

UK Research and Innovation Equality Impact Assessment Form



Overview of activity

	Response
Name of activity being assessed	Driving Urban Transitions (DUT) Partnership Call 2024
Council/department/project team	ESRC, with AHRC and EPSRC.
Aims and objectives of the activity	The purpose of this Call is to support transnational research and/or innovation projects addressing urban challenges to help cities in their transition towards a more sustainable economy and functioning. The research element must be social science led, and inclusion of arts and humanities and engineering researchers is strongly encouraged.
	This is the third call to be led by the DUT Partnership, the first being in 2022, the second in 2023. UKRI, on behalf of the UK, was only involved in Call 1 (2022).
	Funding is available for three years. The funding opportunity will open on 2 September 2024. This year, UK funding is only available for topics under the '15-minute city' thematic area. We aim to support 5 to 7 projects. The full economic cost of the UK part of the project can be up to £400,000. ESRC, AHRC and EPSRC will typically fund 80% of the full economic cost.
	We will need to consider the Equality Impact Assessment (EIA) in relation to the advertising, application process, and review process. However, it is important to note that applicants to the DUT calls will not apply for UKRI's TFS but through the funding service of UEFISCDI and UDiManager (Romania) on behalf of the whole partnership.
Who is affected by your policy/funding activity/event?	 UK applicants to the call UKRI staff working on the call Panel Members External stakeholders i.e. partnership members
What data and consultation have you used?	Equality Impact Assessment Guidance: 2022/23 states that the 'Research Councils are committed to promoting equality and participation in all their activities, whether this is related to the work we do with our external stakeholders or whether this is related to our responsibilities as an employer'. This EIA seeks to outline the respective protected characteristics and associated barriers/obstacles that may



apply in this Call. It draws on the previous EIA produced for the DUT 2022 Call, with updates to EDI policy and updates to the Call Text now included.

UKRI equalities monitoring 2021 to 2022 data indicated that:

- for principal investigators and co-investigators at UKRI level, the highest proportion of applicants are aged 40-49.
- although there were small differences in award rates for principal investigators where a disability was disclosed and where there was no known disability, this difference is not significant (31% and 30%, respectively).
- for the principal investigator role type, applications from the White ethnic group had a significantly higher award rate (31%) than principal investigators from both Asian and Black ethnic groups (23% and 21%, respectively).
- for co-investigators, applications from the White ethnic group also had a significantly higher award rate (31%) than the Asian ethnic group (26%).
- representation of male applications was 68% for principal investigators, 64% for co-investigators, 53% for researcher co-investigators and 58% for fellowships.
- for the principal investigator role type, over half of the awards went to White male applicants, at 56%.

This indicates that UKRI commitments to EDI principles and policy continue to be of significant importance to ensure the R&I sector becomes more equitable, diverse, and inclusive. You can find more data from UKRI here <u>UKRI equalities monitoring 2021 to 2022 – UKRI</u> and the work happening across UKRI (including EDI strategy and planning) here <u>Equality</u>, <u>diversity and inclusion (EDI) – UKRI</u>.

As the DUT 2024 Call is run by the DUT Partnership, UKRI as a co-funder is not in a position to lead on areas of policy followed. This includes EDI policy. However, through creating this EIA document and through the seeking of assurances of our co-funders, we are confident that legislation will be followed. The information below outlines some of the processes already adopted, including areas where UKRI policy applies to our work on the Call.

The Call topics have been developed through the Partnership members. The call aims, objectives, and topics will be signed off by the European Commission. Documents will be proof-read by senior members of UKRI staff. The Call text includes specific criteria regarding inclusion:

Applicants must integrate diversity considerations in submitted proposals, as well as consider underrepresented populations in the planned research. This includes not only diversity distribution and gender balance in the consortium composition, but also the inclusion of diversity



perspectives and analysis in the R&I activities where this is relevant. Proposals should be developed in line with standardised EDI metrics, including the Gender Equality Index.

Eligibility and criteria

- Transnational eligibility rule 1: Each proposal must be submitted by a consortium consisting of at least three eligible Applicants from at least three different participating countries. Only Applicants eligible for the funding of the participating Funding Agencies from select countries are eligible to apply as Main Applicant or Co-applicant. The DUT website will display the full list in due course. In addition, at least two of the eligible Applicants must be from different EU Member States (MS) or Associated Countries (AC) eligible for EC co-funding in this Call. Again, the list will be available on the DUT site in due course.
- Transnational eligibility rule 2: The Main Applicant (project coordinator) must be eligible to be funded and request funding by its national/regional participating Funding Agency.
- Transnational eligibility rule 3: A Principal Investigator (PI) must only participate in a maximum of two proposals, and only once as the PI of a Main Applicant.
- Transnational eligibility rule 4: Consortia must include at least one urban government authority (city, municipality or entity providing key urban services) either as a Main Applicant, Coapplicant, or Cooperation Partner depending on the national/regional eligibility criteria.
- Transnational eligibility rule 5: Project duration: Projects may be funded for a maximum of 36 months.
- Transnational eligibility rule 6: Language and mandatory forms. Pre-proposals/full proposals
 must be prepared in English using the designated mandatory proposal form. Proposals written in
 other languages will be ineligible. The proposal form should be filled in completely. Preproposals and full proposals must respect the total number of pages using a standard font size
 and normal page margins as indicated on the proposal form.
- Transnational eligibility rule 7: Submission. Pre-proposals and full proposals must be submitted
 on the UEFISCDI electronic submission system, UDiManager (www.uefiscdi-direct.ro), before
 each associated deadline: the Call for pre-proposals is open until 14 November 2024, 13:00
 (CET). In March 2025, applicants will be invited to enter the second stage of the procedure: the
 Call for full proposals will close on 24 April 2025, 13:00 (CEST).
- Transnational eligibility rule 8: Only pre-proposals invited to submit a full proposal will be eligible in the second stage of the selection procedure. If a Main Applicant decides to submit a full proposal rejected at the end of the first stage, this full proposal will be declared ineligible.



• Transnational eligibility rule 9: No fundamental changes initiated by the applicants alone between the pre-proposal and the full proposal will be accepted.

In addition to the transnational rules and procedures laid out above, projects are subject to UKRI standard eligibility requirements.

ESRC's research commissioning processes are designed with fairness in mind. Standard Grant Terms and Conditions:

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

Process

- We will aim to ensure that all activities relating to the 'Driving Urban Transitions (DUT) Partnership Call' funding activity are inclusive and take account of diversity.
- We anticipate that the majority of meetings in relation to this funding activity will be held virtually. We will therefore take account of access needs and review this continuously.
- Should any meetings be planned in-person, consideration of the impact on attendees will take place and wherever possible hybrid options will be provided to ensure maximum accessibility to all events.
- Project events including kick-offs, mid-term, and final events for project participants may include hybrid options and we will follow the recommended approach for ensuring EDI requirements are met for both those attending in person and in online capacities. Further details on this can be found below.

Panel recruitment and membership:

• All panel members will receive guidance from the DUT call secretariat on their processes and expectations, including on fairness, objectivity and paying close attention to the scoring criteria and definitions in panel discussions and scoring. The Panel Chairs and Secretaries will play an important role in constructively challenging potential bias where they identify it.



 As a participating funder in this funding opportunity, UKRI and its respective Councils do not get to dictate these rules. However, where possible, we will ensure EDI policies for Panels are encouraged at every opportunity. These include:
 aiming to ensure that the composition of the commissioning panel is diverse, with at least a 60 to 40 ratio for gender balance.
 encouraging (if possible) that the chair and vice chair of the commissioning panel are not the same gender.
 encouraging the call secretariat to appoint a diverse panel. Whilst panel members are appointed, first and foremost, based on expertise final decisions take into account trying to balance the panels by gender and geography and seek to ensure a diversity of career stage and
institutions. We will only make recruitment decisions which compromise diversity when it is objectively justified by the necessity to ensure the required breadth of subject expertise with high quality candidates.

Analysing your impact

In addition to data gathering and consultation, the guidance materials should be used to assist in identifying impacts on different groups.

Protected characteristics

Protected	Positive	Negative	Please explain the impact or why there is	Detail actions taken/ that will be taken to
characteristic	impact or opportunity to benefit	impact	no impact including details of any evidence/data used	increase positive or reduce negative impact (or why action is not possible). Detail how you plan to measure the
	Leave blank if			relevant outcomes and outputs of your activity.



Age		There may be barriers for those that participate in the call regarding age.	We can ensure that all events and processes associated with the funding opportunity are developed with the applicants in mind, either through direct collaboration/sense checking with the community or by following ESRC EDI policy in regard to age.
		Researchers at different career stages may experience different levels of approval for funding opportunities.	We are committed to supporting the development of the next generation of social scientists. Our support for early career researchers (ECRs) is structured around three distinct ECR stages: doctoral immediately post doctorate transition to independent researcher. As part of the national annex for this Call, we detail that UK applicants can be at any academic career stage; but the project team must have a level of skills, knowledge and experience that is appropriate to the proposed project. We monitor repeat queries from those applying to the programme and endeavour to signpost ECRs to their research offices for additional support.
Disability	\boxtimes	Improved accessibility and usability for TFS functionality is ongoing as the system continues to be evolved with use.	Applicants should seek support from their research organisation's support office.
		We recognise that there are different ways of working (including working from home, working in an office, or working abroad) and these may produce different challenges for applicants.	Support should be sought from applicant's individual research organisations about support available for new working environments.



	There may be barriers for disabled people in obtaining benefits from any online events associated with the funding opportunity. Participants with visual and hearing disabilities may have barriers arise during virtual events if activities do not adequately meet access arrangements. Meetings that are extended, or meetings that run for longer than expected, may provide barriers for people with neurodivergences. Participants with varying access requirements may experience the online application process differently.	We will encourage sense checking of the accessibility arrangements for our online events by including space to detail any access requirements in the registration stage for all events. We will ensure that access arrangements for virtual events are adequately responded to in the creation and development of online events, for instance ensuring events enable closed captions or are recorded where applicable. We will ensure extended meetings (e.g., panel meetings) are established with adequate breaks based on the needs of all participants. We will consider the length of any online meeting and shorten if necessary. When we promote the event on websites we will need to check accessibility and compatibility with the range of specialist hardware and software that people with disabilities use to access electronic information. Online meeting platforms can offer an accessible and inclusive environment for participants. Considerations depends on need, but may include: • Enabling the chat function and closed captioning, and adjusting volume settings to support people with hearing requirements.
--	---	--



			 Adequate lighting, alternative document formatting, and potential use of screen readers (including descriptions of images used so that text-to-speech applications can recognise them) for people with visual requirements. Provision of documents in sans-serif dyslexia-friendly fonts and formats. Avoiding colours and lighting that may trigger migraines and epilepsy. Ensure that staff have had up-to-date and sufficient EDI training so they can respond effectively to all requirements that may arise and implement best practice.
Gender reassignment (Trans identity)	\boxtimes	There is potential for discrimination against a panel member, applicant, or event/research participant. Trans people may be away from work during	We will work to ensure the use of gender- neutral language where possible in our documents, call specification, and even advertisement. UKRI terms and conditions are flexible in
		transition/change and UKRI records may not show their chosen gender.	nature and can include absence as a result of medical treatment. We would expect that absence related to transition would be covered by the Research Organisation's sick policy and strongly encourage Research Organisations to treat absence relating to transition like any other medical absence. Consideration must be given at UKRI level as to how records can be adjusted more flexibly (including Gateway to Research and other communication materials).



Marriage or civil partnership		Negative impact through this protected characteristic is unlikely in this event.	As a protected characteristic, employers are responsible for ensuring that employees are not discriminated against for their status as married or in a civil partnership. As UKRI will not be the direct employer of any of the applicants or panel members, respective organisations are expected to follow their legal duties in this area. UKRI employees involved in this call will be supported by the organisation's own policies in place to support and protect staff.
Pregnancy and naternity		Childcare responsibilities may produce barriers to attending events, meeting, and interviews, particularly panel events or in-person events which may by their nature be more extended.	Provision for parental leave (including maternity leave, paternity leave and leave related to surrogacy and adoption) are covered in the UKRI terms and conditions. Dates will be agreed and publicised in advance of any meetings to allow potential attendees to make arrangements in order to attend. Adjustments to schedules should be communicated swiftly to ensure greater participation. All meetings should reflect the requirements of all attendees, including sufficient breaks for breastfeeding/expressing mothers if necessary. The costs of additional childcare for grantholders, beyond that required to meet the normal contracted requirements of the job, and that are directly related to the project, may be requested as a directly incurred cost if the institutional policy is to reimburse them. However, childcare costs associated

		Completion of the grant may be affected by maternity/paternity leave and/or leave related to surrogacy and adoption.	with normal working patterns may not be sought. Reimbursement of additional childcare costs if the meeting participant is otherwise unable to attend. Leave related to pregnancy, becoming a new parent, surrogacy, and/or adoption are accepted reasons for a grant extension request, Grants can be extended to allow for individuals to return to the project to complete work. Other reasonable adjustments can also be made, including if changes are required in the staffing of a project such as when an individual is no longer able to continue work on the project. Within the announced grant cash limit, the grant may be used to meet the costs of making substitute appointments and/or extending the grant to cover a period of parental leave within the 'Directly Incurred and Exceptions' fund heading. Grant conditions, provided on successful confirmation of award, will explain these policies further.
Race		There could be potential discrimination because it is known that somebody involved with the call (panel member, research applicant, or research participant) is of a particular race.	We will follow UKRI EDI Policy to ensure that all policy recommendations, including those covering panel compositions, are encouraged with our international partners. See 'Panel recruitment and membership' above.



Religion or belief		There could be potential discrimination because it is known that somebody (either a panel member, a research applicant or research participant) has a particular faith or belief.	We will ensure that religious observances are taken into account when planning panel meetings. Considerations might include: • Scheduling meetings to avoid major religious festivals; (if impossible to avoid then consider mitigations – i.e. during Ramadan ensuring that meetings finish early so that participants are able to get home to break their fast, awareness of the sensitivities around offering Muslims meals during periods of fasting) • Not scheduling meetings such that they would require travel late on Friday evenings (Jewish Sabbath) or on Fridays (Friday prayer, Islam) • Allowing prayer breaks if requested
Sexual orientation		There could be potential discrimination because it is known that somebody (either a panel member, a research applicant or research participant) has a particular sexual orientation.	We will follow UKRI EDI Policy to ensure all policy recommendations are followed. Whilst UKRI does not have control over the composition of reviewing panels, we will follow UKRI EDI Policy to ensure that all policy recommendations, including those covering panel compositions, are encouraged with our international partners. See 'Panel recruitment and membership' above.
Sex		Use of gendered language can present a barrier to participation. Potential for some attendees to have caring responsibilities affecting their ability to attend meetings and interviews.	The use of gender-neutral language including pronouns (they/them) will be used throughout. Dates and schedules for events will be publicised in advance to allow for arrangements to be made.



	Whilst UKRI does not have control over the composition of reviewing panels, we will follow UKRI EDI Policy to ensure that all policy recommendations, including those covering panel compositions, are encouraged with our international partners. This includes commitments for panels to have balanced gender representation (aim for 60 to 40 gender ratio as minimum).
--	--

Additional characteristics

Additional characteristics	Positive impact or opportunity to benefit Leave blank if no impact or u	 Please explain the impact including details of any evidence/data used	Detail actions taken/ that will be taken to increase positive or reduce negative impact (or why action is not possible).
Geographical location and place (consider UK and international offices)		There is potential for discrimination according to geographical location and place in this call. Applicants from different parts of the UK and other nations may experience online elements of the Call in different time zones.	We will follow UKRI EDI Policy, particularly in the consideration of panel composition. We will ensure that access arrangements are provided on online elements/webinars. Where possible, these events will be planned to ensure optimum accessibility regarding time and location. As national funders for the UK aspect of any successful applicants, we will encourage any in-person events to take place in accessible locations with key transport infrastructure and ensure



			applicants are aware of the need to have sufficient budget to cover travel and subsistence costs. Where travel and time commitments don't allow in-person events on these programmes, we will encourage and support hybrid/online participation as standard.
Socio-economic status	\boxtimes	There is potential for those with different socio- economic statuses to be impacted differently by this call.	We will follow UKRI EDI Policy, particularly in the consideration of panel composition. Whilst UKRI does not have control over the composition of reviewing panels, we will follow UKRI EDI Policy to ensure that all policy recommendations, including those covering panel compositions, are encouraged with our international partners.
Education background			We will follow UKRI EDI Policy, particularly in the consideration of panel composition. Whilst UKRI does not have control over the composition of reviewing panels, we will follow UKRI EDI Policy to ensure that all policy recommendations, including those covering panel compositions, are encouraged with our international partners.
Parent/guardian responsibilities		Those with parent/guardian responsibilities may experience more obstacles in arranging alternative caring support for different events (webinars, panels, etc).	We will ensure that access arrangements are provided in the scoping and development of call events (webinars, panels, etc) and enable adequate time prior to these events for arrangements to be made by those involved. We will try to vary the day of the week/time of day that events and activities are held to



				ensure there is the most opportunity to participate.		
Carer/parent carer responsibilities			Those with carer/parent carer responsibilities may experience more obstacles in arranging alternative caring support for different events (webinars, panels, etc).	We will ensure that access arrangements are provided in the scoping and development of call events (webinars, panels, etc) and enable adequate time prior to these events for arrangements to be made by those involved. We will try to vary the day of the week/time of day that events and activities are held to ensure there is the most opportunity to participate.		
Political opinion (Northern Ireland only)		\boxtimes	There is potential for people involved with this call to be discriminated against for their political opinion.	We will ensure that EDI Policy is followed throughout the call and that those chairing panels or leading webinars are properly informed about their legal responsibilities for public sector-funded events.		
Other characteristics						
Are there general or overarching impacts on Events being held as part of this call will likely include hybrid meetings, such as call						
multiple groups? What actions will you take ou			outlines, workshops, and panel meetings. This may impact the people and groups			
to increase positive impact, or reduce/mitigate			involved with this call in different ways. For instance, in-person meetings can present			

Are there **general or overarching impacts on multiple groups**? What actions will you take to increase positive impact, or reduce/mitigate negative impact?

Events being held as part of this call will likely include hybrid meetings, such as call outlines, workshops, and panel meetings. This may impact the people and groups involved with this call in different ways. For instance, in-person meetings can present barriers for people with disabilities involving access arrangements including audio, visual, or sensory adjustments. People with caring/parent/guardian responsibilities may not be able to access events that last for a sustained part of the day. Actions we will take include:

- See above for those under protected characteristics and additional characteristics.

- Ensuring meetings are developed in good time, with adequate time afforded to participants to adjust their schedules.



 Ensuring meetings meet all access arrangements required by all those involved (closed captions, enabling personal technology assistance equipment, including adequate rest breaks for long meetings [those over an hour long], ensuring hybrid options for in-person meetings). Following UKRI EDI policy and guidance for the duration of the call.
We will monitor the outcomes and outputs of whether this EIA successfully mitigates the possible obstacles described by the number and content of complaints based on EDI grounds and through sense-checking with applicants, including successful grant holders, to gather feedback in timely and proactive ways. This will form an ongoing communication with grant holders across the duration of the award.

Evaluation

Fi	nal Decision:	Select the relevant box	Include any explanation / justification required	
1.	No negative or positive impact identified; therefore, activity will proceed .			
2.	Adapt or change the activity in a way which you think will eliminate negative impact or promote equality.			
3.	Stop the activity because the evidence shows bias or negative impact towards one or more groups.			



4.	Barriers and impact identified, however having considered all		
	available options carefully, there appear to be no other		
	proportionate ways to achieve the activity (e.g. in extreme		
cases or where positive action is taken). Therefore, you			
going to proceed with caution with this activity knowir			
	it may favour some people less than others, providing		
	justification for this decision.		



Were this activity to be taking place only on a national level, where all proposed mitigations outlined above would be confirmed in their role/s of eliminating any and all negative impact, it would meet the criteria for Category 2. However, in recognition of the international nature of the Partnership and its subsequent impact on national policy, it is not possible to eliminate all risks of negative impact to zero.

Therefore, this activity meets the criteria for Category 4. The team will proceed with caution and ensure that, where possible, EDI policies are enacted suitably and appropriately across all those aspects of the Call in which UKRI is involved.

Review and sign off

What are the arrangements for monitoring and reviewing the impact of your activity?	An EIA is a live document and should regularly be reviewed throughout the life cycle of an activity.
	We will hold regular reviews of this EIA, through the criteria outlined above, including making any additions that arise through communication with our DUT Partners and with prospective, and successful, applicants. At the end of the funding process, lessons learnt activity will occur as standard good practice. This will include recognition of EDI/EIA aspects. If on reading this document, you have feedback or suggestions for any amendments, you can contact the UKRI team for this Call via dutpartnership@esrc.ukri.org.
	contact the OKKI team for this call via duparthership@esic.ukii.org.
Next review date:	March 2025.
Will this EIA be published?	Yes. This EIA will be published alongside any relevant funding activities for this Call. We will

raise awareness of its publication at national events that take place (Autumn 2024).



Point of contact	dutpartnership@esrc.ukri.org.
Signed off by (name and date):	Joy Todd, 13/08/24

Before publishing or archiving your EIA, please remove any sensitive or confidential information such as personal identifiable data.

Once your EIA is completed or updated:

1. Upload it to the UKRI central repository via the EIA submission form

EIAs for ODA and non-ODA ISPF programmes should be emailed to: ISPF@ukri.org

Change log

Name	Date	Version	Change	
DUT 2024 UKRI EIA	20/11/2024	1	Original submission.	
DUT 2024 UKRI EIA 10/01/2025 2		2	Corrections made and additions to section on 'age', particularly for ECR support.	



Action plan

Use the table below to define the actions you intend to take (or have taken) to address the indications of negative impact you have identified or to promote equality. Actions should be SMART (Specific, Measurable, Achievable, Realistic, Time-bound).

Action	Deadline	Owner	How will it be monitored?	What is/will be the impact/outcome?
EIA submission	June 2024	UKRI DUT Team	Updated form published and EIA monitored on regular basis.	Individual needs can be addressed. Inform inclusive design of the activity by feedback mechanisms to central DUT team.
EIA review	November 2024	UKRI DUT Team	Monitored by internal UKRI DUT team in response to observations of 2024 programme.	More informed response regarding actions that can be taken to mitigate negative action. We are also able to feedback observations to the DUT management team.