportunity is open to all eligible research organisations (RO). Applicants are eligible for funding whether or not they are established members of a recognised RO, but applicants who are not an established member of a recognised RO must be accommodated by the RO and provided with appropriate facilities to carry out the research.

Standard Grant Terms and Conditions:

- UKRI standard Grant Terms and Conditions comply with UK equality legislation and include provisions designed to mitigate against potential negative impacts (e.g. sick pay, parental and adoption leave, the possibility of part-time and flexible working, and grant extensions).
- Research Organisations are subject to equality legislation and have a duty to comply with it. RGC 8 states that 'The Research Organisation must assume full responsibility for staff funded from the grant and, in consequence, accept all duties owed to and responsibilities for these staff, including, without limitation, their terms and conditions of employment and their training and supervision, arising from the employer/employee relationship.' Universities are therefore required to make
- reasonable adjustments as required to support their staff.

Panel recruitment:

- We will aim to ensure that the composition of the commissioning panel is diverse, with at least a 60:40 gender balance.
- We will ensure (if possible) that the chair and vice chair of the commissioning panel are not the same gender.

- Whilst peer reviewers and panel members are appointed, first and foremost, based on expertise, we will aim to appoint a diverse membership. Final decisions take into account trying to balance the panels by gender and geography and seek to ensure a diversity of career stage and institutions. We will only make recruitment decisions which compromise diversity when it is objectively justified by the necessity to ensure the required breadth of subject expertise with high quality candidates.
- A tool has been developed which allows ESRC staff to assess the EDI characteristics of commissioning panels, and this will be used when appointing panels.

Process

- All panel members will receive the code of practice and guidance which covers issues including fairness, objectivity and unconscious bias.
- We will ask attendees/reviewers for any accommodations they may need and if necessary liaise with the ESRC EDI team to ensure that the relevant requirements are met.
- It is the role of panel members to agree final scores for each proposal. Panel members will be briefed on unconscious bias and encouraged to feel empowered to constructively challenge potential bias where they identify it. The Panel Chairs and Panel Secretaries play a particularly important role in this respect. An implementation intention statement will be read out at the beginning of the commissioning panel meeting which sets the tone for discussions and requires that panel members pay close attention to the scoring criteria and definitions.

Protected Characteristic Group	Is there a potential for positive or negative impact?	Please explain and give examples of any evidence/data used	Action to address negative impact (e.g. adjustment to the policy)
Disability	Potential negative	Also see above, under General Equality and Diversity Considerations. Applicants should seek support from their own institution's research support office. Panel meeting attendees/peer reviewers with physical disabilities may have difficulties with using their computer facilities/hardware. Neurodiverse panel meeting attendees/peer reviewers may experience difficulties with concentration and	Also see above, under General Equality and Diversity Considerations. Ensure that virtual meeting offers an accessible and inclusive environment for participants. Depending on the needs identified, considerations might include: <ul style="list-style-type: none"> • As the meeting is taking place in an online platform, then closed captions will be used for the hearing impaired • Provision of documents in sans serif, dyslexia friendly fonts; and dyslexia-friendly formats, and consideration of formatting for screen/document readers, image description

Protected Characteristic Group	Is there a potential for positive or negative impact?	Please explain and give examples of any evidence/data used	Action to address negative impact (e.g. adjustment to the policy)
		focus during panel assessments.	<ul style="list-style-type: none"> • Avoiding colours, lighting etc that may trigger migraines, epilepsy; • Ensuring that plenty of breaks are built into the agenda
Gender reassignment	Potential negative	Also see above, under General Equality and Diversity Considerations. Trans people may be absent from work as a consequence of transition and UKRI records may show the wrong gender. Risk of bias against a panel member of applicant.	Also see above, under General Equality and Diversity Considerations. We will work to ensure the use of gender neutral language in our documents and will encourage sharing of pronouns. UKRI terms and conditions are flexible in nature and allow for absence as a result of medical treatment. We would expect that absence related to transition would be covered by the Research Organisation's absence policy and strongly encourage ROs to treat absence relating to transition like any other medical absence. Panel members will receive guidance on fair and objective assessment. Panel members and ESRC staff will safeguard the integrity of the assessment process by watching for bias and raising any concerns. Clear guidelines on reporting bullying and harassment will be provided. Consideration needs to be given at UKRI level as to how records (including Gateway to Research and other communications

Protected Characteristic Group	Is there a potential for positive or negative impact?	Please explain and give examples of any evidence/data used	Action to address negative impact (e.g. adjustment to the policy)
			materials) might be adjusted.
Marriage or civil partnership	None identified	Applicants are not asked to disclose their marital status.	
Pregnancy and maternity	Potential negative	Also see above, under General Equality and Diversity Considerations. Conditions might not meet those required to meet health and safety or employee rights standards.	Also see above, under General Equality and Diversity Considerations. Provision for parental leave (including maternity leave, paternity leave and leave related to surrogacy and adoption) are covered in the UKRI terms and conditions. The costs of additional childcare for grantholders, beyond that required to meet the normal contracted requirements of the job, and that are directly related to the project, may be requested as a directly incurred cost if the institutional policy is to reimburse them. However, childcare costs associated with normal working patterns may not be sought. In the case that panel meetings are in person, facilities and breaks for breastfeeding/expressing should be made available if needed. Timetable of key dates will be made available to applicants and panellists in advance, as early as possible. Reimbursement of additional childcare costs if the meeting participant is otherwise unable to attend (this could include childcare at the venue, additional hours of childcare in the child's

Protected Characteristic Group	Is there a potential for positive or negative impact?	Please explain and give examples of any evidence/data used	Action to address negative impact (e.g. adjustment to the policy)
			usual setting or paying for a relative to travel to care for school age children).
Race	Potential negative	Also see above, under General Equality and Diversity Considerations. There may be potential for bias or discrimination on the part of panel members where applicant ethnicity is known to the panel. This risk should also be considered where there are international participants. Individuals for whom English is their second language could be negatively impacted	Also see above, under General Equality and Diversity Considerations. Panel composition and mitigations against unconscious bias). We will ensure panel members introduce themselves so all are aware of the correct pronunciation of names. We will also provide clarification around language-related questions. Panel members and ESRC staff will safeguard the integrity of the assessment process by watching for bias and raising any concerns. Clear guidelines on reporting bullying and harassment will be provided.
Religion or belief	Potential negative	Also see above, under General Equality and Diversity Considerations. Key dates (call opening and closing dates and panel dates) coinciding with specific religious festivals/events could disadvantage specific religious groups There could be potential bias and discrimination because it is known that somebody (either a panel member, a research applicant or	Also see above, under General Equality and Diversity Considerations. Ensure that religious observances are considered when planning panel meetings. Considerations might include: <ul style="list-style-type: none"> • Scheduling meetings to avoid major religious festivals; (if impossible to avoid then consider mitigations – ie. during Ramadan ensuring that meetings finish early so that participants are able to get home to break their fast; awareness of the sensitivities around offering Muslims meals

Protected Characteristic Group	Is there a potential for positive or negative impact?	Please explain and give examples of any evidence/data used	Action to address negative impact (e.g. adjustment to the policy)
		research participants) has a particular faith or belief. If the event is all day this may discourage those from religions which require them to pray throughout day to attend.	during periods of fasting); <ul style="list-style-type: none"> • Not scheduling meetings such that they would require travel late on Friday evenings (Jewish Sabbath) or on Fridays (Friday prayer, Islam) • Allowing prayer breaks if requested and provision of a prayer room if a panel meeting is held in person
Sexual orientation	Potential negative	Also see above, under General Equality and Diversity Considerations. There may be potential for bias, bullying or harassment if the sexual orientation of an applicant or panel member is known or assumed	Also see above, under General Equality and Diversity Considerations (particularly in relation to managing bias). Applicants are not asked to disclose their sexual orientation
Sex (gender)	Potential negative	Also see above, under General Equality and Diversity Considerations. Use of language can present a barrier to participation and it may be perceived that those with caring responsibilities are disadvantaged. Panel members may be disadvantaged and unable to attend meetings if they have caring responsibilities.	Also see above, under General Equality and Diversity Considerations. Ensure use of gender neutral language in call specification, guidance, etc. Ensure that the panel has balanced gender representation. All meetings will be held online, which may help those with caring responsibilities. ESRC can provide support to those with caring responsibilities to facilitate their attendance.
Age	Potential negative	Also see above, under General Equality and	Also see above, under General Equality and Diversity Considerations.

Protected Characteristic Group	Is there a potential for positive or negative impact?	Please explain and give examples of any evidence/data used	Action to address negative impact (e.g. adjustment to the policy)
		Diversity Considerations. Early career researchers* may be disadvantaged as they don't have the same track record to draw on as an experienced researcher. (*It is assumed that early career researchers are generally younger than their more experienced peers, although this by no means is always the case. This is why this point has been included under 'age').	Track record is not an explicit criterion, given likely relationship to career stage and hence (indirectly) age. Panel members are briefed to make clear that they should be assessing the application in front of them and not reading between the lines. They should assess an individual's capability to deliver their proposed research. Use of a variety of different communication strategies including social media to ensure that our messages reach the widest possible target audience.

Note: Excessive use of repeated line breaks can make a document inaccessible for users of assistive technologies. To ensure inclusion, please ensure a new table row is inserted for each point if there is more than one consideration or impact for each group (please ensure you populate the "protected characteristic group" column e.g. "disability continued"); rather than using the same row for multiple points with repeated line breaks to separate points.

Evaluation:

Question	Explanation / justification		
Is it possible the proposed policy or activity or change in policy or activity could discriminate or unfairly disadvantage people?	<p>Yes. A variety potential negative impacts have been identified and considered as part of the call design. Reasonable adjustments will be made and by adhering to ESRC policies and procedures the risks have been/will be mitigated as far as possible See the potential negative impacts outlined above.</p> <p>The opportunity will be advertised for c.7 weeks (not including holiday season weeks which fall during the call open period) which is a shorter period than some calls. However, the application form is considerably shorter than usual, ensuring that those applying to this call are not disadvantaged.</p>		
Final Decision:	<table border="1"> <tr> <td>Tick the relevant box</td> <td>Include any explanation / justification required</td> </tr> </table>	Tick the relevant box	Include any explanation / justification required
Tick the relevant box	Include any explanation / justification required		

Question	Explanation / justification	
1. No barriers identified, therefore activity will proceed .		
2. You can decide to stop the policy or practice at some point because the data shows bias towards one or more groups		
3. You can adapt or change the policy in a way which you think will eliminate the bias	✓	See the mitigations outlined above.
4. Barriers and impact identified, however having considered all available options carefully, there appear to be no other proportionate ways to achieve the aim of the policy or practice (e.g. in extreme cases or where positive action is taken). Therefore you are going to proceed with caution with this policy or practice knowing that it may favour some people less than others, providing justification for this decision.		

Will this EIA be published* *EIAs should be published alongside relevant funding activities e.g. calls and events.	Yes
Date completed:	10.11.2023
End date of activity: (if applicable)	
Review date (if applicable):	

