

Research Ethics Policy and Practice Equality Impact Assessment

The University requires staff to conduct an Equality Impact Assessment (EqIA) and to take account of its results in the development of new and the review of existing policy documents and practices including projects and/or proposals (referred to collectively as a “policy/ practice” in this form).

Please ensure you read the EqIA Guidance prior to completion of this form and familiarise yourself with the University’s Equality, Diversity and Inclusion policy and have undertaken all compulsory equality, diversity and inclusion training.

More information relating to developments, facts and figures related to equality and diversity within the University as well as published EqIAs is available on the University’s website at [Equality, Diversity and Inclusion | Abertay University](#).

1. Equality Impact Assessment Checklist

Reason for the Equality Impact Assessment:

Proposed changes/review of existing policy/practice

If selected Other, please provide more information: Existing policy and practice documentation brought together into a single document with appropriate revision throughout

Please provide a brief description of the policy/practice (including aims and objectives):

Research Ethics Policy and Practice.

Abertay University seeks to protect the dignity, rights and welfare of all those involved in research (whether they are participants, third parties, Abertay staff or students) and to promote high ethical standards of research. Abertay achieves this by:

- fostering a culture within the University that embraces the principles set down in this policy and in the legislation to protect the rights, dignity and welfare of those involved in research;
- providing ethics guidance that communicates regulatory requirements and best practice, and offering ongoing support and training to staff and students to maintain high ethical standards; and
- maintaining a review and approval process that subjects all research to a level of scrutiny in proportion to the risk of harm or adverse effect.

This policy and practice document describes the University’s formal requirements and standards that all researchers must adhere to with regards to ensuring that all research undertaken within, or under the auspices of, the University adheres to the highest

possible ethical standards. This requirement reflects both legal obligations and best practice, and it aligns with expectations set by UK funders, regulators, and professional bodies

How does the policy/practice fit into the broader strategic aims of the University?

Aligns with the University Strategic Plan 2025-30, the University Research Knowledge Exchange & Innovation (RKE&I) Strategy 2025-26 and all RKE&I policies and procedures.

Who will be impacted by this policy/practice?

All research active Abertay staff and students (UG, PGT & PGR), those affiliated with the University (visiting and partnership institutions); staff supporting RKE&I; external stakeholders.

With regards to completion of the table below, is there any evidence or concern that any of the protected characteristic groups have different experiences, issues or needs in relation to this policy/practice? Could there be a differential impact on any protected characteristics? This should cover discrimination, equality of opportunity and relations between groups.

Characteristic	Potential Positive Impact	Potential Negative Impact	Additional Information
Age	No	No	All research proposals must receive approval before progressing
Disability	No	No	All research proposals must receive approval before progressing. Applicants unable to engage with the EMS will be supported as appropriate.
Gender Reassignment	No	No	All research proposals must receive approval before progressing
Marriage and Civil Partner-ship	No	No	All research proposals must receive approval before progressing
Pregnancy and Maternity	No	No	All research proposals must receive approval before progressing

Characteristic	Potential Positive Impact	Potential Negative Impact	Additional Information
Race	No	No	All research proposals must receive approval before progressing
Religion or Belief	No	No	All research proposals must receive approval before progressing
Sex	No	No	All research proposals must receive approval before progressing
Sexual Orientation	No	No	All research proposals must receive approval before progressing

Additional notes

Application of the Research Ethics Policy and Process should have no discriminatory impact *per se*. Abertay seeks to protect the dignity, rights and welfare of all those involved in research (whether they are participants, third parties, Abertay staff or students) and to promote high ethical standards of research, by:

- fostering a culture within the University that embraces the principles set down in this policy and in the legislation to protect the rights, dignity and welfare of those involved in research;
- providing ethics guidance that communicates regulatory requirements and best practice, and offering ongoing support and training to staff and students to maintain high ethical standards; and
- maintaining a review and approval process that subjects all research to a level of scrutiny in proportion to the risk of harm or adverse effect.

The policy reflects the principles and commitments outlined in the funder-endorsed [Concordat to Support Research Integrity](#).

The policy and process document is designed to uphold the dignity, rights, and welfare of all individuals involved in research—including participants, third parties, Abertay staff, and students—by promoting high ethical standards. However, despite these safeguards, individual research projects or their outcomes (including data or new knowledge created) may (unintentionally) affect groups with protected characteristics. The University remains committed to monitoring and mitigating such impacts wherever possible.

2. Equality Impact Assessment Outcome

What is the recommended outcome for this policy/practice?

Outcome 1: No change required – the assessment is that the policy/practice will be robust.

Summarise any actions required to implement the findings and describe how the policy/practice will be monitored going forward, how you might involve equality groups or communities in the ongoing monitoring and ensure that impact is frequently reviewed.

The Research Ethics Policy & Process will be reviewed annually by the University REC & the University RKEC.

We will engage with the Lead Voices group as appropriate.

Any breaches of the Concordat for Research Integrity investigated and not-upheld/ upheld, are reported annually via external reporting to the UK Research Integrity Office and are published via our Research Governance Web Pages.

Our Research Governance web page sets out how anyone with concerns about observed, apparent or suspected research misconduct can complain or seek advice via a number of different routes.

Declaration

I confirm that this equality impact assessment represents a fair and reasonable view of the implications of the policy/practice for all protected characteristic groups, and that appropriate actions have been identified to address the findings.

Approved by:	Date	Individual
Professor Nia White; Dean of Research and the Graduate School>	5 Nov 2025	EqlA author [†]
<insert first name, surname and role>	<DD Month Year>	EqlA owner [*]

[†] for projects, this is the project proposer; ^{*} for projects, this is the project sponsor.

The EqlA owner will normally be a member of the Senior Management Team. If they are also the author, another appropriate member of the Senior Management Team will be required to review and sign-off the completed EqlA.

3. Related Policy Documents and Supporting Documents

Legislation	Equality Act 2010; Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012; National Security and Investment Act 2021; UK General Data Protection Regulation (UK GDPR) and the Data Protection Act (2018) and other legislation identified throughout the document.
Strategy	Abertay University Strategic Plan and all sub-strategies
Policy	Equality and Diversity Policy; Policy Document Governance Policy; Project Governance Framework; All Abertay RKE&I related policies identified throughout the document; Research Ethics Policy and Practice
Procedures	Policy Document Governance Procedure; All Abertay RKE&I related procedures
Guidelines	Equality Impact Assessment Guidance
Local Protocol	N/A
Forms	N/A

4. Additional Information

Audience:	Public
Applies to:	All University Members
Classification:	Academic Governance
Category:	Equality Impact Assessment
Subcategory:	Research and Research Degrees
Author [†] :	Dean of Research and the Graduate School
Owner*:	Dean of Research and the Graduate School**
Sign-Off Date:	5 November 2025
Review Date:	31 December 2028

[†] for projects, this is the project proposer; * for projects, this is the project sponsor.

** If they are also the author, another appropriate member of the Senior Management Team will be required to review and sign-off the completed EqIA.

For the purposes of this policy document and related policy documents, terms are defined in the Policy Document Library Glossary.

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