

**Equality Impact Assessment**  
REF-21 Submission  
February 2021



Queen Margaret University  
EDINBURGH

## Equality Impact Assessment Template

Once completed, please email to the Secretary of the Equality and Diversity Committee.

This template uses the term 'policy' to apply refer to a policy, procedure, strategy, service – the initiative that is being assessed. It is a Word document to enable the table to be expanded to fit your text.

Section 1 - Background Information	
Sessions 1 & 2 aim to provide a frame for the policy.	
Name of School, Division or Department	QMU
Name of Person Responsible for the EqIA (normally the lead for the policy design/review)	Prof James M Scobbie, Academic Lead for REF-21
Names of Members of EqIA group (if applicable)	Kim Stuart, Viv Rutherford, Pelagia Koufaki, Rebecca Finkel

Section 2 - Policy Detail	
Name of policy to be assessed.	<p>QMU's seven REF-21 submissions, which required</p> <ul style="list-style-type: none"><li>• Identification of Staff with Significant Responsibility for Research</li><li>• Output Selection</li><li>• Authorship and leadership of impact case studies</li><li>• Other aspects of the overall return</li><li>• Application of the Code of Practice within the research environment of submitting Units.</li></ul> <p><i>This EqIA satisfies a requirement of REF guidance on equality and diversity. The submission to REF was guided by QMU's Code of Practice for REF, which was itself the subject of an EqIA and external REF review. This EqIA is a reflection on QMU's overall submission. EIAs for initial SRR identification overall and final output selection on a UoA by UoA basis were undertaken during 2019 and 2020.</i></p>
Is this a new or an existing policy?	New <input checked="" type="checkbox"/> Existing <input type="checkbox"/>
If this is an existing policy, is there any existing data available about the policy that can be used in this assessment, such as user feedback?	We refer to the final draft return (January 2021) and to some extent the anonymous data on protected characteristics and confidential information on output attribution as well as the broader CEDARS survey. We are not analysing the (number of) outputs available as

	input from each member of staff with SRR to the output selection process, but will analyse the set of outputs selected.
What is the aim or purpose of the policy?	The aim of REF-21 is to rate (by quantitative factors and peer review) the excellent research submitted by units of assessment within a higher education institution. The aim of QMU's submission in each of its 7 Units of Assessment is to choose outputs and impact cases which will maximise these ratings.
Does this policy have an impact on people?	Yes. At QMU, only staff with significant responsibility for research are returned to REF, and these staff will each have between 1-5 outputs selected. People with a significant responsibility for research, or closely involved in impact generation, research income generation or PhD supervision may experience short-term and long-term consequences due to the ramifications of REF's evaluation of research.
Who is intended to benefit from the policy and in what way?	<p>Thinking of the output selection policy specifically, the university and its research community are intended to benefit directly from the output selection process. By maximising the amount of excellent research submitted to REF, the process should ensure that consequentials (e.g. income) are as good as possible. All staff at the university benefit from higher prestige and income arising from a best-possible result in REF.</p> <p>A rather more indirect set of benefits is intended to arise from the way in which these outputs are selected. The process, guided by the Code of Practice, is intended to foster a more open and balanced research culture: ensuring equality and diversity as part of output selection is an important part of the policy, and this aspect of research culture is intended to benefit all researchers but particularly those whose research may be overlooked or down-valued due to biases against some of the protected characteristics. It is also an intended benefit of REF that outputs related to impact be recognised fully, which should benefit researchers with clear plans for pathways to impact.</p> <p>REF may also have individual benefits for staff whose research is included in REF (via co-authorship of outputs, or inclusion in impact case studies, or participation in the process, or having a significant responsibility for research). However, the positive ramifications for</p>

	reward and recognition, personal development and prioritisation of research support for this group (or other benefits such as career development with an eye to future REF exercises) are, while relevant to some of the discussion below, not directly intended.
Does the policy provide opportunity to eliminate unlawful discrimination; better advance equality of opportunity; and positively affect relations between different groups? If not, how could this be improved?	Yes. Equality and Inclusion are explicitly recognised as drivers in the process, and are central to the code of practice that underlies it. REF's EDAP (Equality and Diversity Advisory Panel) provide steers to achieve these goals, which we have implemented in QMU's Code of Practice for REF, itself the subject of previous EqIA.
Who is responsible for the policy? Which Committees are required to approve the policy?	REF management group, REF Equality and Inclusion Group. Research Strategy Committee, Equality and Diversity Committee (EDC)
Who are the main internal and external stakeholders in relation to the policy? Have they been asked to participate in this EQIA?	All research active staff, but more clearly, those with a significant responsibility for research, all of whom were included in REF-21. A range of staff members from throughout the institution participated in undertaking this EqIA and a wider range sit on the EDC that will receive this EqIA.
What data was considered in reviewing the equality impact of this policy?	Output counts, headcount of staff with SRR (and FTE), distribution of outputs, number of appeals for/against SRR identification, number of staff declaring additional circumstances affecting outputs.  Note that Information from the CEDARS 2020 researcher survey coincides well in terms of timing with the REF-21 census date (July 2020).  Previous EqIA: <ul style="list-style-type: none"> <li>• REF 2021 Equality Report - Significant Responsibility for Research - Feb 2019</li> <li>• REF 2021 Open Access Policy – December 2020</li> <li>• REF 2021 SRR staff panel meetings – July 2020</li> <li>• REF 2021 EqIA for 7 units of assessment output selections</li> </ul>

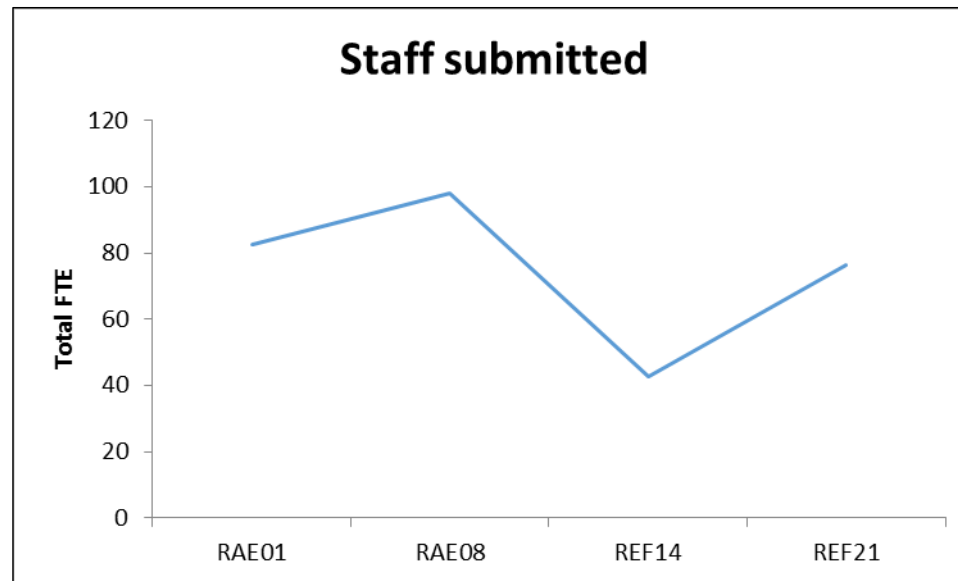
## Section 3 - data

This section records some of the overall data referred to below

### 3.1 Significant Responsibility for Research

In REF-21, 88 staff (76.8FTE) with significant responsibility for research (SRR) were identified, and submitted in seven Units of Assessment. This compares to 250 academic staff overall (199.7FTE). In terms of headcount, 35% of staff were identified as having SRR and returned to REF-21 (38% in terms of FTE). All these figures show an increase on REF-14, in which 49 staff (42.7FTE) were chosen on a basis of being able to contribute a quote of high quality outputs and submitted in five Units of Assessment (25% of the total headcount of 173). Following the REF-21 Code of Practice, in preparation for REF-21 there was no staff selection, just identification of those with SRR.

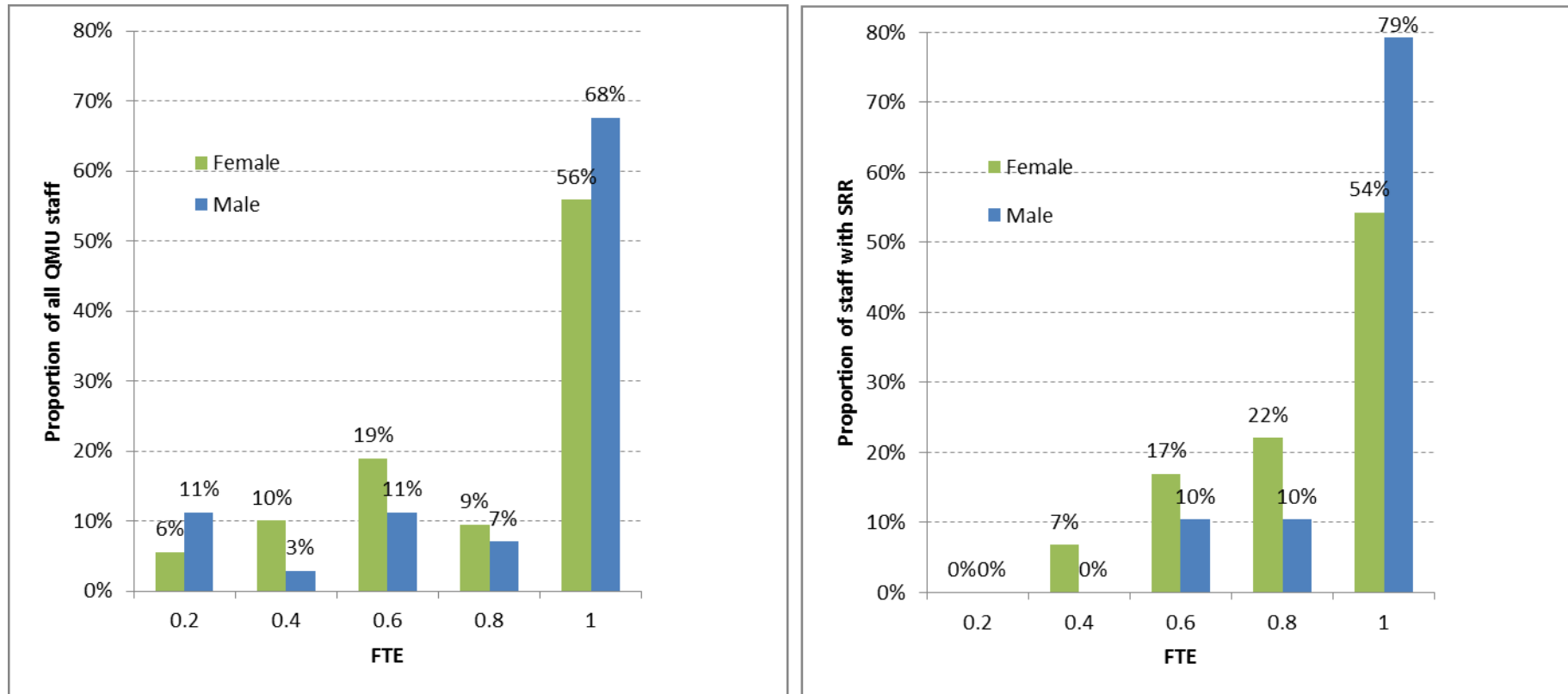
For a longer historical perspective, the total FTE in REF-21 and REF-14 can be compared to the two previous Research Assessment Exercises, where the highly selective approach of REF-14 can be contrasted with the maximally inclusive strategy of RAE-08, which included research by all staff, including those with no formal expectations to undertake research, and with the most limited research activity. Just over 50% of staff were included in RAE08. Since REF-21 reports just staff with significant responsibility, the number with SRR lies between these extremes.



The average FTE of a member of staff with SRR was 0.87FTE, while the average for non-SRR staff was 0.76FTE. (The average for all staff was 0.80FTE.) (Median and mode of FTE were both 1.0, because the majority of staff with SRR, and the majority at QMU, are full time.) A non-parametric

Kruskal-Wallis rank-order test to see whether FTE was a predictor of SRR, suggests (the result is marginally non-significant) that the FTE of staff with SRR (0.87FTE) is not significantly higher than expected, though the trend is for it to be higher than the QMU staff who do not have SRR (0.76TE),  $H(1) = 3.8252$  (N = 250),  $p = 0.0505$ .

Given this non-significant trend, it is worthwhile describing the relative proportion of FTE levels for staff with SRR (below, right) in comparison to all staff (below, left). There might be a trend for (a) full time members of staff to be more likely to be male than female and (b) for 0.2FTE and 0.4FTE staff to not have a significant responsibility for research – but as implied above, such apparent patterns may be due to chance.



It is likely that data from other universities will be similar. Our own data could also be subjected to more sophisticated analysis. Either way, it is not unlikely that there will be confirmation of the descriptive trend for male staff to more likely to have a full time contract, and for staff with full time contracts to be more likely to have SRR.

The numbers of male and female staff is easy to quantify anonymously, letting us compare staff with SRR against other staff for this variable. In staff with SRR, 59 (67%) were female, and 29 (33%) were male. This is comparable to the overall proportion of staff and to the non-SRR staff. For female staff, 33% had SRR, while 41% of male staff had SRR (35% overall), also relatively comparable.

	Female	Male	Total	F%	M%	Overall
SRR	<b>59</b>	<b>29</b>	<b>88</b>	<b>33%</b>	<b>41%</b>	<b>35%</b>
non-SRR	<b>120</b>	<b>42</b>	<b>162</b>	<b>67%</b>	<b>59%</b>	<b>65%</b>
Total	<b>179</b>	<b>71</b>	<b>250</b>			
SRR%	<b>67%</b>	<b>33%</b>				
non-SRR%	<b>74%</b>	<b>26%</b>				
Overall	<b>72%</b>	<b>28%</b>				

A chi-square non-parametric analysis of the male/female variable in relation to the SRR variable does not indicate any statistically significant relationship ( $X^2(2, 250) = 1.3854, p = .24$ ).

However, we should not ignore the descriptive trend (which is in line with analysis of REF-14 across the UK as a whole): female staff are less represented in REF than would be expected when compared to the more general headcount. At QMU, while female staff are in the majority (72% of all staff), the proportion of female staff with SRR is lower (67%). While this may be due to chance, a precautionary principle suggests that it may be reflective of more general trends for under-representation.

Male/female figures are also available for REF-14. Recall that 49 staff were selected. Of these, 33 (67%) were female and 16 (33%) were male, very similar to the proportions in REF-21.

The headcounts and FTEs of each unit in REF-21 varied (see the table below for details). The smallest unit had a headcount of just 6 staff, and the largest was only 25. Therefore in this EIA, to protect the anonymity of staff and to draw general conclusions across the submission to REF overall, individual units will not be considered further, and finer analyses are not possible, even for FTE.

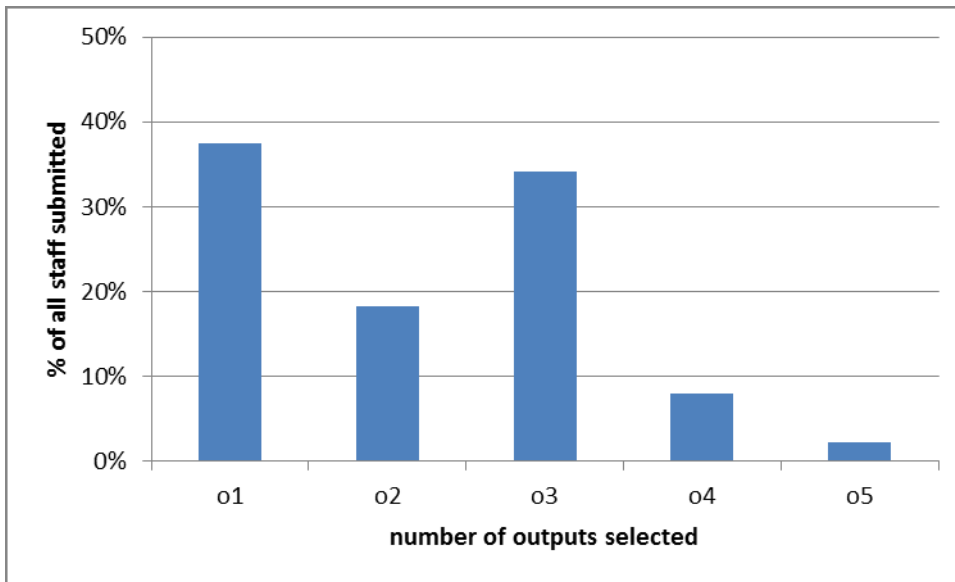
FTE % of all REF-21	unit	Headcount	Female	Male	FTE total	FTE average
10%	UoA2	9	8	1	8.0	0.89
26%	UoA3	25	17	8	19.7	0.79
18%	UoA4	15	10	5	13.8	0.92
7%	UoA17	6	4	2	5.4	0.90
11%	UoA21	9	7	2	8.63	0.96
9%	UoA26	8	5	3	6.6	0.83
19%	UoA34	16	8	8	14.67	0.92
		headcount			FTE	FTE
	total	88	59 (67%)	29 (33%)	76.8	

	mean FTE				0.87	
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However, some generalities are worth pointing out: all units are relatively small, and the FTE of the staff identified with SRR is relatively homogeneous (ranging from 0.79FTE in UoA3 to 0.96FTE in UoA21). (These FTE rates are very similar to the average FTE in REF-14, which was also 0.87FTE.)

### 3.2 Output Selection

It is possible to use confidential information about the number of outputs attributed to each member of staff, without risking anonymity or threatening the decoupling of outputs to staff, to analyse the relationship between the male/female variable and the number of outputs attributed, but only for the university as a whole, not for individual UoA. The overall pattern is as follows.



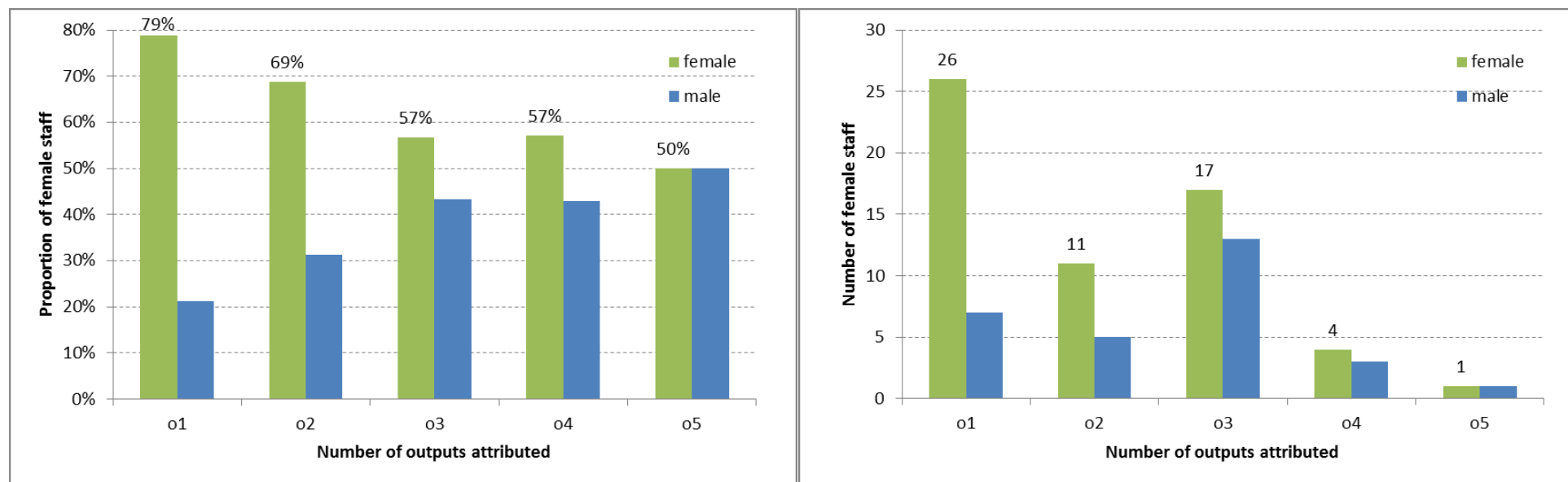
Each member of staff with SRR had to be attributed at least one, and at most five, outputs. On average, in each UoA, 2.5 outputs were required from each 1.0FTE. For QMU as a whole, 88 staff needed at least one output each, and due to the way the total FTE fits into 7 UoA, another 108 outputs were required, making a total of 196 outputs (reduced to 193 outputs by “double weighting”). On a purely arithmetic distribution, all things being equal, half of the staff might be expected to contribute two outputs, and half to contribute three outputs. The histogram above shows that over a third of staff contributed only one output, under a fifth contributed 2, while 44% contributed 3 or more.

We do not know exactly how many outputs were actually available prior to quality rating (and thus were not selected) but this could be estimated.



The flexibility in REF to attribute between one to five outputs per member of staff is based on an expectation that part-time staff may contribute fewer outputs than full-time staff. It is therefore useful to consider the relationships between the female/male variable in a histogram of number of outputs. A detailed analysis of FTE against number of outputs is problematic for anonymity since some FTE counts are very small. In any case, a broad analysis of FTE is not useful, given that the intention of REF is that part-time staff may contribute fewer outputs, and given that no pattern of male/female differentiation was found for staff with SRR, above. Other reports that analyse protected characteristics are not presented either because there are very small numbers involved, that may reveal personal details, or there is insufficient data.

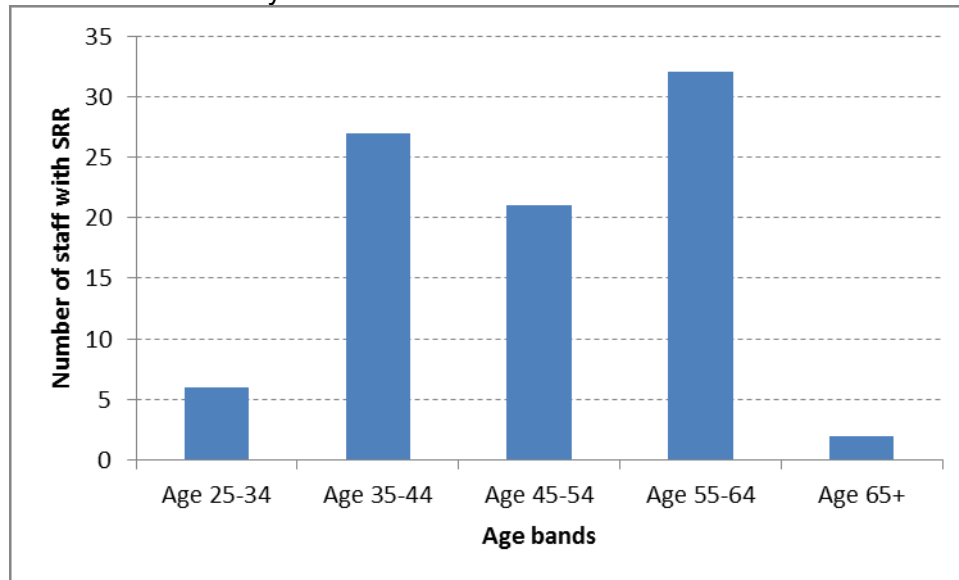
It is possible however to describe the number of outputs attributed to males and females overall.



Overall, staff with SRR are 33% male and 67% female, and this ratio is very similar to the male/female distribution for staff who contribute 2 outputs. It appears a higher proportion of those submitting just one output (around a third of all the staff in REF-21) were female (79%) than might have been expected, but the absolute female headcount for one output is just 26, only 4 more than the average would lead us to expect. Likewise, a 50/50 split among those to whom five outputs are attributed seems to over-represent males, but only two members of staff are involved, so strong conclusions cannot be drawn.

### 3.3 Age

There were relatively few staff over 65 or under 34 in REF-21.



### 3.4 Marital status

Data is available on 80/88 people. To preserve anonymity and to ensure relevance, the range of options will be collapsed to reflect an assumption that the member of staff lives in a household with one adult (collapsing “single”, “separated”, “divorced” and “widowed”) from household with two (collapsing “married”, “civil partnership” and “co-habiting”). 20/80 (25%) of those with SRR are in the (postulated) single-adult household grouping while 60 (75%) are in a household with another adult in a relationship.

### 3.5 Impact Case studies

REF requires two impact case studies per UoA as a minimum, so 14 were prepared. Ten of these were led by female staff, four by males. This is proportional to other aspects of REF for this characteristic.

### 3.6 Other

Two other aspects of data are important for considering staff and outputs. First, only one member of staff (female) used the appeals process to challenge the identification of all staff as either having SRR, or not. This appeal successfully changed the identification of the staff member from non-SRR to SRR. Second, the number and nature of “staff circumstances” registered will not be reported, other than to say that (a) every UoA had some staff who lodged circumstances, (b) no overall group reductions were applied for, and (c) no staff with SRR had zero outputs. All circumstances that might reduce an individual’s nominal “quota” of 2.5 outputs were handled by the flexibility afforded by decoupling.

### **3.7 Individual UoA EqlAs on output selection (February 2021) and generally (December 2020)**

The seven units of assessment prepared individual EqlAs on output selection. Smaller datasets were available to those authors, making conclusions harder to draw, but a number of useful qualitative comments were made around processes in relation to equality and diversity, which could inform future policy development.

In general, UoA leads did not judge that groups with protected characteristics were adversely affected.

If there was any potential for an adverse effect, it might be on female researchers and early career researchers (who may be more likely to have part-time contracts). Also, there was positive statements of support to encourage recruitment and retention of a more diverse workforce in areas where it appears QMU is overly homogeneous and over-populated by researchers from social majorities in terms of these groups with protected characteristics.

### **3.8 EqlA on SRR (February 2019, July 2020)**

A range of actions were recommended, mostly to ensure better and more comprehensive data was available in order to better understand potential barriers to gaining and retaining significant responsibility for research. Possible adverse impacts on female and early career researchers were noted. The positive benefits of ongoing mitigations and the REF Code of Practice were noted.

### **3.9 Culture, Employment and Development in Academic Research Survey 2020 (CEDARS) (late 2020)**

97.5% expressed knowledge and understanding of REF (“some/knowledge exists but not detail” or greater)  
62.2% agreed/agreed strongly that they were treated fairly in relation to Research Output Expectations  
66.2% agreed/agreed strongly that they were treated fairly in relation to Inclusion in REF 2021

### **3.10 UoA Group overall outcomes EqlA (October 2020)**

This EqlA identified similar issues to the others in the same timeframe, and noted how the provision of REF-specific unconscious bias training may be able to mitigate bias against certain types of research topic and method, as well as protected characteristics more directly. The need to encourage staff to report in terms of these characteristics, to inform the discussion, was again noted.

### **3.11 EIAs on Project, planning and Code of Practice (various dates)**

These EqIAs raised potential issues around some of the protected characteristics and mitigations in terms of Code of Practice development, staff communication, implicit bias training etc., as mentioned above and below. COVID-related delays and re-scheduling was discussed: fewer instances of output selection were adopted, in order to reduce pressure on staff responding to COVID in teaching and research.

#### Section 4 - Protected Equality Groups

This session aims to look at what the policy impact may be on each of the groups.

In which of the following equality areas are there concerns that the policy could have a differential impact?

#### **Assessment**

1. If you tick 'yes', what concerns do you have that the policy may create a differential impact on protected groups? What existing evidence (presumed or otherwise) do you have to support this?
2. If you ticked 'no impact' - what evidence do you have to make this decision?

**Yes      No  
                 Impact**

AGE



#### **Potential Differential Impact:**

There are relatively few people with SRR under the age of 35, or above the age of 65. The lack of people under 35 suggests that early career researchers (ECRs) were not identified as having SRR. For contracted researchers, this implies they lack "independence". It also implies there is a lack of younger members of lecturing staff (at least, those with SRR).

#### **Mitigating Factors/Action:**

- The relationship of age profile to SRR status appears typical of the university as a whole, though precise details were not available. This profile may not be unique to REF-21 or research.
- In the School of Health Sciences in particular, staff, who are female in the majority, often (need to) have professional qualifications, registration and experience, so they join QMU and at that point or early into their career are above the age of 35 – so that relatively fewer clinical female ECRs will be below the age of 35.
- We note that REF quota adjustments are automatic for ECR staff, who are not expected to produce as many outputs, so it is important for staff to identify as ECR if appropriate so as

	<p>to take advantage of this reduced pressure (though we do not believe that this affects staff in this unit).</p> <ul style="list-style-type: none"> <li>• Strategies to support recruitment and retention of ECRs are needed. ECRs should also be encouraged to make strategic choices between a focus on producing fewer excellent outputs (a focus on quality), a larger number of outputs (a focus on quantity), or compromise approaches that generate a reasonable number of excellent quality outputs.</li> <li>• QMU has committed to new policies and procedures to support ECRs, e.g. HR in Excellence Award, proposals for a new ECR Engagement Academy and the Concordat for Researcher Development.</li> <li>• QMU will launch the cross-institutional <b>Teaching, Research and Academic Mentoring Scheme</b> (TRAMS) in 2021. This initiative, led by the University of Dundee and University of St Andrews will open up wider opportunities for peer to peer mentoring. (this is an intervention that has been highlighted as beneficial by ECRs).</li> <li>• We have encouraged and promoted participation in the UKRI Early Career Researcher (ECR) Forum.</li> </ul>
<p>DISABILITY <input type="checkbox"/> <input type="checkbox"/></p>	<p><b>Potential Differential Impact:</b> Not enough information to make a judgement. Across QMU, under 4% of staff declared a disability, and the proportion of staff with SRR was similarly low. There were no appeals on the basis of this characteristic.</p> <p><b>Mitigating Factors/Action:</b></p> <ul style="list-style-type: none"> <li>• See general comments below, which would affect all groups including this one.</li> </ul>
<p>GENDER REASSIGNMENT <input type="checkbox"/> <input type="checkbox"/></p>	<p><b>Potential Differential Impact:</b> Not enough information to make a judgement. There were no appeals on the basis of this characteristic.</p> <p><b>Mitigating Factors/Action:</b></p> <ul style="list-style-type: none"> <li>• See general comments below, which would affect all groups including this one.</li> </ul>
<p>MARRIAGE/CIVIL PARTNERSHIP <input type="checkbox"/> <input checked="" type="checkbox"/></p>	<p><b>Potential Differential Impact:</b> 75% of the 80 staff who made a declaration married, in a civil partnership or co-habiting, as opposed to being single, separated, divorced or widowed. Research that involve conference or collaboration travel is severely impacted by lack of straightforward household solutions for caring responsibilities. Such responsibilities also impinge on the needs of research (data collection, time for analysis and writing).</p>

PREGNANCY/MATERNITY	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p><b>Mitigating Factors/Action:</b> Staff whose marital status reduces their opportunities for research were able to participate in REF with fewer outputs, and/or record those circumstances arising from living in a long household directly.</p> <p><b>Potential Differential Impact:</b> It seems likely that having taken a period of leave for reasons associated with characteristic lead to fewer outputs available for selection.</p> <p><b>Mitigating Factors/Action:</b></p> <ul style="list-style-type: none"> <li>• Leave from work for this purpose should be expected to reduce the number of outputs produced, or the number of excellent outputs. Indeed, REF quota adjustments are automatic in such circumstances so staff already benefit from this reduced pressure.</li> <li>• More support for continuity of research career spanning periods of leave could be considered at QMU level.</li> <li>• Post maternity buddy mentoring support will be a key offering in new mentoring developments including via the TRAMS collaboration.</li> </ul>
RACE	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p><b>Potential Differential Impact:</b> The overwhelming majority of staff identified as “white”, which may indicate a disproportionate and homogeneous white context at QMU (under 5% BAME) that is below Scottish norms. This dominance can be intimidating or othering for minority groups.</p> <p><b>Mitigating Factors/Action:</b></p> <ul style="list-style-type: none"> <li>• Ongoing plans to “decolonise the academy” may generate a more welcoming and diverse workplace, and implicit bias training has been put in place around output selection and developing SRR. The topics of research outputs and impact case studies suggest there is already a need for non-white researchers in relation to specific topics of interest, given the international context, as well as the need for non-topic-bound diversity, more generally.</li> </ul>
RELIGION, BELIEF	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>Potential Differential Impact:</b> Not enough information to make a judgement. More than half the respondents left this blank. It is possible that religious people find the context antagonistic or indifferent to religious belief.</p> <p><b>Mitigating Factors/Action:</b></p> <ul style="list-style-type: none"> <li>• Continuing encouragement should be offered to ensure that everyone recognises the value of information is combatting barriers to inclusion in research, so that more people contribute</li> </ul>

SEX	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>information on this characteristic. Those who decline to specify any belief seem to be more likely to have SRR than the general QMU staff population.</p> <p><b>Potential Differential Impact:</b> There are some indications that female staff are under-represented in REF, perhaps in association with being more likely to be part-time, but the trends are not certain. Further, it may be that female members of staff contributed fewer outputs to REF than expected.</p> <p><b>Mitigating Factors/Action:</b></p> <ul style="list-style-type: none"> <li>• If female staff are more likely to be part-time, it may be that it is the part-time working that would be responsible for reducing research outputs for REF. If part-time working may be the choice of staff, there may be no differential impacts, but staff could be supported in desired to increase (or decrease) FTE more flexibly.</li> </ul>
SEXUAL ORIENTATION	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>Potential Differential Impact:</b> Not enough information to make a judgement. Nearly half the respondents left this blank. It is possible that some staff find the context antagonistic or indifferent to the difficulties associated with minority sexual orientation.</p> <p><b>Mitigating Factors/Action:</b></p> <ul style="list-style-type: none"> <li>• Continuing encouragement should be offered to ensure that everyone recognises the value of information is combatting barriers to inclusion in research, so that more people contribute information on this characteristic.</li> </ul>
CARERS	<input type="checkbox"/>	<input type="checkbox"/>	<p><b>Potential Differential Impact:</b></p> <ul style="list-style-type: none"> <li>• No information is centrally recorded.</li> </ul> <p><b>Mitigating Factors/Action:</b></p> <ul style="list-style-type: none"> <li>• No need for action is currently indicated – perhaps more information on caring responsibilities could be gathered</li> <li>• Cases can be submitted for output reduction as part of REF.</li> <li>• Consider more proactive awareness raising as part of CEDARS or Wellcome Café Culture events.</li> </ul>

Additional Notes

Output selection included measures to mitigate various biases, but was primarily intended to select outputs of highest research quality, with a secondary goal to balance outputs by discipline or individuals, all other things being equal.

In general, the REF Code of Practice sought to mitigate many of these effects, and (a) since there are no strong or unarguable differential impacts, and (b) since the weak differential impacts that may have occurred echo those from previous research exercises and (c) they echo structural issues that are not specific to this policy, we conclude that REF itself has not been a strong cause of differential negative impacts on any of the protected groups.

**Section 5 – Outcome and sign off**

**Comments**

**Additional Notes**


Are there any risks associated with the policy (that may create a differential impact?)	Not specific to this policy.	
If so, could these risks lead to an adverse impact on a protected group/s?	n/a.	
Can this adverse impact be justified, for example: on the grounds of promoting equality of opportunity for one protected groups or any other reason?	n/a	
<p><b>OUTCOME RECOMMENDED</b>  <b>RECOMMENDED OUTCOMES:</b></p> <p><input checked="" type="checkbox"/> No major changes required,  <input type="checkbox"/> Adjust the policy (with recommendations),  <input type="checkbox"/> Continue the policy (with adverse impacts justified) or  <input type="checkbox"/> Stop and remove the policy</p>	<p>No recommendations are made with respect to REF output selection, identification of staff with significant responsibility for research, or attribution of outputs to staff. No major changes required to this specific policy, which followed the REFs agreed Code of Practice.</p> <p>Longer term, however, the submission to REF, its results, and this EqIA should inform policies on research at QMU with an aim to promote equality and diversity. In particular, there are concerns around the potential under-representation of female staff among those with SRR, for younger staff to be under-represented, for researchers on part time contracts to be under-represented – and the intersection of these.</p> <p>Recent developments that reflect this commitment not just to general equality, diversity and inclusion, but</p>	



specifically can be tailored to mitigate the potential negatives above, and which should be continued after REF has concluded (with others) informed further by sector-wide findings, include

1. **CEDARS (the Culture, Employment and Development in Academic Research Survey)**. QMU is an early adopter the first post-92 institution to sign up. Initial results (2020) provide evidence of differential impacts and provide an evidence-based route to help mitigation through on-going evidence gathering.
2. **The Concordat to Support the Career Development of Researchers**. The Concordat was adopted by QMU in 2019 and a Working Group was established with ECR, HR and other participation in 2020 to develop an associated Action Plan for research career enhancement, which should mitigate some of the potential differential impacts discussed here. Further, QMU as enshrined 10 annual days of career enhancement enshrined as part of this concordat, which can be planned to mitigate negative effects on career enhancement of pressures imposed by REF.
3. QMU was, in December 2020, one of the first five UK universities to be awarded the 10 Year Retention of the **HR Excellence in Research Award**, evidencing a commitment for the promotion of equality and diversity in the research. We are the first UK post 92 institution to receive this award.
4. QMU signed up to the cross-institutional **Teaching, Research and Academic Mentoring Scheme (TRAMS)** in 2020, which will provide broader mentoring opportunities for researchers. This reflects a recognition of the need to enhance support for institutional level research mentoring as we continue to develop

	<p>a supportive, fair and inclusive research culture, particularly to Early Career Researchers and female researchers. We are investing in a number of other new mentoring initiatives to better align expectations, promote professional and career development, address equity and inclusion, foster research independence, and cultivate ethical behaviours and integrity including COVID 19 reset mentoring in collaboration with Edinburgh Napier University.</p> <ol style="list-style-type: none"> <li>5. QMU renewed an <b>Athena SWAN</b> Bronze Award in 2018 (initial award was 2013), and is using Aurora leadership training to build research capacity and increase numbers of female staff with significant responsibility for research.</li> <li>6. The PER (<b>performance enhancement review</b>) process incorporated more explicit consideration of significant responsibility for research (SRR) as part of preparation for REF under the Code of Practice, and consideration of SRR in relation to goals and workload planning should continue to be part of this on an ongoing annual basis. The AWAM (Academic Workload Allocation Model) could be developed on the basis of feedback to more effectively estimate the workload needs of research, particularly where this reflects a significant responsibility, as part of the integration of research and other responsibilities in PER.s</li> <li>7. Deans, heads of research and heads of division considered <b>all research outputs deposited in eResearch</b> on an annual basis, and this should be continued with an additional goal of mitigating any potential differential impacts related to output quantity.</li> </ol>	
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	<p>8. UoA leads collaborated in <b>parallel ratings of new outputs with researchers with SRR</b> using the RE rating scales, under the Code of Practice, and this should be continued with a goal to understand and plan outputs with an eye to quality and quantity, and broadened out to all research-active staff aiming for SRR in the future.</p> <p>9. <b>Implicit bias training</b> specific to the qualitative rating of research was undertaken, and this should be repeated in the future by new research leads.</p> <p>10. New research staff should be informed about SRR, REF, and issues around equality and diversity as part of <b>induction</b>.</p> <p>11. QMU is part of a collaborative group of Scottish HEIs, led by Heriot Watt University, sharing best practice in equality and diversity in research and innovation.</p>	
Date EQIA completed	February 2021	
Date for future review	after REF results and feedback (sector and individual UoA) are known (after April 2022)	
Name of person responsible for EQIA	James M Scobbie	
Signature (can be electronic)		
COMMENTS OF EDC: 26 February 2021	<p>The Equality and Diversity Committee considered the Equality Impact Assessment of the final REF 2021 submission at an extraordinary meeting held on Friday 26 February 2021.</p> <p>The Committee had no significant concerns that, in terms of submission of the REF, any identifiable group</p>	

of staff had been treated unfavourably on the basis of a protected characteristic.

The Committee noted the discussion of a potential for there to have been an under-representation of women with SSR (compared to the proportion of women on the academic staff group as a whole), and considered that any under-representation of women could be linked to the higher percentage of women in part-time roles. Both FTE-related and sex-related patterns in the EIA are likely therefore to be related to broader employment patterns, and appear to be neither specific to research at QMU nor to the REF 2021 submission.

The Committee noted too that, for some other protected characteristics, the uneven availability of data meant that conclusions were hard to draw. This lack of data reflected the extent to which staff had provided it on a self-declared basis (including even “early career researcher” status). Increasing self-declaration for all relevant criteria has already been identified as a priority area for development and is likely to be reflected in the University’s Mainstreaming Report and Equality Outcomes, and the work of the Race Equality Steering Group. Having information will be relevant to all academic staff: non-researchers, research-active staff, and staff with a significant responsibility for research, enabling better-informed EIAs that can cover wider groups of academics in the future, not just those staff with SRR in REF.