

SECTION 75 POLICY SCREENING FORM

Section 75 Statutory Equality Duties

<http://www.equalityni.org/S75duties>

The promotion of equality of opportunity entails more than the elimination of discrimination. It may also require proactive measures to be taken to maintain and secure equality of opportunity.

Section 75 (1) requires the University in carrying out its functions, powers and duties to have *due regard to the need to promote equality of opportunity* between –

- persons of different religious belief, political opinion, racial group, age, marital status, or sexual orientation
- men and women generally
- persons with a disability and persons without - persons with dependants and persons without.

Without prejudice to the obligations set out above, the University is also required to:

- a) have *regard to the desirability of promoting good relations* between persons of different
 - religious belief
 - political opinion; or
 - racial group
- b) meet legislative obligations under the Disability Discrimination Order.

What is a policy?

The Equality Commission for Northern Ireland state in their guidance¹ that the term 'policy' is used to denote any strategy, policy (proposed/amended/existing) or practice and/or decision, whether written or unwritten.

The University's Equality Scheme reflects the Equality Commission's definition of a policy and this should be applied in determining what needs to be screened.

If you are in doubt, please contact the Diversity and Inclusion Unit for advice. Equality screening guidance is also available at Queen's Online or by contacting the Diversity and Inclusion Unit.

¹ 'Section 75 of the Northern Ireland Act 1998, A Guide for Public Authorities' (April 2010), page 30. A policy may include planning decisions, service changes, corporate strategies, policy development, practices, guidelines, procedures and protocols; board papers

Part 1. Policy scoping

The first stage of the screening process involves scoping the policy under consideration. The purpose of policy scoping is to help prepare the background and context and set out the aims and objectives for the policy being screened. At this stage, scoping the policy will help identify potential constraints as well as opportunities and will help the policy maker work through the screening process on a step by step basis.

It should be remembered that the Section 75 statutory duties apply to internal policies (relating to people who work for the University), as well as external policies (relating to those who are, or could be, served by the University).

A. Information about the policy

Name of the policy to be screened and description

REF 2021 Code of Practice

Is this an existing, revised or a new policy? (please append policy to the screening form)

New

What is it trying to achieve? (intended aims/outcomes)

The aim of the policy is to ensure the fair and transparent identification of eligible staff; determining who is an independent researcher; and the selection of outputs in the University's submission to REF 2021. The policy should ensure individual staff have a clear understanding of, and confidence in, the University's approach to preparing its submission to REF 2021.

Are there any Section 75 categories which might be expected to benefit from the policy?

If so, explain how.

The emphasis on equality and diversity in previous REF exercises has broadly been considered to have had a positive impact on the equality and diversity agenda in research careers. The Equality Challenge Unit has publicly stated that REF 2014 was successful in increasing the numbers of women, early-career researchers and those with equality-related circumstances, submitted to the exercise. The REF 2014 submission at Queen's saw increases in the returnable rates of a number of Section 75 groups. The sustained focus on equality and diversity in REF 2021 is expected make a positive contribution to diversity and inclusion in research careers at Queen's. The code of practice commits to undertaking multiple interim equality impact assessments during its lifespan, regardless of whether equality issues are identified through the screening process, ensuring that equality-related issues can be identified and addressed in advance of the final submission and delivering full transparency on the diversity and representativeness of the final REF submission.

Who initiated or wrote the policy?

The Interim Pro-Vice-Chancellor (Research and Enterprise), Professor Paul Connolly, was the initial institutional lead on the development of this policy. A new Pro-Vice-Chancellor, Professor Emma Flynn, took up post in April 2019 and will be the institutional lead for implementation. The policy was drafted by members of the REF Support Team in Research & Enterprise – primarily Chris Browne and Karis Hewitt.

Directorate responsible for devising and delivering the policy?

Research and Enterprise Directorate.

Background to the Policy to be screened.

Include details of any pre- consultations/consultations which have been conducted and/or whether the policy has previously been tabled at the University's Operating Board or the Standing Committee of the Senate.

The REF is the system for assessing research in UK higher education institutions (HEIs). It was first conducted in 2014, and replaced the previous Research Assessment Exercise (RAE). The REF is managed by Research England (RE), on behalf of the four funding bodies for HE in the UK, including the Scottish Funding Council (SFC), the Higher Education Funding Council for Wales (HEFCW) and the Department for the Economy, Northern Ireland (DfE).

REF produces quality outcomes for each submitting HEI through its assessment process, which deliver the wider threefold purpose of the exercise:

- The four funding bodies intend to use the assessment outcomes to inform the selective allocation of their grant for research to the HEIs which they fund, with effect from 2022–23.
- The assessment provides accountability for public investment in research and produces evidence of the benefits of this investment.
- The assessment outcomes provide benchmarking information and establish reputational yardsticks, for use within the HE sector and for public information.

Each university making a submission to REF 2021 is required to develop, document and apply a **'code of practice' setting out its policies and processes for identifying which staff are eligible for submission and how their work will be fairly and transparently selected for inclusion.**

Outlined below are a series of key points as relates to the inclusion of individual members of staff in REF 2021 and institutional expectations for their contribution:

Staff Eligibility (section 1.2 of policy)

The code of practice primarily affects academic staff employed on 'teaching and research' contracts (i.e. not teaching only) and on 'research only' contracts.

REF eligible staff are those individuals with a contract of 0.2 FTE+; whose primary employment function is 'teaching and research' or 'research only'; who have a substantive research connection with the HEI; and who are employed on the census date of 31 July 2021. All eligible staff with 'significant responsibility for research' (SRR) are required to be included in an HEI's REF submission.

Where the criteria identify eligible staff who **do not** have SRR, HEIs are required to develop and apply an agreed process to identify who among their staff meeting the core eligibility criteria have significant responsibility for research. **Queen's has determined that all staff meeting the eligibility criteria have SRR and will therefore be included in REF 2021.**

Staff employed on 'research only' contracts (also described at Queen's as research fellows, postdoctoral research assistants, or contract research staff) are not eligible for REF.

Individual staff on 'research only' contracts may only be considered for submission to REF if they meet an institutional definition of 'research independence'.

Selection of outputs (section 4 of policy)

All eligible staff included in the REF submission contribute directly to the 'research outputs' component of the assessment. Each UoA is required to provide a total number of research outputs published in the unit during the census period (2014 – 2020). The total requirement is calculated as 2.5 multiplied by the unit's FTE on the census date of 31 July 2020. **Within this total each member of staff must contribute at least one and no more than five outputs.**

At Queen's, the selection of outputs for submission to REF will be primarily informed by their anticipated REF quality grading as determined by a combination of internal and external peer review. This is intended to optimise Queen's REF outcomes in terms of block grant funding and reputation in the sector. As the selection of outputs will take place at unit-level, rather than per individual staff member, and is only one of a number of methods for evaluating research quality. **There is no connection between individual contributions to REF and wider performance management and career progression within the University; in particular, the number of outputs attributed to each individual is a relative judgement made for REF purposes only and not an absolute judgement of the value of their research.**

Staff circumstances (section 4.6 of policy)

Where an individual's circumstances have an effect on their productivity during the REF period, there are three key measures by which this can be recognised by UoAs in relation to their individual contribution to the REF submission:

1. The flexibility to return between varied numbers of outputs per individual means submitting UoAs can adapt their submission to the varied research portfolio of individual members of staff. Staff are required to contribute only a minimum of one output published during the 7 year REF period.
2. There will be a voluntary and confidential process by which staff can disclose circumstances as set out in section 4.9 of the policy. Where the available output pool of a particular unit has been disproportionately affected by a significant volume, or the cumulative effect, of disclosed circumstances, units may optionally request a reduction, without penalty, in the total number of outputs required.
3. Where an individual's circumstances have had an exceptional effect on their ability to work productively during the REF period so that they have been unable to produce a single output, a request may be made to remove the requirement to contribute a minimum of one output.

Core principles

The code of practice has been developed in line with the core principles of REF 2021 as defined by Research England, namely: transparency, consistency, accountability, and inclusivity. The University's commitment to these principles, which is embedded throughout the document, is summarised as follows:

Transparency: All policies and procedures outlined in the policy are fully transparent and information is readily accessible to all staff. There has been a comprehensive programme of communication with staff on the core principles underpinning the University's approach to REF 2021, followed by a formal consultation on a full draft. There has also been direct engagement with staff representative groups during the consultation period, including a meeting with the Queen's Gender Initiative (26 Feb 2019) and two meetings with the local branch of the Universities and Colleges Union (08 Feb and 09 April 2019). The final Code of practice is subject to approval through the University's formal committee structure. Key documents have been made available through the staff intranet, internal REF webpages and all-staff e-mails.

Consistency: The policies and procedures set out in the code of practice are applied consistently to all staff. The decision making processes set out in the policy for determining staff who are independent researchers and the selection of outputs are applied identically in each Faculty, School and submitting UoA. All members of staff and UoA leads were asked for specific feedback on whether bespoke unit-level policies are required for the identification of staff with significant responsibility for research through the consultation process.

Accountability: The code of practice clearly defines the decision making process that will be adopted for determining staff who are independent researchers and the selection of outputs, as outlined in sections 3 and 4. This includes the roles and responsibilities of those involved from UoA-level leads to senior institutional committees.

Inclusivity: The University is committed to the promotion of an inclusive environment and equality of opportunity in the REF. The University will submit all eligible staff to the REF exercise and ensure that individuals in all disciplines and at all career stages are supported to produce excellent research for submission to REF 2021.

B. Implementation factors

Are there any factors which could contribute to/detract from the intended aim/outcome of the policy?

If yes, are they
financial?
legislative?

X other?(please specify)

There are no specific factors that have been identified that should affect the implementation of the policy. There is a considerable amount of oversight both institutionally, through UEB and the REF Equality and Diversity Group, and through the regional and national funding bodies, including the Research England REF Equality and Diversity Panel, to monitor the implementation process.

It is important to note that the development of the policy takes place within the parameters of national guidelines applied to all institutions by the four funding bodies. While there is flexibility to adapt to institutional differences at the margins, the broad principles such as the inclusion of all eligible staff with SRR are non-negotiable.

C. Main stakeholders affected

Who are the internal and external stakeholders (actual or potential) that the policy will impact upon?

X staff

service users

other public sector organisations

X voluntary/community/trade unions

other, please specify _____

D. Other policies with a bearing on this policy

- **what are they? (please list)**

Internal

- [QUB Corporate Plan 2016-2021](#)
- [QUB Vision 2020](#)
- [QUB Equality and Diversity Policy](#)
- [QUB Equality Scheme](#)
- [QUB Trans Equality Policy](#)
- [QUB Data Protection Policy](#)
- [Final Equality Impact Assessment on the Code of Practice for REF 2014](#)
- [QUB Research Strategy 2016-2021](#)

External

- [REF Guidance on Submissions 2019/01](#)
- [REF Guidance on Codes of Practice 2019/03](#)
- [REF Codes of Practice for the selection of staff: A report on good practice, published by HEFCE in October 2012](#)
- [Equality and diversity in the REF: Final report by EDAP, published by HEFCE in January 2015](#)
- [AdvanceHE/ Equality Challenge Unit guidance on Codes of Practice and EIAs for REF 2014](#)

- **who owns them?**

• **Internal**

- QUB Corporate Plan 2016-2021 (Institutional)
- QUB Vision 2020 (Institutional)
- QUB Equality and Diversity Policy (Diversity and Inclusion Unit, People and Culture Directorate)
- QUB Equality Scheme (Diversity and Inclusion Unit, People and Culture)
- QUB Trans Equality Policy (Diversity and Inclusion Unit, People and Culture)
- QUB Data Protection Policy (Registrar's Office)
- Final Equality Impact Assessment on the Code of Practice for REF 2014 (Research and Enterprise)
- QUB Research Strategy 2016-2021 (Research and Enterprise)

External

- REF Guidance on Submissions 2019/01 (Research Excellence Framework)
- REF Guidance on Codes of Practice 2019/03 (Research Excellence Framework)
- REF Codes of Practice for the selection of staff: A report on good practice, published by HEFCE in October 2012
- Equality and diversity in the REF: Final report by EDAP, published by HEFCE in January 2015
- AdvanceHE/ Equality Challenge Unit guidance on Codes of Practice and EIAs for REF 2014

E. Available evidence

What evidence/information (both qualitative and quantitative) have you gathered to inform this policy? Specify details for each of the Section 75 categories.

This means any data or information you currently hold in relation to the policy or have gathered during policy development. Evidence to inform the screening process may take many forms and should help you to decide who the policy might affect the most. It will also help ensure that your screening decision is informed by relevant data.

Section 75 category	Details of evidence/information		
Religious belief	Our Staff Profile		
	Under Fair Employment legislation, the University has a statutory duty to monitor the religious composition of the workforce.		
	These statistics below reflect our Academic and Research Staff Composition by NI Community Background and religious belief as at 8 March 2019.		
	The University conducted a full Equality Impact Assessment following the REF submission in November 2013, which can be accessed here . In the final REF 2014 submission at Queen’s the return rates of staff from the Catholic and Protestant communities was similar.		
		Eligible	Returned
	Catholic	31.8%	31.8%
	Protestant	28.6%	28.6%
	Non-determined	39.6%	39.6%
	<u>QUB Academic Staff Statistics (excluding Academic Education) as at 8th March 2019)</u>		
	<u>Broad Community Background</u>		
Broad Cat	Academic		
Row Labels	Count of	Per	
Not Known	No	%	
P	1	0.10%	
	256	26.53%	

RC	328	33.99%
ND	380	39.38%
Grand Total	965	100.00%

Community Background

Broad Cat	Academic	
Row Labels	Count of Per No	%
Perceived Protestant	15	1.55%
Perceived Roman Catholic	30	3.11%
Perceived Non-determined	58	6.01%
Neither	124	12.85%
Non-determined	199	20.62%
Protestant	241	24.97%
Roman Catholic	298	30.88%
Grand Total	965	100.00%

Religious Beliefs

Broad Cat	Academic	
Row Labels	Count of Per No	%
Buddhist	1	0.10%
Christian - Methodist Church	3	0.31%
Spiritual	3	0.31%
Muslim	3	0.31%
Hindu	5	0.52%
Jewish	6	0.62%
Information refused	6	0.62%
Any other religion or philosophical belief	7	0.73%
Christian - Church of Ireland	12	1.24%
Christian - Other Denomination	22	2.28%
Prefer not to say	22	2.28%
Christian - Presbyterian	25	2.59%
Christian - Roman Catholic	46	4.77%
No Religion	103	10.67%
(blank)	701	72.64%
Grand Total	965	100.00%

Research Staff Statistics as at 8 March 2019

Broad Community Background

Broad Cat	Research	
Row Labels	Count of Per No	%
Not Known	8	1.20%
P	135	20.18%
RC	189	28.25%
ND	337	50.37%
Grand Total	669	100.00%

	<p><u>Community Background</u></p> <table border="0"> <tr> <td>Broad Cat</td> <td>Research</td> <td></td> <td></td> </tr> <tr> <td>Row Labels</td> <td>Count of</td> <td>Per No</td> <td>%</td> </tr> <tr> <td>Perceived Protestant</td> <td>6</td> <td></td> <td>0.90%</td> </tr> <tr> <td>(blank)</td> <td>8</td> <td></td> <td>1.20%</td> </tr> <tr> <td>Perceived Roman Catholic</td> <td>11</td> <td></td> <td>1.64%</td> </tr> <tr> <td>Perceived Non-determined</td> <td>86</td> <td></td> <td>12.86%</td> </tr> <tr> <td>Non-determined</td> <td>91</td> <td></td> <td>13.60%</td> </tr> <tr> <td>Protestant</td> <td>129</td> <td></td> <td>19.28%</td> </tr> <tr> <td>Neither</td> <td>160</td> <td></td> <td>23.92%</td> </tr> <tr> <td>Roman Catholic</td> <td>178</td> <td></td> <td>26.61%</td> </tr> <tr> <td>Grand Total</td> <td>669</td> <td></td> <td>100.00%</td> </tr> </table> <p><u>Religious Beliefs</u></p> <table border="0"> <tr> <td>Broad Cat</td> <td>Research</td> <td></td> <td></td> </tr> <tr> <td>Row Labels</td> <td>Count of</td> <td>Per No</td> <td>%</td> </tr> <tr> <td>Christian - Methodist Church</td> <td>1</td> <td></td> <td>0.15%</td> </tr> <tr> <td>Information refused</td> <td>3</td> <td></td> <td>0.45%</td> </tr> <tr> <td>Any other religion or philosophical belief</td> <td>4</td> <td></td> <td>0.60%</td> </tr> <tr> <td>Spiritual</td> <td>4</td> <td></td> <td>0.60%</td> </tr> <tr> <td>Hindu</td> <td>6</td> <td></td> <td>0.90%</td> </tr> <tr> <td>Christian - Church of Ireland</td> <td>8</td> <td></td> <td>1.20%</td> </tr> <tr> <td>Muslim</td> <td>10</td> <td></td> <td>1.49%</td> </tr> <tr> <td>Prefer not to say</td> <td>10</td> <td></td> <td>1.49%</td> </tr> <tr> <td>Christian - Presbyterian</td> <td>13</td> <td></td> <td>1.94%</td> </tr> <tr> <td>Christian - Other Denomination</td> <td>19</td> <td></td> <td>2.84%</td> </tr> <tr> <td>Christian - Roman Catholic</td> <td>30</td> <td></td> <td>4.48%</td> </tr> <tr> <td>No Religion</td> <td>69</td> <td></td> <td>10.31%</td> </tr> <tr> <td>(blank)</td> <td>492</td> <td></td> <td>73.54%</td> </tr> <tr> <td>Grand Total</td> <td>669</td> <td></td> <td>100.00%</td> </tr> </table>	Broad Cat	Research			Row Labels	Count of	Per No	%	Perceived Protestant	6		0.90%	(blank)	8		1.20%	Perceived Roman Catholic	11		1.64%	Perceived Non-determined	86		12.86%	Non-determined	91		13.60%	Protestant	129		19.28%	Neither	160		23.92%	Roman Catholic	178		26.61%	Grand Total	669		100.00%	Broad Cat	Research			Row Labels	Count of	Per No	%	Christian - Methodist Church	1		0.15%	Information refused	3		0.45%	Any other religion or philosophical belief	4		0.60%	Spiritual	4		0.60%	Hindu	6		0.90%	Christian - Church of Ireland	8		1.20%	Muslim	10		1.49%	Prefer not to say	10		1.49%	Christian - Presbyterian	13		1.94%	Christian - Other Denomination	19		2.84%	Christian - Roman Catholic	30		4.48%	No Religion	69		10.31%	(blank)	492		73.54%	Grand Total	669		100.00%
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Political opinion	Data is not collected on the political opinion of job applicants or members of staff in the University.																																																																																																												
Racial group	<p>Our Staff Profile</p> <p>The University conducted a full Equality Impact Assessment following the REF submission in November 2013, which can be accessed here. In the final REF 2014 submission at Queen's there was a 3.5 percentage point difference between the return rates of staff from an ethnic minority background and white staff, with the return rate of white staff above that of staff from an ethnic minority background.</p>																																																																																																												

	Eligible	Returned	
Ethnic minority background	9.1%	8.8%	
White	85.3%	85.5%	
No information	5.6%	5.6%	

QUB Academic Staff Statistics (excluding Academic Education) as at 8th March 2019)

Broad Ethnicity

Broad Cat	Academic	
Row Labels	Count of Per No	%
Not Known	49	5.08%
Ethnic	90	9.33%
White	826	85.60%
Grand Total	965	100.00%

Ethnic Origin

Broad Cat	Academic	
Row Labels	Count of Per No	%
Other Ethnic background	1	0.10%
White and Asian	1	0.10%
Not Known	3	0.31%
Black or Black British - African	3	0.31%
Other Black background	3	0.31%
Asian or Asian British - Pakistani	4	0.41%
Other Mixed background	7	0.73%
Information refused	10	1.04%
Prefer not to say	14	1.45%
Other Asian background	15	1.55%
Asian or Asian British - Indian	20	2.07%
(blank)	22	2.28%
Chinese	36	3.73%
Other White Background	90	9.33%
White - Other European	118	12.23%
White - Irish	270	27.98%
White - British	348	36.06%
Grand Total	965	100.00%

Broad Nationality

Broad Cat	Academic	
Row Labels	Count of Per No	%
Not Known	4	0.41%
International	131	13.58%
EU	137	14.20%

ROI	187	19.38%
UK	506	52.44%
Grand Total	965	100.00%
<u>Nationality</u>		
Broad Cat	Academic	
Row Labels	Count of Per	No %
Mexican	1	0.10%
Argentinian	1	0.10%
Nepalese	1	0.10%
Niger	1	0.10%
Nigeria	1	0.10%
Ukrainian	1	0.10%
Taiwanese	1	0.10%
Netherlands Antilles	1	0.10%
Cuba	1	0.10%
New Zealander	1	0.10%
Indonesian	1	0.10%
West Bank	1	0.10%
Jordanian	1	0.10%
Brazil	1	0.10%
Malaysian	1	0.10%
Norwegian	1	0.10%
Hong Kong	1	0.10%
Peruvian	1	0.10%
Macedonian	1	0.10%
Singapore	1	0.10%
Japanese	1	0.10%
South African	1	0.10%
Bulgarian	1	0.10%
South Korean	1	0.10%
(blank)	2	0.21%
Cyprus (European Union)	2	0.21%
Not Known	2	0.21%
Iranian	2	0.21%
Swiss	2	0.21%
Romanian	2	0.21%
Czech	2	0.21%
Belgium	3	0.31%
Swedish	3	0.31%
Serbia	3	0.31%
Pakistani	3	0.31%
Austrian	4	0.41%
Polish	4	0.41%
Turkish	4	0.41%
Wales	4	0.41%
Hungarian	5	0.52%
Russian	5	0.52%
Vietnamese	5	0.52%
Portuguese	7	0.73%
Australian	8	0.83%
Dutch	8	0.83%

Canadian	11	1.14%
French	11	1.14%
Scotland	12	1.24%
Spanish	13	1.35%
Indian	15	1.55%
Greek	19	1.97%
Chinese/Tibetan	21	2.18%
England	21	2.18%
German	26	2.69%
Italian	27	2.80%
American	29	3.01%
Northern Ireland	154	15.96%
Irish	187	19.38%
British (not Channel Islands or IOM)	315	32.64%
Grand Total	965	100.00 %

QUB Research Staff Statistics as at 8 March 2019

Broad Ethnicity

Broad Cat	Research		
Row Labels	Count of	Per No	%
Not Known	82		12.26%
Ethnic	136		20.33%
White	451		67.41%
Grand Total	669		100.00 %

Ethnic Origin

Broad Cat	Research		
Row Labels	Count of	Per No	%
Other Black background	1		0.15%
Not Known	5		0.75%
Information refused	5		0.75%
Other Ethnic background	7		1.05%
Prefer not to say	8		1.20%
Asian or Asian British - Pakistani	8		1.20%
Other Mixed background	11		1.64%
Black or Black British - African	17		2.54%
Other Asian background	20		2.99%
Other White Background	32		4.78%
Asian or Asian British - Indian	33		4.93%
Chinese	39		5.83%
(blank)	64		9.57%
White - Other European	101		15.10%
White - Irish	134		20.03%
White - British	184		27.50%
Grand Total	669		100.00 %

Broad Nationality

Broad Cat	Research	
Row Labels	Count of	Per No %
Not Known	5	0.75%
ROI	81	12.11%
EU	129	19.28%
International	163	24.36%
UK	291	43.50%
Grand Total	669	100.00%

Nationality

Broad Cat	Research	
Row Labels	Count of	Per No %
Iraqi	1	0.15%
Zimbabwean	1	0.15%
Wales	1	0.15%
Australian	1	0.15%
Chile	1	0.15%
Jordanian	1	0.15%
Croatian	1	0.15%
Kenyan	1	0.15%
Cyprus	1	0.15%
Lebanese	1	0.15%
Estonian	1	0.15%
Libyan	1	0.15%
Icelandic	1	0.15%
Luxembourg	1	0.15%
Congo	1	0.15%
New Zealander	1	0.15%
Cyprus (European Union)	1	0.15%
Niger	1	0.15%
Burma	1	0.15%
Peruvian	1	0.15%
Gibraltar	1	0.15%
Serbia	1	0.15%
Cuba	1	0.15%
Thai	1	0.15%
(blank)	2	0.30%
Mexican	2	0.30%
Syrian	2	0.30%
Cameroon	2	0.30%
Belgium	2	0.30%
Scotland	2	0.30%
Czech	2	0.30%
Bulgarian	2	0.30%
Malaysian	2	0.30%
Sri Lankan	2	0.30%
Hungarian	3	0.45%
Not Known	3	0.45%
Austrian	3	0.45%
Swedish	3	0.45%

	<table border="1"> <tbody> <tr><td>Romanian</td><td>3</td><td>0.45%</td></tr> <tr><td>Indonesian</td><td>3</td><td>0.45%</td></tr> <tr><td>Canadian</td><td>3</td><td>0.45%</td></tr> <tr><td>Vietnamese</td><td>3</td><td>0.45%</td></tr> <tr><td>South Korean</td><td>4</td><td>0.60%</td></tr> <tr><td>Egyptian</td><td>4</td><td>0.60%</td></tr> <tr><td>Russian</td><td>4</td><td>0.60%</td></tr> <tr><td>Dutch</td><td>5</td><td>0.75%</td></tr> <tr><td>Brazil</td><td>6</td><td>0.90%</td></tr> <tr><td>German</td><td>8</td><td>1.20%</td></tr> <tr><td>American</td><td>9</td><td>1.35%</td></tr> <tr><td>Iranian</td><td>9</td><td>1.35%</td></tr> <tr><td>French</td><td>9</td><td>1.35%</td></tr> <tr><td>Nigeria</td><td>10</td><td>1.49%</td></tr> <tr><td>Pakistani</td><td>10</td><td>1.49%</td></tr> <tr><td>Polish</td><td>10</td><td>1.49%</td></tr> <tr><td>Greek</td><td>13</td><td>1.94%</td></tr> <tr><td>Portuguese</td><td>13</td><td>1.94%</td></tr> <tr><td>England</td><td>15</td><td>2.24%</td></tr> <tr><td>Spanish</td><td>21</td><td>3.14%</td></tr> <tr><td>Italian</td><td>27</td><td>4.04%</td></tr> <tr><td>Indian</td><td>33</td><td>4.93%</td></tr> <tr><td>Chinese/Tibetan</td><td>37</td><td>5.53%</td></tr> <tr><td>Irish</td><td>81</td><td>12.11%</td></tr> <tr><td>Northern Ireland</td><td>118</td><td>17.64%</td></tr> <tr><td>British (not Channel Islands or IOM)</td><td>155</td><td>23.17%</td></tr> <tr><td>Grand Total</td><td>669</td><td>100.00%</td></tr> </tbody> </table>	Romanian	3	0.45%	Indonesian	3	0.45%	Canadian	3	0.45%	Vietnamese	3	0.45%	South Korean	4	0.60%	Egyptian	4	0.60%	Russian	4	0.60%	Dutch	5	0.75%	Brazil	6	0.90%	German	8	1.20%	American	9	1.35%	Iranian	9	1.35%	French	9	1.35%	Nigeria	10	1.49%	Pakistani	10	1.49%	Polish	10	1.49%	Greek	13	1.94%	Portuguese	13	1.94%	England	15	2.24%	Spanish	21	3.14%	Italian	27	4.04%	Indian	33	4.93%	Chinese/Tibetan	37	5.53%	Irish	81	12.11%	Northern Ireland	118	17.64%	British (not Channel Islands or IOM)	155	23.17%	Grand Total	669	100.00%
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Age	<p>The University conducted a full Equality Impact Assessment following the REF submission in November 2013, which can be accessed here. There is detailed information available on the return rates for different age groups and by gender in the REF 2014 EQIA. The key findings of the assessment are as follows:</p> <p>In the final REF 2014 submission the return rate of staff :</p> <ul style="list-style-type: none"> • in the 20-29 age range was below the overall University return rate by 14.8 percentage points; • in the 30-39 age range was similar to the overall University return rate; • in the 40-49 age range was above the overall University return rate by 1.8 percentage points; • in the 50-59 age range was similar to the overall University return rate; • in the 60 years and above age range was below the overall University return rate by 3.6 percentage points. <p>Whilst not mandatory, in line with best practice suggested by the Funding Councils, the University also conducted an impact assessment in relation to part time/ full time and fixed term working in the REF 2014 submission. In the final REF submission there was a 0.7 percentage point difference between the return rates of staff employed part time and staff employed full time. There was a 1.2 percentage point difference between the return rates of staff employed on a fixed term contract and staff employed on a permanent contract, with the return rate of</p>																																																																																	

staff employed on a fixed term contract above that of staff employed on a permanent contract.

Our Staff Profile

QUB Academic Staff Statistics (excluding Academic Education) as at 8th March 2019)

Age - 5 year bands

Broad Cat	Academic	
Row Labels	Count of Per No	%
25-29	15	1.55%
65 +	26	2.69%
60-64	65	6.74%
30-34	91	9.43%
55-59	96	9.95%
50-54	148	15.34%
45-49	160	16.58%
40-44	182	18.86%
35-39	182	18.86%
Grand Total	965	100.00%

Age -10 year bands

Broad Cat	Academic	
Row Labels	Count of Per No	%
20-29	15	1.55%
60+	91	9.43%
50-59	244	25.28%
30-39	273	28.29%
40-49	342	35.44%
Grand Total	965	100.00%

QUB Research Staff Statistics as at 8 March 2019

Age - 5 year bands

Broad Cat	Research	
Row Labels	Count of Per No	%
65 +	4	0.60%
60-64	8	1.20%
55-59	13	1.94%
20-24	14	2.09%
50-54	29	4.33%
45-49	31	4.63%
40-44	57	8.52%
35-39	147	21.97%
25-29	152	22.72%

	30-34		214	31.99%
	Grand Total		669	100.00%
	<u>Age -10 year bands</u>			
	Broad Cat		Research	
	Row Labels		Count of Per No	%
	60+		12	1.79%
	50-59		42	6.28%
	40-49		88	13.15%
	20-29		166	24.81%
	30-39		361	53.96%
	Grand Total		669	100.00%
	<u>External Sources of Data</u>			
	<p>According to the Advance HE/ Equality Challenge Unit's annual staff statistical report for 2018, academics under the age of 35 are more likely to be on fixed term contracts than academic staff between the ages of 35 and 65. Staff aged 35 and under also tend to be more concentrated in research only roles than older staff. For example, 63.7% of staff aged 51–55 were in teaching and research roles compared with 55.5% of staff aged 26–30 who were in research only roles.</p>			
Marital status	Our Staff Profile			
	<p>The University conducted a full Equality Impact Assessment following the REF submission in November 2013, which can be accessed here. In the final REF 2014 submission at Queen's all staff in a civil partnership were returned and there was a 1.1 percentage point difference between the return rates of married staff and staff who were single.</p>			
		Eligible	Returned	
	Civil Partnership	2.1%	2.1%	
	Married	55.9%	56.3%	
	Single	29.6%	29.5%	
	No information	12.4%	12.1%	
	<u>QUB Academic Staff Statistics (excluding Academic Education) as at 8th March 2019)</u>			
	<u>Marital Status</u>			
	Broad Cat		Academic	
Row Labels		Count of Per No	%	
Widowed		6	0.62%	
Separated		16	1.66%	
Civil Partnership		17	1.76%	
Divorced		22	2.28%	
Prefer not to say		37	3.83%	
Other		37	3.83%	

(blank)	40	4.15%
Single	217	22.49%
Married	573	59.38%
Grand Total	965	100.00 %
<u>QUB Research Staff Statistics as at 8 March 2019</u>		
<u>Marital Status</u>		
Broad Cat	Research	
Row Labels	Count of	Per No %
Widowed	1	0.15%
Separated	2	0.30%
Civil Partnership	4	0.60%
Divorced	8	1.20%
Prefer not to say	9	1.35%
Other	22	3.29%
(blank)	72	10.76%
Married	233	34.83%
Single	318	47.53%
Grand Total	669	100.00 %

Sexual orientation	Our Staff Profile		
	<p>The University conducted a full Equality Impact Assessment following the REF submission in November 2013, which can be accessed here. In the final REF 2014 submission at Queen's there was a 1.6 percentage point difference between the return rates of gay / lesbian / bisexual staff, and heterosexual staff, with the return rate of gay / lesbian / bisexual staff above that of heterosexual staff.</p>		
		Eligible	Returned
	Gay / Lesbian / Bisexual	2.4%	2.4%
	Heterosexual	44.0%	43.5%
	No information	53.6%	54.1%
	<u>QUB Academic Staff Statistics (excluding Academic Education) as at 8th March 2019</u>		
	<u>Sexual Orientation</u>		
	Broad Cat	Academic	
	Row Labels	Count of	Per No %
Of either sex	5	0.52%	
Of the same sex	27	2.80%	
I do not wish to answer	149	15.44%	
(blank)	176	18.24%	
Of a different sex	608	63.01%	
Grand Total	965	100.00 %	

	<u>QUB Research Staff Statistics as at 8 March 2019</u>			
	<u>Sexual Orientation</u>			
	Broad Cat	Research		
	Row Labels	Count of	Per No %	
	Of either sex	8	1.20%	
	Of the same sex	26	3.89%	
	I do not wish to answer (blank)	58	8.67%	
	Of a different sex	464	69.36%	
	Grand Total	669	100.00 %	
Men and women generally	Our Staff Profile			
	The University conducted a full Equality Impact Assessment following the REF submission in November 2013, which can be accessed here . In the final REF submission there was a 2.5 percentage point difference between the return rates of female and male staff, with the return rate of male staff above that of female staff.			
		Eligible	Returned	
	Female	32.0%	31.4%	
	Male	68.0%	68.6%	
	<u>QUB Academic Staff Statistics (excluding Academic Education) as at 8th March 2019)</u>			
	<u>Gender</u>			
		Broad Cat	Academic	
		Row Labels	Count of	Per No %
		F	353	36.58%
	M	612	63.42%	
	Grand Total	965	100.00 %	
<u>QUB Research Staff Statistics as at 8 March 2019</u>				
<u>Gender</u>				
	Broad Cat	Research		
	Row Labels	Count of	Per No %	
	F	325	48.58%	
	M	344	51.42%	
	Grand Total	669	100.00 %	
<u>External sources of data</u>				
According to the Advance HE/ Equality Challenge Unit's annual staff statistical report for 2018 , women are more likely to work in part-time or fixed-term roles.				

[Evidence from the Equality Commission on Key Inequalities in Employment](#) (para 5.6) show that women are more likely to be in part time employment.

Our Staff Profile

The University conducted a full Equality Impact Assessment following the REF submission in November 2013, which can be accessed [here](#). In the final REF 2014 submission at Queen's there was a 7.5 percentage point difference between the return rates of staff who declared a disability and staff stated they did not have a disability, with the return rate of staff who stated they did not have a disability above that of staff who declared a disability.

	Eligible	Returned
Declared disability	4.6%	4.2%
Declared no disability	78.8%	79.5%
No information	16.7%	16.3%

Academic Statistics (excluding Academic Education) as at 8th March 2019

Disability

Broad Cat	Academic	
Row Labels	Count of No	Per %
Yes	60	6.22%
Not Known	174	18.03%
No	731	75.75%
Grand Total	965	100.00%

Type of Disability

Broad Cat	Academic	
Row Labels	Count of No	Per %
Multiple Disabilities	2	0.21%
Other	3	0.31%
Disabled	4	0.41%
Sensory Impairment	4	0.41%
Learning Disability/Difficulty	5	0.52%
Mental Health Condition	6	0.62%
Physical Impairment	8	0.83%
Declined to specify	15	1.55%
Long Standing Illness or Health Condition	28	2.90%
(blank)	68	7.05%
Not known	91	9.43%
No disability	731	75.75%

Disability

	<p>Grand Total 965 100.00 %</p> <p><u>Research Statistics as at 8 March 2019</u></p> <p>Broad Cat Research</p> <p>Row Labels Count of Per No %</p> <p>Yes 25 3.74%</p> <p>Not Known 260 38.86%</p> <p>No 384 57.40%</p> <p>Grand Total 669 100.00 %</p> <p><u>Type of Disability</u></p> <p>Broad Cat Research</p> <p>Row Labels Count of Per No %</p> <p>Physical Impairment 1 0.15%</p> <p>Disabled 2 0.30%</p> <p>Learning Disability/Difficulty 2 0.30%</p> <p>Other 4 0.60%</p> <p>Mental Health Condition 6 0.90%</p> <p>Declined to specify 9 1.35%</p> <p>Long Standing Illness or Health Condition 10 1.49%</p> <p>Not known 73 10.91%</p> <p>(blank) 178 26.61%</p> <p>No disability 384 57.40%</p> <p>Grand Total 669 100.00 %</p>												
Dependants	<p>Our Staff Profile</p> <p>The University conducted a full Equality Impact Assessment following the REF submission in November 2013, which can be accessed here. In the final REF 2014 submission at Queen's there was a 3.1 percentage point difference between the return rates of staff with and without dependants, with the return rate of staff with dependants above that of staff without dependants.</p> <table border="1"> <thead> <tr> <th></th> <th>Eligible</th> <th>Returned</th> </tr> </thead> <tbody> <tr> <td>With dependants</td> <td>35.6%</td> <td>36.0%</td> </tr> <tr> <td>Without dependants</td> <td>28.4%</td> <td>27.7%</td> </tr> <tr> <td>No information</td> <td>36.0%</td> <td>36.3%</td> </tr> </tbody> </table> <p><u>QUB Academic Staff Statistics (excluding Academic Education) as at 8th March 2019)</u></p> <p><u>Dependants</u></p> <p>Broad Cat Academic</p>		Eligible	Returned	With dependants	35.6%	36.0%	Without dependants	28.4%	27.7%	No information	36.0%	36.3%
	Eligible	Returned											
With dependants	35.6%	36.0%											
Without dependants	28.4%	27.7%											
No information	36.0%	36.3%											

Row Labels	Count of Per No	%
(blank)	142	14.72%
No	354	36.68%
Yes	469	48.60%
Grand Total	965	100.00%
<u>Type of Dependants</u>		
Broad Cat Dependants	Academic	Yes
Row Labels	Count of Per No	%
Care of all three dependant groups	2	0.43%
Care of both children and disabled person(s)	10	2.13%
Care of a person/persons with a disability/disabilities	11	2.35%
Care of a dependant older person(s)	12	2.56%
(blank)	16	3.41%
Care of both children and a dependant older person	18	3.84%
Care of a child/children	400	85.29%
Grand Total	469	100.00%
<u>QUB Research Staff Statistics as at 8 March 2019</u>		
<u>Dependants</u>		
Broad Cat	Research	
Row Labels	Count of Per No	%
(blank)	100	14.95%
Yes	158	23.62%
No	411	61.43%
Grand Total	669	100.00%
<u>Type of Dependants</u>		
Broad Cat Dependants	Research	Yes
Row Labels	Count of Per No	%
Care of a person/persons with a disability/disabilities	1	0.63%
Care of both a dependant older person and disabled person(s)	1	0.63%
Care of both children and a dependant older person	5	3.16%
(blank)	6	3.80%
Care of a dependant older person(s)	10	6.33%
Care of a child/children	135	85.44%
Grand Total	158	100.00%

F. Needs, experiences and priorities

Having looked at the data/information you have collected in the question above, what does this tell you are the needs, experiences and priorities for the people who fall into the groups below, in relation to your policy²? And what is the actual or likely impact on equality of opportunity for those affected by the policy. **(See appendix 1 for information on levels of impact).**

Section 75 category	Details of needs/experiences/priorities and details of policy impact	Level of Impact
Religious belief	<p>The code of practice is underpinned by the University's Equality and Diversity Policy and its statutory obligations under Section 75 and Schedule 9 of the Northern Ireland Act 1998.</p> <p>As set out above, the policy is based upon the four core principles of transparency, consistency, accountability and inclusivity. All staff will be fully informed of the policy and directly involved in its development. All aspects of the policy are applied consistently to all staff groups and the decision making processes are clearly stated in the policy. The University is committed to an inclusive research environment and will include all eligible staff in the REF exercise.</p> <p>Based on the evidence, there is no clearly identifiable impact on equality of opportunity for individuals on the basis of this S75 category likely to arise from the implementation of the policy.</p> <p>The evidence on S75 categories in Section E demonstrates some discrepancies in representation between different groups in REF 2014, however, the mandatory full return of all eligible staff is expected to minimise the possibility of this in REF 2021. Issues relating to the representation of staff groups in the distribution of outputs selected will be monitored on an ongoing basis through multiple EIAs. It is intended that the policy should serve as a tool to support the advancement of equality and diversity at the University and improve representation of individuals within this category.</p>	None.
Political opinion	As above.	None.

² If you do not have enough data to tell you about potential or actual impacts you may need to generate more data to distinguish what groups are potentially affected by your policy.

Racial group	As above.	None.
Age	<p>As above for religious belief, political opinion and racial group, and:</p> <p>Individuals in younger age categories are often more likely to fall into the 'early-career researcher' category, meaning that they may have been research-active for a smaller portion of the eligible REF publication period than colleagues at more advanced stages in their career.</p> <p>Younger staff are also more likely to be employed on fixed-term contracts, meaning that they are more likely to be subject to process for determining research independence.</p> <p>It is important that there is no differentiation between individuals on the basis of age in their opportunity to contribute to their unit's REF submission.</p>	Minor.
Marital status	As above for religious belief, political opinion and racial group.	None.
Sexual orientation	As above for religious belief, political opinion and racial group.	None.
Men and women generally	<p>As above for religious belief, political opinion and racial group, and:</p> <p>Female staff are more likely to have qualifying periods of family-related leave such as maternity leave and to be employed on part-time or fixed-term contracts.</p> <p>There is evidence that there is underrepresentation of female staff in research careers more generally. While this improved in REF 2014, it is important that the policy delivers continued emphasis on ensuring that REF submissions are reflective of quality wherever it is found in the University.</p> <p>Trans people who undergo gender reassignment will need to take time off for appointments and in some cases medical assistance. The transition process is lengthy, often taking several years</p>	Minor.

	<p>It is important that such periods of absence (or equivalent) that affect individuals' research productivity during the REF period do not detrimentally affect their equality of opportunity to contribute to their unit's REF submission or lead to any inadvertent discrimination based on these circumstances.</p>	
Disability	<p>As above for religious belief, political opinion and racial group and:</p> <p>Individuals with a disability, prolonged periods of sickness absence, or other long term conditions, may have reduced research productivity during the REF period relative to colleagues not covered by this protected characteristic.</p> <p>It is important that such periods of absence (or equivalent) that affect individuals' research productivity during the REF period do not detrimentally affect their equality of opportunity to contribute to their unit's REF submission or lead to any inadvertent discrimination based on these circumstances.</p>	Minor
Dependants	<p>As above for religious belief, political opinion and racial group.</p> <p>Individuals with dependants such as children or adults with caring needs may be more likely to have been absent from work for a period of time during the REF cycle or to have caring responsibilities that give rise to circumstances equivalent to a period of absence from work.</p> <p>It is important that such periods of absence (or equivalent) that affect individuals' research productivity during the REF period do not detrimentally affect their equality of opportunity to contribute to their unit's REF submission or lead to any inadvertent discrimination based on these circumstances.</p>	Minor.

Part 2 Screening questions

1 What is the likely impact on equality of opportunity for those affected by this policy, for each of the Section 75 equality categories?		
Section 75 category	Issue	Minor/major/none?
Religious belief	<p>There is no evidence that the policy will have a specific impact on individuals on the basis of religious belief. All eligible staff will be included in the submission and the selection of outputs is a relative academic judgement of outputs based on anticipated quality which is submitted at unit-level.</p> <p>The Code of Practice is likely to have a positive impact on equality of opportunity for eligible staff regardless of religious belief.</p>	None.
Political opinion	As above but for political opinion.	None.
Racial group	As above but for racial group	None.
Age	<p>Early-career researchers in REF 2021 are defined as individuals who have only been in a full academic post since 1 August 2016. ECRs will therefore have been independent researchers for a shorter period of time relative to colleagues and may have a smaller pool of outputs to contribute to the unit's total. Staff that meet this definition of ECR are more likely to be in younger age categories.</p> <p>However, the code of practice mandates that all eligible staff will be included in the submission,. Furthermore, the selection of outputs is a relative academic judgement of outputs based on anticipated quality which is submitted at unit-level, and only requiring each individual to contribute one output. Relative to REF 2014, this represents increased flexibility and should reduce the administrative burden on units and individuals in including outputs from ECRs.</p>	Minor and positive.

	<p>Sections 4.7.1 and 4,7,3 provide that Units may optionally request a reduction without penalty in the total number of outputs required for a submission. The eligible circumstances for a request for reduction at Unit level includes qualifying as an early career researcher. The process for making disclosure of circumstances is entirely voluntary and made through the disclosure process outlined in section 4.9, Section 4.9.4 states that all individual staff members are encouraged to disclose any relevant circumstances in order for the University to obtain a clear picture of equality and diversity related issues across the submission and to ensure that any accumulation of circumstances affecting wider productivity in a unit is reflected in the total outputs pool.</p> <p>Contract (fixed term) research staff on 'research only' contracts, such as research fellows, research assistants, and postdoctoral research staff, are younger as a cohort compared to staff on 'research and teaching' contracts. Normally these individuals are not eligible for REF submission as they are not deemed to be 'research independent'. The policy on determining who is an independent researcher will be applied consistently across all contract research staff regardless of age.</p> <p>The Code of Practice is likely to have a positive impact on equality of opportunity for eligible staff, regardless of age.</p>	
Marital status	As above for religious belief but for marital status	None.
Sexual orientation	As above but for sexual orientation	None.
Men and women generally	Female staff are more likely to have experienced significant periods of absence in the REF cycle due to equality-related circumstances such as maternity leave. It is therefore foreseeable that female members of staff may have been less productive than male colleagues for portions of the REF publication period and may have a smaller pool of outputs from which to contribute to the total outputs required in the unit. There is the possibility that might create a disincentive to include female staff in the submission.	Minor and positive.

	<p>Trans people who undergo gender reassignment will need to take time off for appointments and in some cases medical assistance. The transition process is lengthy, often taking several years...</p> <p>Section 1.2.1 of the code of practice mandates that all eligible staff will be included in the submission. Furthermore, the selection of outputs is a relative academic judgement of outputs based on anticipated quality which is submitted at unit-level, and only requiring each individual to contribute one output each. Relative to REF 2014, this represents increased flexibility and should reduce the administrative burden and individual stress and pressure associated with declaring circumstances in REF 2014.</p> <p>Sections 4.7.1 and 4.7.3 provide that Units may optionally request a reduction without penalty in the total number of outputs required for a submission. The eligible circumstances for a request for reduction at Unit level includes "constraints relating to pregnancy, maternity, paternity, adoption or childcare that fall outside of or justify the reduction of further outputs,," and "gender reassignment."</p> <p>The process for making disclosure of circumstances is entirely voluntary and made through the disclosure process outlined in section 4.9, Section 4.9.4 states that all individual staff members are encouraged to disclose any relevant circumstances in order for the University to obtain a clear picture of equality and diversity related issues across the submission and to ensure that any accumulation of circumstances affecting wider productivity in a unit is reflected in the total outputs pool.</p> <p>The Code of Practice is likely to have a positive impact on equality of opportunity, regardless of gender.</p>	
Disability	<p>Individuals with a disability, prolonged periods of sickness absence, or other long term conditions, may have reduced research productivity during the REF period relative to colleagues not covered by this protected characteristic. There is the possibility that might create a disincentive to include individual in this category in the REF submission. However, the code of practice mandates that all eligible staff will be included in the submission. Furthermore, the selection of outputs is a relative</p>	Minor and positive.

	<p>academic judgement of outputs based on anticipated quality which is submitted at unit-level, and only requiring each individual to contribute one output each. Relative to REF 2014, this represents increased flexibility and should reduce the administrative burden and individual stress and pressure associated with declaring circumstances in REF 2014.</p> <p>The staff circumstances process allows units to apply for reductions to the total outputs required in the unit of up to 1.5 for periods of absence or equivalent circumstances related to disability, as outlined in section 4.5 of the Code of Practice. The process for making disclosure of circumstances is entirely voluntary and made through the disclosure process outlined in section 4.9, Section 4.9.4 states that all individual staff members are encouraged to disclose any relevant circumstances in order for the University to obtain a clear picture of equality and diversity related issues across the submission and to ensure that any accumulation of circumstances affecting wider productivity in a unit is reflected in the total outputs pool.</p> <p>The Code of Practice is likely to have a positive impact on equality of opportunity for eligible staff, including those with disabilities.</p>	
Dependants	<p>Individuals with dependants such as children or adults with caring needs may be more likely to have been absent from work for a period of time during the REF cycle or to have had caring responsibilities that give rise to circumstances equivalent to a period of absence from work. However, the code of practice mandates that all eligible staff will be included in the submission,. Furthermore, the selection of outputs is a relative academic judgement of outputs based on anticipated quality which is submitted at unit-level, and only requiring each individual to contribute one output each. Relative to REF 2014, this represents increased flexibility and should reduce the administrative burden and individual stress and pressure associated with declaring circumstances in REF 2014.</p> <p>The staff circumstances process set out at section 4.6 of the Code of Practice allows units to apply for reductions to the total outputs required in the unit of up to 1.5 for periods of absence or equivalent circumstances related to caring responsibilities.</p>	Minor and positive.

	<p>The process for making disclosure of circumstances is entirely voluntary and made through the disclosure process outlined in section 4.9, Section 4.9.4 states that all individual staff members are encouraged to disclose any relevant circumstances in order for the University to obtain a clear picture of equality and diversity related issues across the submission and to ensure that any accumulation of circumstances affecting wider productivity in a unit is reflected in the total outputs pool.</p> <p>The Code of Practice is likely to have a positive impact on equality of opportunity for eligible staff, including those with dependants and those without.</p>	
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2 Are there any actions which could be taken to reduce any adverse impact which has been identified or opportunities to better promote equality of opportunity?		
Section 75 category	Issue	Mitigating Measure
Religious belief	No adverse impact of equality of opportunity has been identified for this group. It is intended that the policy will act as a tool to support the advancement of equality and diversity at the University and improve representation of individuals within this category in REF 2021 relative to the 2014 exercise.	None
Political opinion	As above.	None
Racial group	As above.	None
Age	Contract research staff (including fixed-term) such as research fellows, research assistants, and postdoctoral	As a result of the equality screening process, reference to the regulations pertaining to equality of treatment for staff on fixed term and part time

	research staff are often (but not always) younger as a cohort compared to staff on 'research and teaching' contracts.	contracts has been added to Appendix 2 of the policy. Further clarification was provided on the position of individuals employed on part-time contracts at para 4.8.2. and explicit statements on the University's commitment to ensuring equal treatment for staff on fixed term and part time contracts have been added to the document at paras 3.1.1, 4.7.3 and 4.7.4.
Marital status	As above under religious belief, political opinion and racial group.	None
Sexual orientation	As above under religious belief, political opinion and racial group.	None
Men and women generally	Female staff are more likely to be in part-time or fixed-term employment.	As a result of the equality screening process, reference to the regulations pertaining to equality of treatment for staff on fixed term and part time contracts has been added to Appendix 2 of the policy. Further clarification was provided on the position of individuals employed on part-time contracts at para 4.8.2. and explicit statements on the University's commitment to ensuring equal treatment for staff on fixed term and part time contracts have been added to the document at paras 3.1.1, 4.7.3 and 4.7.4.
Disability	As above under religious belief, political opinion and racial group.	None
Dependants	As above	None

3 To what extent is the policy likely to impact on good relations between people of different religious belief, political opinion or racial group?

Good relations category	Details of policy impact	Level of impact minor/major/none
Religious belief	No expected impact.	None.
Political opinion	As above.	As above.
Racial group	As above.	As above.

4 Are there opportunities to better promote good relations between people of different religious belief, political opinion or racial group?

Good relations category	If Yes , provide details	If No , provide reasons
Religious belief		The REF process does not involve specific interactions between individuals on the basis of their categorisation in the good relations groups and is therefore not expected to present opportunities to improve good relations in this respect.
Political opinion		As above.

Racial group		As above.
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E Multiple identity

Generally speaking, people can fall into more than one Section 75 category. Taking this into consideration, are there any potential impacts of the policy/decision on people with multiple identities?

(For example; disabled minority ethnic people; disabled women; young Protestant men; and young lesbians, gay and bisexual people).

Provide details of data on the impact of the policy on people with multiple identities. Specify relevant Section 75 categories concerned.

We do not hold inter-sectional data on individuals' multiple identities as all equality and diversity data is reported separately and anonymously in individual categories.

As far as is practicable, any foreseeable impacts on individuals on the basis of multiple identities are addressed through the staff circumstances policy outlined in section 4.6 of the code of practice, which recognises that in some cases individuals will combine multiple circumstances and the E&D panel will take account of this in their judgement of the allowable reduction.

F Disability Duties

Disability Duties

Consider whether the policy:

Discourages disabled people from participating in public life and fails to promote positive attitudes towards disabled people..

No. All eligible staff will be returned in REF 2021. The guidance for REF 2021 affords submitting institutions enhanced flexibility in assembling their portfolio of submitted outputs i.e a minimum of one and a maximum of five outputs per individual. This is the primary means by which Queen's will recognise the impact of individual circumstances on research productivity. Units may optionally request a reduction without penalty on the total number of outputs required for submission. Eligible circumstances for a request in reduction include disability/long term condition. Where a Unit requests a reduction in outputs based on circumstances with an equivalent effect to an absence including disability or long term condition, individual staff will be asked to voluntarily disclose their circumstance through the disclosure process.

- a) Provides an opportunity to better positive attitudes towards disabled people or encourages their participation in public life. Yes, see above.

Part 3. Screening decision

Through screening, an assessment is made of the likely impacts, either major, minor or none, of the policy on equality of opportunity and/or good relations for the relevant categories. Completion of screening should lead to one of the following three outcomes; please mark an x in the appropriate box:

'Screened out' i.e. the likely impact is none and no further action is required

'Screened out' with mitigation i.e. the likely impact is minor and measures will be taken to mitigate the impact or an alternative policy will be proposed

'Screened in' for an equality impact assessment (EQIA) i.e. the likely impact is major and the policy will now be subject to an EQIA

If the decision is not to conduct an equality impact assessment, please provide details of the reasons.

The Code of Practice has been reviewed and has identified that further consideration needs to be given in respect of Part-time and Fixed term workers to mitigate against any potential adverse impact.

As a result of the equality screening process, reference to the regulations pertaining to equality of treatment for staff on fixed term and part time contracts has been added to Appendix 2 of the policy. Further clarification was provided on the position of individuals employed on part-time contracts at para 4.8.2. and explicit statements on the University's commitment to ensuring equal treatment for staff on fixed term and part time contracts have been added to the document at paras 3.1.1, 4.7.3 and 4.7.4.

If the decision is not to conduct an equality impact assessment, but the policy has minor equality impacts, please provide details of the reasons for this decision and of any proposed mitigating measures or proposed alternative policy.

As above

If the decision is to subject the policy to an equality impact assessment, please provide details of the reasons.

The REF Code of Practice will not be subject to an EQIA as a result of this screening exercise. In Northern Ireland, an EQIA is a thorough and systematic analysis of a policy. Equality Commission guidance recommends that public authorities should allow a 12 week consultation.

It should be noted that the EQIA process in NI is distinct from the EIA process as required by REF. While the determination is that the policy will be screened out with mitigating actions, and therefore not require an EQIA, the sector REF guidelines require that HEIs conduct multiple EIAs during the REF process. As such, the application of the code of practice to the University's REF preparations will be subject to a series of equality impact assessments (EIAs) at key junctures in the planning process. These key junctures are: (i) following the autumn 2019 REF Planning Meetings; (ii) prior to the staff census date of 31 July 2020; (iii) prior to the final submission in November 2020 and; (iv) following the final submission of the University's REF return.

D Timetabling and prioritising

If the policy has been ‘**screened in**’ for equality impact assessment answer the following questions to determine its priority for timetabling the equality impact assessment.

On a scale of 1-3, with 1 being the lowest priority and 3 being the highest, assess the policy in terms of its priority for equality impact assessment.

Priority criterion	Rating (1-3)
Effect on equality of opportunity and good relations	Click
Social need	Click
Effect on people’s daily lives	Click
Relevance to the University’s functions	Click

E Is the policy affected by timetables established by other relevant public authorities?

If yes, please provide details

<p>Research England REF 2021 timetable:</p> <ul style="list-style-type: none">• Institution submits code of practice to REF team, by 7 June• Funding bodies notify institutions that code of practice meets REF requirements; or requests resubmission of the code of practice, by 16 August• Institution resubmits code of practice to funding bodies, by 20 September• Funding bodies notify institutions that code of practice meets REF requirements, or request second resubmission, by 8 November• Institution resubmits code of practice to funding bodies, by 15 November• Funding body notifies institutions whether or not code of practice meets REF requirements, by 29 November <p>Further deadlines for the submission of staff circumstances reductions will be published by Research England in due course.</p>
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Part 4. Monitoring

Effective monitoring will help the University identify any future adverse impact arising from the policy which may lead the University to conduct an equality impact assessment, as well as help with future planning and policy development.

Please detail how you will monitor the effect of the policy?

Equality impact assessments (EIAs) at key junctures in the planning process to ensure equality issues are addressed prior to final submission: (i) following the autumn 2019 REF Planning Meetings; (ii) prior to the staff census date of 31 July 2020; (iii) prior to the final submission in November 2020 and; (iv) following the final submission of the University's REF return.

Regular reports to University Executive Board, QUB REF Equality and Diversity Group, intermittent sector audit by Research England REF team.

What data is required in the future to ensure effective monitoring of the policy?

Section 75 data will be collected through EIAs.

Part 5 - Data Protection

If applicable, has legal advice been given due consideration?


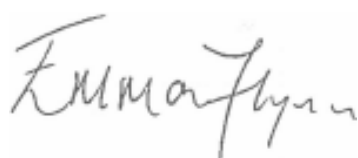
Yes No N/A

Has due consideration been given to information security in relation to this policy?

Yes No

Research England Guidance: [Model REF Data Collection Statements for HEIs \(2019/04\)](#)

Part 6 - Approval and authorisation

Screened by:	Position/Job Title	Date
	Chris Browne, Research Policy Manager (Institutional REF Contact)	
Approved by:		
	Professor Emma Flynn, Pro-Vice-Chancellor for Research & Enterprise	16/09/19

A copy of the screening form, for each policy screened, should be 'signed off' and approved by the senior manager responsible for the policy

In instances where a screening decision concludes that an EQIA is required then the screening form should be countersigned by a Director.

There may at times be policy issues which fall within the scope of being novel, contentious or politically sensitive and could only be taken forward following consultation with the University's Operating Board and/or Standing Committee of the Senate. Where a policy screening highlights such issues the screening form must be signed off by the Director prior to proceeding to the University's Operating Board and/or the Standing Committee of the Senate.

Following ratification, a copy of the approved screening form, and associated policy must be forwarded to the Diversity and Inclusion Unit for publication on the University's website.

ADDITIONAL INFORMATION TO INFORM THE ANNUAL EQUALITY PROGRESS REPORT TO THE EQUALITY COMMISSION

1. Please provide details of any measures taken to enhance the level of engagement with individuals and representative groups as part of screening.

University Executive Board approved an initial draft of the University's REF 2021 Code of Practice on 11 March 2019. This was subsequently disseminated to all members of staff and subject to a period of consultation which has included:

- Three briefing events open to all staff during February 2019 (attended by c. 250)
- Consultation with Research Strategy Group and Research Forum
- Meetings with local UCU representatives and the Queen's Gender Initiative (QGI)
- An online feedback survey circulated to all staff (13 March – 29 April, 147 responses)

There were 147 responses to the online feedback survey between 13 March and 29 April, with a good spread of responses across Faculties and career stages.

The majority of respondents indicated that they 'strongly agreed' or 'agreed' that the Code of Practice was clear, although a range of constructive suggestions in the free text sections highlighted areas where further clarity or minor amendments would be welcomed.

Feedback from meetings with local UCU representatives and the QGI was broadly positive. Both groups welcomed the decision to de-couple individual REF contributions from performance management and the 'unit-level' approach to submitting outputs in REF 2021. Both groups, and feedback from Research Strategy Group and Research Forum, provided a number of constructive suggestions relating to the practicalities of implementing the Code of Practice. QGI representatives made a specific request that QGI should be represented on the internal REF Equality and Diversity Group.

UEB approved an updated version of the policy on 21 May 2019. Key changes are noted below.

2. In developing this policy were any changes made as a result of equality issues raised during :

- (a) pre-consultation / engagement;
- (b) formal consultation;
- (c) the screening process; and/or
- (d) monitoring / research findings.

If so, please provide a brief summary including how the issue was identified, what changes were made, and what will be the expected outcomes / impacts for those affected.

As a result of the equality screening process, reference to the regulations pertaining to equality of treatment for staff on fixed term and part time contracts has been added to Appendix 2 of the policy. Further clarification was provided on the position of individuals employed on part-time contracts at para 4.8.2. and explicit statements on the University's commitment to ensuring equal treatment for staff on fixed term and part time contracts have been added to the document at paras 3.1.1, 4.7.3 and 4.7.4.

As a result of consultation with staff and representative groups, members of the QGI were added to membership of the REF Equality and Diversity Group.

At paragraph 5.2.2., the draft Code of Practice stated: "the University is not obliged to submit any member of research staff deemed to meet the definition". Consultation feedback suggested that this incorrectly reflected the funding bodies' REF guidance and criteria. In response to this, the REF Support Team submitted a query to Research England, which clarified that: "If the member of staff is Category A eligible (and is an independent researcher with Significant Responsibility for Research) then the institution **must** return them".

- **The updated draft of the Code of Practice has been updated at 5.2.2 to remove this statement and clarify at 3.1.1 that any staff deemed to meet the definition must be submitted.**

Several respondents took issue with the wording at section 4.2, which states: "assessments and decisions made in preparing the REF submission will have no direct bearing on processes for the management of performance and career progression of individuals". A number of respondents expressed concern with the use of the word 'direct', querying which 'indirect' circumstances might apply.

- **Section 4.2 has been updated to remove the word 'direct' and clarify that there should be no reference made to REF through these processes.**

Feedback suggested that further clarity could be provided on how final decisions around the selection of outputs will be made, particularly with regard to roles and responsibilities at unit-level. In instances where there is a surplus of outputs that cannot be differentiated with a high degree of confidence, respondents requested a clearer definition of 'diversity and sustainability' of the unit as set out at 4.5.2.

- **The updated draft clarifies at 4.5.2 that 'diversity and sustainability' refers to an aspiration to ensure that, in the case of surplus outputs within the same quality rating band, priority is given to even distribution across individuals and sub-disciplines, e.g. minimising the volume of staff with only one output attributed.**

While respondents overwhelmingly agreed that the proposed approach to disclosure of staff circumstances was clear and that the Code promotes equality and diversity, there

were some queries regarding the practicalities of the disclosure process, including who initiates a request for the removal of the requirement for a single output for submission.

- **The Code of Practice has been updated comprehensively at section 4.9 to clarify the process, particularly in the case of individual requests for a reduction to zero. Extra assurances have been added to clarify that the responsibility for disclosing circumstances lies with individuals and that Schools/ UoAs will at no stage have access to the detail of disclosed circumstances.**

There was some feedback that the Code of Practice was not clear on the position of academic staff employed on 'teaching only' contracts.

- **While the guidance clearly states who is eligible, the updated draft will make explicitly clear at 1.2.1 that staff employed as 'teaching only' or Academic (Education) are not eligible for submission to REF.**

3. Does this policy / decision include any measure(s) to improve access to services including the provision of information in accessible formats? If so please provide a short summary.

We will respond to requests for the Code of Practice in alternative formats in a timely manner, as set out in the main policy document at 1.2. Formats may include but are not limited to: Easy Read, Braille, large print, audio formats (CD, mp3, DAISY) and in minority languages to meet the needs of those not fluent in English.

Appendix 1

Levels of Impact (Questions 6-9)

Introduction

In making a decision as to whether or not there is a need to carry out an equality impact assessment, you should consider the answers provided to the questions above.

In addition, the **screening questions** above further assist you in assessing your policy and must be completed. Some of these questions require you to assess the level of impact of the proposed policy on

"equality of opportunity" and "good relations". The scale used when assessing this impact is either "None", "Minor" or "Major". The following paragraphs set out what each of these terms mean.

If your conclusion is **none** in respect of all of the Section 75 equality of opportunity and/or good relations categories, then you may decide to screen the policy out. If a policy is 'screened out' as having no relevance to equality of opportunity or good relations, you should give details of the reasons for the decision taken.

If your conclusion is **major** in respect of one or more of the Section 75 equality of opportunity and/or good relations categories, then consideration should be given to subjecting the policy to the equality impact assessment procedure.

If your conclusion is **minor** in respect of one or more of the Section 75 equality categories and/or good relations categories, then consideration should still be given to proceeding with an equality impact assessment, or to introduce:

- measures to mitigate the adverse impact; or
- an alternative policy to better promote equality of opportunity and/or good relations.

In favour of a 'major' impact

- a) The policy is significant in terms of its strategic importance;
- b) Potential equality impacts are unknown, because, for example, there is insufficient data upon which to make an assessment or because they are complex, and it would be appropriate to conduct an equality impact assessment in order to better assess them;
- c) Potential equality and/or good relations impacts are likely to be adverse or are likely to be experienced disproportionately by groups of people including those who are marginalised or disadvantaged;
- d) Further assessment offers a valuable way to examine the evidence and develop recommendations in respect of a policy about which there are concerns amongst affected individuals and representative groups, for example in respect of multiple identities;
- e) The policy is likely to be challenged by way of judicial review;
- f) The policy is significant in terms of expenditure.

In favour of 'minor' impact

- a) The policy is not unlawfully discriminatory and any residual potential impacts on people are judged to be negligible;
- b) The policy, or certain proposals within it, are potentially unlawfully discriminatory, but this possibility can readily and easily be eliminated by making appropriate changes to the policy or by adopting appropriate mitigating measures;
- c) Any asymmetrical equality impacts caused by the policy are intentional because they are specifically designed to promote equality of opportunity for particular groups of disadvantaged people;
- d) By amending the policy there are better opportunities to better promote equality of opportunity and/or good relations.

In favour of none

- a) The policy has no relevance to equality of opportunity or good relations.
The policy is purely technical in nature and will have no bearing in terms of its likely impact on equality of opportunity or good relations for people within the equality and good relations categories.